

December 2, 2019



Timothy Shaw
University Attorney
UT at Dallas
800 West Campbell Road
Richardson, TX 75080

Dear Mr. Shaw,

Your agency's records retention schedule is approved for use as of **11/22/2019**, and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members

David C. Garza
F. Lynwood Givens
Larry G. Holt
Arthur T. Mann
Darryl Tocker
Martha Wong

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

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

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

During a certification period, changes may need to be made to your schedule. State rules (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency:

Erica Siegrist
esiegrist@tsl.texas.gov
(512) 463-6623

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

Sincerely,

A handwritten signature in blue ink, appearing to read "Craig Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency Head

TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 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 [Handwritten Signature]
Name (Print or type) Courtney Spooner
Date 7/29/2019

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 [Handwritten Signature]
Name (Print or type) Gloria Meraz
Date 11/22/19

Cert/Recert No. 7 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.





STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

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Archival Codes (Field 10)

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					Years	Months	Days				
CATEGORY 1: ADMINISTRATIVE RECORDS (ADR)											
Section 1.1: General											
ADR1001	1.1	Academic Affairs - Teaching Load Files			5				O		
ADR1002	1.1	Academic Affairs Faculty Handbook		PM						Only a single original copy needs to be kept permanently.	
ADR1003	1.1	Affiliation Agreements		AC	7			AC = After agreement ends.		Board office keeps for life of agreement.	
ADR1004	1.1	Deeds and other documents reflecting legal title		LA					O		
ADR1005	1.1	Easement Agreements and related documentation		AC	5			AC = After easement agreement ends.	O		
ADR1006	1.1	Degree Proposals		PM							
ADR1007	1.1	Development of UT Dallas Synergy Park			15				I	These files are the history of the land development at UTD.	
ADR1008	1.1	Excellence in Education Trust Land			15				I	These files are the history of the land development at UTD.	
ADR1009	1.1	Gift Records	This series documents potential or realized private, corporate, or public agency funding to the institution, including endowments and trusts. This series includes letters and agreements of gift, copies of bequest instruments and wills from individuals or estates, and related documentation and correspondence.	PM					O	UTS Policy, security is open with restrictions.	
ADR1010	1.1	Off-Campus Course Inventory		FE	3				I		



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ADR1011	1.1	Surveys, Reports, Questionnaires, Mandated		AC	5			AC = Date of report.	O		
ADR1012	1.1	Surveys, Reports, Questionnaires, Voluntary.		AC	3			AC = Date of report.	O		
ADR1013	1.1	Texas Research Foundation Giftland			15				I	These files are the history of the land development at UTD.	
ADR1014	1.1	Assessment Files	Data and reports from evaluations conducted to assess progress toward stated strategic and performance goals.	AC	3			AC = End of accreditation cycle or specified evaluation period.			
ADR1015	1.1.002	External Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit.	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.	
ADR1016	1.1.002	Internal Audit Reports	Audits and reviews performed within the university, including the working papers that support the audit.	AC	14			AC = Publication or release of final audit findings.			
ADR1017	1.1.004	Legislative Appropriations Requests	Included are Biannual Budget Requests.	AC	6			AC = Passage of appropriations.	I	The archival requirement is met by sending the required copies of the requests to the University Archives and 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.	



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ADR1018	1.1.006	Complaint Records	Complaints received by an agency from the public concerning the agency and records pertaining to the resolution of the complaint.	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 ADR1036.	
ADR1019	1.1.007	Correspondence, Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				O	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This record series and item number ADR1020 should be used only for correspondence that is not included in or directly related to another record 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 ADR1017; a letter concerning an audit for that prescribed by item number ADR1015, etc.	



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ADR1020	1.1.008	Correspondence, General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					SEE comment to item number ADR1019.	
ADR1021	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
ADR1022	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy, or procedure that governs the programs, services, or projects of an agency	US	3				I		
ADR1023	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				O	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods.</p> <p>CAUTION: A record of this type purchase with personal funds but use 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 on December 1995 by the Atty. Gen.</p>	



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ADR1024	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	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 ADR1036.	
ADR1025	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				O		
ADR1026	1.1.020	Public Information Requests - Not Exempted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under Public Information Act (Chapter 552, Government Code).	AC	1			AC = Date request for filled.			
ADR1027	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC	2			AC = Date of notification that records are exempt or date request denied.			
ADR1028	1.1.023	Organizational Charts - Original		US					I		
ADR1029	1.1.024	Plans and Planning Records	Plans and records relating to the process of planning new or redefined programs, services, or projects of an agency that are not included in or directly related to other records series in this schedule.	AC	3			AC = Decision made to implement or not to implement result of planning process.	O	ARCHIVES NOTE: Data processing planning records are not archival.	
ADR1030	1.1.026	Texas Register Submissions	Copies of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be submitted to the Texas Register.	AC	1			AC = Date of publication in the Texas Register.			
ADR1031	1.1.027	Proposed Legislation	Drafts of Propose Legislation and Related Correspondence.	AV							



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ADR1032	1.1.038	Integrated Postsecondary Education Data System/Higher Education General Information Survey.		AC	10			AC = Final disposition of summary report.	I	Office of Institutional Research & Planning used for studies.	
ADR1033	1.1.067	Office of Civil Rights Report OCR 12000 Report & OCR 13000 Report		AC	10			AC = Final Disposition of Summary Report.	O	Office of Institutional Research & Planning Uses for Studies.	
ADR1034	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC				AC = End of term in office or termination of service in state position.	O		
ADR1035	1.1.043	Training Manuals	Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US	1						
ADR1036	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	O	All Statute of Limitations must be met before file is closed. Review before disposal. ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.	
ADR1037	1.1.053	Registration Logs	Logs or similar records used to register persons appearing before state agencies as required by Chapter 2004, Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC				AC = Report filed with the Texas Ethics Commission			



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ADR1038	1.1.055	Strategic Plans	Information resources and operational strategic plans prepared in accordance with §2054.095, and §2056.002, Government Code.	AC	6			AC = September 1 of odd-numbered calendar years.	I	ARCHIVES NOTE: The archival requirement is met by sending required copies of the plans to the University Archives and to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
ADR1039	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.		3						28 CFR 35.105c.



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ADR1040	1.1.057	Transitory Information	<p>Records of temporary usefulness that are not an integral part of a record series of an agency, that are not regularly filed with an agency's record-keeping system, and that are required only for a limited period time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing record series.</p> <p>Transitory records are not essential to the film and statutory obligations documentation of agency functions. Some examples of transitory information, which can be in any medium (voicemail, fax, email, hardcopy, etc.) are routine messages; telephone message notification; 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.</p>	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another record series listed in this schedule or, for record series unique to an agency, are not part of a record series that documents the government of the statutory obligations of the agency or the documentation of its functions.	



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ADR1041	1.1.058	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					I	<p>Examples: Board Of Regents Minutes, Minutes and Notes of Faculty Senate and Council Meetings.</p> <p>CAUTION: This record series and item numbers ADR1042, ADR1043, ADR1044, and ADR1045 must be used for those state boards, committees, commissions, and councils, which by law or the biannual Appropriations Act, are administered by another state agency. These records and all other related to the functions of any of these dependent entities must be included in the records retention schedule of the administrating agency.</p> <p>ARCHIVES NOTE: Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.</p>	
ADR1042	1.1.059	Meetings, Certified Agendas or Tape Recordings of Closed	Certified agendas or tape recordings of closed meetings of state boards, commissions, committees, and councils.	AC	2			AC = The date of meeting or completion of pending action involving the meeting, whichever is later.			Government Code, 551.104(a)



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ADR1043	1.1.060	Meetings, Audio or Videotapes of Open	Audio or videotapes of open meetings of state boards, commissions, committees, and councils.	AC			90	AC = Official approval of written minutes of the meeting by the governing body of the agency.		CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not yet. State agencies may not retain audio or videotapes of the meeting of governing bodies in lieu of written minutes. The proceedings of all minutes of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number ADR1041.	
ADR1044	1.1.061	Meeting - Notes	Notes taken during open meetings of state boards, commissions, committees, and councils from which written minutes are prepared.	AC			90	AC = Approval of the formal minutes by the governing body.		SEE caution comment at ADR1041.	
ADR1045	1.1.062	Meeting - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for breeding purposes, some of which may not be submitted at an actual meeting.		2				I	SEE caution comment at ADR1041. Includes UT System Documents.	
ADR1046	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						
ADR1047	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in agencies appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					CAUTION: The FE+3 retention period overrides any shorter retention for a record series in this schedule if the record series is needed for documentation of agency performance measures.	



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ADR1048	1.1.065	Reports and Studies (Non-Fiscal) - Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule.	
ADR1049	1.1.066	Reports - Annual and Biannual (Non-Fiscal)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC = September 1 of odd-numbered calendar years.	I	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.	
ADR1050	1.1.067	Enrollment Census Reports (4th and 12th Class Day Rosters)	Attendance reports prepared by faculty on class census day and used as source documentation for enrollment reports submitted to the Texas Higher Education Coordinating Board.	PM					O	Retained by Strategic Planning and Analysis.	
ADR1051	1.1.067	Semester and Annual Reports			5				O		
ADR1052	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.			
ADR1053	1.1.069	Reports - Activity	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.		1					SEE item number ADR1047.	
ADR1054	1.1.070	Rules and Regulations - Internal Audit Manual		AC	3			AC = Completion or termination of program, rules, policies or procedures.	O		



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ADR1055	1.1.070	Board of Regents Rules and Regulations		AC	3			AC = Completion or termination of program, rules, policies or procedures.	O	Board Office suggests Present's Office keep all earlier amendments.	
ADR1056	1.1.070	Numbered Policy Memoranda	Policies & Procedures Manual – and internal publication.	AC	3			AC = Completion or termination of program, rules, policies or procedures.	O		
ADR1057	1.1.070	Police Policies and Procedures Manual		AC	3			AC = Completion or termination of program, rules, policies or procedures.	O		
ADR1058	1.1.070	Policies and Procedures Manuals - UTD		AC	3			AC = Completion or termination of program, rules, policies or procedures.	O		
ADR1059	1.1.070	Rules and Regulations - Parking / Traffic		AC	3			AC = Completion or termination of program, rules, policies or procedures.	O		
ADR1060	1.1.070	Institutional Compliance Program Manual		AC	3			AC = Completion or termination of program, rules, policies or procedures.	O		
ADR1061	1.1.071	Agency Rules, Policies, and Procedures - Working Files	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies or procedures.	O	SEE item number ADR1060.	



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					Years	Months	Days				
ADR1062	1.1.072	Public Information Reports	Reports made to the Office of the Attorney General on an agency's Public Information Act activities.		2						
ADR1063	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	3			AC = Last action.	O		
ADR1064	1.1.074	Sunset Review Report and Documentation		AC	3			AC = After the subsequent Sunset Review.	O		
ADR1065	1.1.075	Alternative Dispute Resolutions - Final Agreement	Final agreement described by Government Code 2009.054(c), associated with a matter conducted under an alternative dispute resolution procedure in which personnel of a state agency participated as a party on the agency's behalf.	AC	4			AC = Date of final agreement.			Texas Civil Practice and Remedies Code , Chapter 154.071.
ADR1066	2.1	Gateway Website Files		US							
ADR1067	2.1	Interactive Web Application Files		US							
ADR1068	2.1.001	Automated Files - Processing Files	Machine-readable files used in the creation, utilization, and updating of master files.	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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ADR1069	2.1.002	Automated Files - Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to: data tables of relational databases used by applications or computer programs.	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.			
ADR1070	2.1.007	Software Programs and Job Control Language	Automated software applications and operating system files including job control language, program listing/source code, etc.	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.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94



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ADR1071	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment controls systems.	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 new software or hardware environment.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94



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ADR1072	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieve, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94
ADR1073	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC = All audit requirements have been met.			



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ADR1074	2.2.002	Chargeback Records to Data Processing Service Users	Includes Computer Utilization Records. Records used to document, calculate costs, and bill program units for computer usage and data processing services. These records are also used for cost recovery, budgeting, or administrative purposes.		5						
ADR1075	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.			3					
ADR1076	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number ADR1072.	
ADR1077	2.2.011	Batch Data Entry Control Records	Forms and logs used to reconcile batches submitted for processing against batches received and processed.	AC				AC = When reconciliation confirmed.			
ADR1078	2.2.012	Output Records for Computer Production	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV							



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ADR1079	2.2.013	Quality Assurance Records	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				AC = No longer needed as an audit trail for any records modified.			
ADR1080	2.2.016	Software Registrations, Warranties, and License Agreements		LA	3						
ADR1081	11.1.002	Alumni Records	This series documents the activities of an institution or department's alumni and may also provide alumni offices with information on alumni. This series may include, but is not limited to: memberships lists with names, addresses, employer names and addresses, and positions; promotional materials concerning annual gatherings; homecoming plans and programs; data cards and files for individual alumni; degree recipient lists; outstanding alumni lists; student leader lists; class officer lists; foreign student rosters; international alumni club records; and notes, memoranda, and related correspondence concerning general alumni affairs.	AV						Refer to item number SSR1016 for records used exclusively for contacting alumni.	



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ADR1082	11.1003	Award Administration and History Records	This series documents the process of selecting institutional faculty, staff, students and alumni to receive awards, fellowships, and scholarships based on merit or achievement. Includes: eligibility terms and selection criteria, award history and information on funding sources, award notifications, summary lists of winners, and biographies of winners.	AC				AC = Termination of award.	O	ARCHIVES NOTE: Only institutional awards merit archival review. Department-level awards recognizing employee or student achievement do not need to be reviewed for archival value. Refer to ADR1025 for press releases.	
ADR1083	11.1.006	Event Administration Records - Routine	This series documents facilities, services and other accommodations provided by the institution for events. Records may include: facilities reservation agreements; room reservation lists; customer and room occupancy lists; catering services orders; customer evaluations; summary reports; and related correspondence.	AC	1			AC = Completion of the event.		SEE item SSR1001 for Special Event Risk Assessments.	



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ADR1084	11.1.007	Event Administration Records - Special Events	This series documents the efforts of a college or unit to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for members of the institution and the communities it serves. This series may include, but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; and related documentation and correspondence.	AC	4			AC = Completion of the event.	O	Refer to item number ADR1083 for routine event administration records.	
ADR1085	11.1.009	Lecture and Lecture Series Records	This series documents the development and history of special lectures and continuing lectureships devoted to a variety of topics and disciplines sponsored by the institution.		5				O	CAUTION: Refer to item numbers ADR1083 and ADR1084 for records of event planning and administration.	



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ADR1086	11.1.014	Subject Files - Media and Communications	This series provides background information on institutional faculty and staff, buildings, events, traditions, and other special topics that document a university's history and culture. The records may be used to support research, responses to inquiries, and other purposes. This series may include, but is not limited to: newspaper clippings; photographs; published and unpublished historical sketches; pamphlets; statistics; ephemera; biographical sketches; vitae; photographs; personal history data sheets; newspaper clippings; retirement notices; funeral programs; obituaries; and related documentation and correspondence.	AV					O	Refer to item number ADR1025 for press releases. Refer to item numbers ADR1026 and ADR1027 for Public Information Requests.	
ADR1087	4.5	Data Warehouse Reports	Reports generated by the University Data Warehouse.	AV							
ADR1088	4.7.008	Grant Records	This series documents state and federal grant/contract projects participated in or administered by state agencies. It includes grant/contract authorization records, which provide evidence of the award of grants /contracts to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	3			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.	45 CFR 46.115(b); NIH Guidelines; OMB Circular A: 110-.53



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ADR1089	13.3.006	Non-Federal Grant Records	This series documents grants and contracts from private foundations or non-federal government agencies awarded to faculty, staff and graduate assistants. Information includes name of project, award notification, contract number, and other related information	AC	3			AC = Satisfaction of the grant according to its terms.		Circular A-110 is issued under the authority of 31 U.S.C. 503 (the Chief Financial Officers Act), 31 U.S.C. 1111, 41 U.S.C. 405 (the Office of Federal Procurement Policy Act), Reorganization Plan No. 2 of 1970, and E.O. 11541 ("Prescribing the Duties of the Office of Management and Budget and the Domestic Policy Council in the Executive Office of the President").	
ADR1090	1.1	Patents, Trademarks, Copyrights, and Documentation	Includes underlying patents, trademarks & copyrights.(e.g., Research Records, Reflecting Usage and the like).	AC	20			AC = Term of agreement, trademark, or patent.	O		
ADR1091	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports and other documentation.	AC				AC = One semester after final decision or matter closed/resolved.		CAUTION: Does not include formal complaint filed with EEO. If matter becomes a grievance or the subject of counseling or litigation, or employee is subject to disciplinary action, the records are subject to retention in the appropriate records series. SEE item numbers ADR1036, PER1022, PER1023, PER1024, and PER1026.	
Section 1.2: Records Management											
ADR2001	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3						
ADR2002	1.2.004	Forms Inventory	Any periodic listing of all forms used internally or externally by an agency.	US							



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ADR2003	1.2.005	Records Retention Schedule (SLR 105)	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US						Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
ADR2004	1.2.006	Records Transmittal Forms	Agency copy (includes RMD 101, TxR-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC	2			AC = Date of authorization for destruction, permanent transfer from storage, transfer to university storage, or transfer to Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.			
ADR2005	1.2.008	Request for Authority to Dispose of State Records (Texas State Library RMD Form 102)	Agency copy of the request.	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
ADR2006	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.		10						
ADR2007	1.2.011	Record Center Storage Approval Forms (RMD 106)	Agency copy of form	US							
ADR2008	1.1.012	Records Inventory Worksheets		US							



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ADR2009	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						
ADR2010	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	Also Includes Documentation for Disaster Recovery Services Provided by Other Entities.	FE	1						
ADR2011	1.2.016	Disaster Recovery Service Approval Form (RMD 113)	Agency copy of form	AC				AC = Until superseded or termination of service.			

Section 1.3: Publications



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ADR3001	1.3.001	State Publications	Includes Student Record Catalogs. A state publication as defined as “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 university and is publicly distributed. The term does not include information the distribution of which is solely limited to contractors with or grantees of the agency, staff persons within the agency or within other government agencies, or members of the public under a request made under the Public Information Act, Government Code, Chapter 552. The term includes but is not limited to: a publication distributed in print; on microform; as audiovisual material; as interactive media or on electronic external storage device; as an on-line publication; which is an index to other on-line publications; as one or more text, graphic, or other digital files; or as a user interface to a computer database.	PM					I	<p>One copy to be retained. One copy of each state publication as defined in Description, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (SEE item number ADR1041) also meets the definition, but it must be retained permanently; item numbers ADR1017, ADR1038, ADR1049, ADR1052, and FIR5005, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.</p> <p>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).</p>	



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ADR3002	1.3.002	Publication Development Files	Includes Publication files such as the Student Newspaper and University Advancement. Background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					O		
CATEGORY 2: PERSONNEL RECORDS (PER)											
Section 2.1: Employee Records											
PER1001	3.1	Human Resources System (HRS) Electronic Reports from E-Print mainframe	Records from HR and Payroll system of record from Summer 1999 to January 2011	AC				AC = confirmation the historical information has been moved to the current database.			
PER1002	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106 (i).
PER1003	3.1.002	Applications for Employment - Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			AC = Termination of employment.			
PER1004	3.1.001	Applications for Employment - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or the employment advertisement.		2						29 CFR 1602.49 (a).



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PER1005	3.1.002	Peer Advisor Application		AC	5			AC = After termination of employment.			
PER1006	3.1.014	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 other records that document the selection process.		2					CAUTION: Does not include criminal history checks. SEE item number PER1007.	29 CFR 1602.49 (a).
PER1007	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS)	AC				AC = The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.	§ 441.094 (e), Government Code
PER1008	3.1.029	Employment Eligibility - Documentation or Verification of	Federal reporting form (INS I-9)	AC	1			AC = Termination of employment.		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, which ever is later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years the date of hire are kept for the 3 year retention period.	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
PER1009	3.1.013	Employment Contracts (on or after September 1, 2015)	Employment contracts that were executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the contract according to its terms.		Previously 800.007 - Contracts for student athletic coaches and administrators.	Government Code, 441.1855



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PER1010	3.1.013	Employment Contracts (on or before August 31, 2015)	Employment contracts that were executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the contract according to its terms.		Previously 800.007 - Contracts for student athletic coaches and administrators.	Government Code, 441.1855
PER1011	3.1.011	Employees 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 = Until superseded or termination of employment.		UTS Policy. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number PER2002.	
PER1012	3.1.031	Employee Benefits - Other than Insurance	Includes Optional Retirement. Agency copies of information relating to the selection of available benefit options other than insurance.	AC	10			AC = Until superseded or termination of employment.		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 PER2002.	
PER1013	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024.	US						SEE item number PER3008.	



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PER1014	3.1	Personnel Files - Departmental	Individual personnel files for faculty, staff, and student employees. These records are maintained by the employee's department.	AC	5			AC = Termination of employment.		CAUTION: This item number should be used only for personnel files not included in or directly related to another record series in this schedule. Does not include files maintained by the office of Human Resources (for non-HR employees). SEE PER1015. Departmental folders of notable faculty and staff may possess archival value. Notify Records Management office of potential historical value when requesting disposition.	
PER1015	3.1	Personnel Files - Human Resources	Individual personnel files for faculty, staff, and student employees. These records are maintained by the office of Human Resources (for non-HR employees).	AC	5			AC = Termination of employment.		CAUTION: This item number should be used only for personnel files not included in or directly related to another record series in this schedule. Does not include files maintained by the employee's department. SEE PER1014. Departmental folders of notable faculty and staff may possess archival value. Notify Records Management office of potential historical value when requesting disposition.	
PER1016	3.1.002	Academic Affairs - Faculty / Lecturer / Adjunct Files	Official faculty files. Includes appointment, promotion, and tenure records. Evaluations, recommendations, and similar documentation relating to the review process for promotion and tenure for all faculty or staff in the tenure track.	AC	5			AC = After termination.		CAUTION: For records of staff employee recognition, SEE item number PER1020.	29 CFR 1602.49. for Promotion and Tenure Records



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PER1017	3.1.002	Academic Affairs - Former Employees (Faculty) Files		AC	5			AC = After termination.			
PER1018	3.1.012	Employment Opportunity Advertisements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.49 (a).
PER1019	3.1.027	Training and Educational Achievement Records - Individual	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			
PER1020	3.1.037	Employee Recognition Records	Awards, incentives, etc.	AC	5			AC = Termination of employment.			
PER1021	3.1.019	Performance Appraisal		AC	5			AC = Appraisal completed.			29 CFR 1620.32 (c).
PER1022	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			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 PER1023, all documentation from the series used to support disciplinary action must be retained for the minimum retention period described by item number PER1023.	



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PER1023	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice or resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of employment.			
PER1024	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisorial level except in those agencies with counseling staff.	AC	3			AC = Termination of counseling.			
PER1025	3.1.022	Personnel Information or Action Forms	Forms are similar records used to create or change information concerning the records of an employee including paygrade, position, classification, employee number, evaluation date, and termination of employment.		4					This includes changes to University identification number and Social Security number.	29 CFR 1602.49(a)



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PER1026	3.1.018	Grievance Records - Employees	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC = Final decisions on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the US Department Of Labor. SEE item number ADR1036.	
PER1027	3.1.035	Performance Bonds (on or after September 1, 2015)	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. Only includes bonds executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the bond according to its terms.		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 PER2002. SEE item number PER1028 for bonds executed, renewed, or amended on or before August 31, 2015.	Government Code, 441.1855
PER1028	3.1.035	Performance Bonds (on or before August 31, 2015)	Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency. Only includes bonds executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the bond according to its terms.		CAUTION: Does not include construction or architectural surety bonds. SEE item number SSR6033. SEE related item number SSR1002-SSR1009 (Contracts and Leases). SEE item number PER1027 for bonds executed, renewed, or amended on or after September 1, 2015.	Government Code, 441.1855



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PER1029	12.1.002	International Scholars Records - J-1 Exchange Visitor Files	This series documents the short-term appointment of nonimmigrant international scholars as visiting faculty, specialists, researchers, and trainees. Records may include, but are not limited to: Form DS-2019, Certificate of Eligibility for Exchange Visitor (J-1) Status; electronic files to Student Exchange Visitor Information System (SEVIS); descriptions of work to be performed; methods of financial support; copies of passports; check-in forms with personal data such as addresses, telephone numbers, and information concerning dependents; related correspondence, most often concerning eligibility of spouses and children to accompany or join the scholar; log sheets noting the nature of telephone calls concerning each scholar's status; and related documentation.	AC	3			AC = End of participation in program.			22 CFR 62.10(g)
PER1030	12.1.003	International Scholars Records - Immigrant Petition File	Includes documentation of an institution's sponsorship of an applicant using USCIS Form I-140 (Immigrant Petition for Alien Worker).	AC	5			AC = Date applicant granted lawful permanent residence by USCIS or no longer employed by the institution, whichever is earlier.			



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					Years	Months	Days				
PER1031	12.1.004	International Scholars Records - Labor Certification	This series documents the application and approval of international scholars for permanent immigrant status. Records may include, but are not limited to: Application for Permanent Employment Certifications (DOL Form ETA 9089); Application for Alien Employment Certification (DOL Form ETA 750); recruitment reports; copy of job advertisement in national professional journal; wage determinations; and related materials.	AC	5			AC = Date of filing the 'Application for Permanent Employment Certification' (Form ETA 9089).			20 CFR 656.10(f)
PER1032	12.1.005	International Scholars Records - Nonimmigrant Visa Petition File	Includes both internal documents and forms submitted to the U.S. Citizenship and Immigration Services (USCIS), including Form I-129, Petition for a Nonimmigrant Worker.	AC	1			AC = Date individual no longer employed by the institution in sponsored nonimmigrant status.			
PER1033	12.1.006	International Scholars Records - Nonimmigrant Visa Public Inspection File	This series documents the temporary employment of international exchange visitors (non-immigrants) by the institution and is used to monitor compliance with federal United States Citizenship and Immigration Services (USCIS) regulations. Includes Labor Condition Application (DOL Form 9035/9035E), wage rate documentation, benefits summaries, and related materials for H-1B, H-1B1, and E-3 visas.	AC	1			AC = Last date the institution employs any individual in H-1B nonimmigrant status under the Labor Condition Application for which the Public Inspection File was created. If no non-immigrants were employed under the labor condition application, one year from the date the labor condition application expired or was withdrawn.			20 CFR 655.760(c)



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PER1034	12.1.007	International Scholars Records - Tax Documentation	This series documents international students' and scholars' acquisition of social security numbers. This series may include, but is not limited to: social security number applications; Statement of Information - Social Security Account Number forms (CO-204); photocopies of social security cards; Controllers Division reports; and related documentation and correspondence.	AC	3			AC = Date of application.			
PER1035	12.2.001	International Scholars Records - Program Administration Records	This series documents a program which allows one or more visiting scholars to assume residence on campus for an academic year or a shorter duration. This series may include, but is not limited to: advertisements; applicant data; arrangements and schedules; publicity and news clippings; presentation transcripts or published works; scholars' vitae; scholars' activities documentation including audio recordings; and related documentation and correspondence.		3						22 CFR 62.10(g)
PER1036	12.3.001	Time Cards and Time Sheets - Work-Study Students	This series documents hours worked by work-study student employees. The series is used for payroll purposes and to meet federal requirements for documenting time worked by work-study students. This series may include, but is not limited to: Work-Study Time Certificates and referrals, time cards, and time sheets.	AC	3			AC = End of award year for which the aid was awarded and disbursed.		Refer to item number PER4006 for all other time cards and time sheets, including those of non-work-study student employees.	CFR 668.24(e)(1), 34 CFR 675.19(b).

Section 2.2: Payroll



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PER2001	3.2	Authorization for Professional Services		AC	6			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.			
PER2002	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	6			AC = After termination of employee or after amendment, expiration, or termination of authorization, which ever sooner.			
PER2003	3.2.002	Employee Earnings Records			4						40 TAC 815.106 (i).
PER2004	3.2.003	Alien Information Collection Form		AC	6			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.			
PER2005	3.2.003	Employees / Independent Contractor Checklist		AC	6			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.			
PER2006	3.2.003	Federal Tax Records	Includes 1099, W-2, FICA, and Other Tax Records	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.			UTS Policy 26 CFR §31.6001-1(e)(2).
PER2007	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employee's gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6 (C).
PER2008	3.2.005	W-4 Forms	Employer's copy of "Employees' Withholding Exemption Certificate"	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.
PER2009	3.2.006	Wage Rate Tables			2						29 CFR 516.6 (a)(2).
PER2010	3.2.007	Unemployment Compensation Records		AC	5			AC = Termination of benefit.			
PER2011	3.2.008	Direct Deposit Applications / Authorization	Includes Mail Deposit Applications/Authorizations	US							



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PER2012	3.2.009	State Deferred Compensation Records		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 <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas.			
PER2013	3.2.010	Human Resources Information System (HRIS) Reports	Reports sent to State Comptroller HRIS system. Includes supporting documentation	AC	4			AC = Transmitted and accepted by state HRIS system.			
PER2014	3.3.011	Personnel - Payroll Masterfile		AC	75			AC = Termination of employment.			
Section 2.3: Personnel Administration											
PER3001	3.3	Request for Approval of outside Employment		AC	2			AC = End date of outside employment.			
PER3002	3.3	Special Facility Development Leave Files		AC	5			AC = After termination.			
PER3003	3.3	Faculty Endowments		PM							
PER3004	3.3	Faculty Startup Funding		AC	5			AC = After termination.			
PER3005	3.3.001	Affirmative Action Plans	Affirmative action plans for regular employees.		5						29 CFR 30.8 (e).



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PER3006	3.3.004	The UT System Benefit Plans - Working Copy	Employee benefit plans such as pension; life, health, and disability insurances; deferred compensation; etc. including amendments	US	5						29 CFR 1627.3 (b)(2).
PER3007	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						
PER3008	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment.		SEE item number PER1013.	
PER3009	3.3	Verification of Employment Request (VOE)	Requests, verifications, and related documentation	AC	1			AC = Request filled			
PER3010	3.3.015	Position/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
PER3011	3.3.020	Work Schedules / Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments		1						
PER3012	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						
PER3013	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3					SEE Note 1.	
PER3014	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3						



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PER3015	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						
PER3016	3.3.026	Agency Staffing Records	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3					Examples are: alphabetical employee listing, report of employees hired during a month, Quarterly FTE Reports to State Auditor.	
PER3017	3.3.027	Aptitude and Skills Test	Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US	2					CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.49
PER3018	3.3.028	Aptitude and Skills Test (Test Papers)	Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.49
PER3019	3.3.029	Aptitude and Skills Tests (Validation Records)	Records of the validation of aptitude and skills tests.	AC	2			AC = As long as the test is used by an agency.			29 CFR 1602.49
PER3020	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects.	US	2					CAUTION: Does not include hazardous material training records. SEE item number SSR7018.	



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PER3021	3.3.031	EEO Reports and Reporting Documentation	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.
PER3022	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.		3						29 CFR 1620.32
Section 2.4: Time and Leave											
PER4001	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
PER4002	3.4.002	Leave Status Report	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
PER4003	3.4.003	Less Than Full-Time Worked Reports	Dates and hours.		4						40 TAC 815.106(i).
PER4004	3.4.004	Overtime Authorizations			2						
PER4005	3.4.005	Overtime Schedules			2						
PER4006	3.4.006	Time Cards and Time Sheets		FE	4					Refer to item number PER1036 for time cards and time sheets used for student work-study documentation.	40 TAC 815.106(i).
PER4007	3.4.007	Time off and/or Sick Leave Requests		FE	3						
PER4008	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3					Open Record except for medical records that may exist in file.	
CATEGORY 3: FISCAL RECORDS (FIR)											
Section 3.1: Worksheets, Detail Information on Financial Event or Transaction											



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FIR1001	4.1.001	Accounts Payable Information		FE	3					SEE Note 1.	
FIR1002	4.1.002	Billing Detail		FE	3					SEE Note 1. CAUTION: Does not include long distance telephone billing detail. SEE item numbers SSR8001, SSR8002, SSR8004, and SSR8006.	
FIR1003	4.1.002	Comet Cash Declining Balance Accounts		FE	3						
FIR1004	4.1.002	Data Entry Documents		FE	3						
FIR1005	4.1.003	Canceled Checks / Stubs / Warrants / Drafts		FE	3					SEE Note 1.	
FIR1006	4.1.003	Check Registers		FE	3					SEE Note 1.	
FIR1007	4.1.004	Encumbrance Detail		FE	3					SEE Note 1.	
FIR1008	4.1.005	Inventory and Other Costs Files	Production, Job Labor, Quotes, Pricing, Specifications, etc.	FE	3					SEE Note 1.	
FIR1009	4.1.006	Investment Transaction Files		FE	3						
FIR1010	4.1.007	Transfers or Budget Revisions	Includes Budget Adjustment Form (BAF) and transmittal of funds/ cost center transfers	FE	3						
FIR1011	4.1.008	Electronic Fund Transfers	Direct Deposit Registers	FE	3						
Section 3.2: Documents of Original Entry											
FIR2001	4.2	Human Resource System (HRS) Form	New Position Requests	FE	3						
FIR2002	4.2	HRS Form	Position Funding Change	FE	3						
FIR2003	4.2.001	Check Deposit Record / Cash Deposit Vouchers	Check deposit slips and cash deposit slips.	FE	3					SEE Note 1.	
FIR2004	4.2.002	Cash Receipts	Includes receipts for fees (permits, licenses, renewals, etc.)	FE	3					SEE Note 1.	



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					Years	Months	Days				
FIR2005	4.2.003	Daily Cash Receipts Log		FE	3					SEE Note 1.	
FIR2006	4.2.003	Monthly Balancing		FE	3					Only to be used by Copy Center.	
FIR2007	4.2.003	Cash Count		FE	3					Only to be used by Copy Center.	
FIR2008	4.2.004	Encumbrance Vouchers	Orders, statements, change orders, etc.	FE	3						
FIR2009	4.2.005	Purchase Vouchers	Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3					SEE Note 1.	
FIR2010	4.2.006	General Journal Vouchers	This includes Interdepartmental Transfers	FE	3					SEE Note 1.	
FIR2011	4.2.007	Expenditure Vouchers	Employee travel expenses, payroll vouchers, etc.	FE	3					SEE Note 1.	
Section 3.3: Journals or Registers											
FIR3001	4.3.001	Sales Journals or Registers		FE	3					SEE Note 1.	
FIR3002	4.3.002	Receipts Journals or Registers		FE	3					SEE Note 1.	
FIR3003	4.3.003	Expenditure Journals or Registers		FE	3					SEE Note 1.	
Section 3.4: Ledgers											
FIR4001	4.4.001	General Ledger			10					SEE Note 1.	
FIR4002	4.4.002	Accounts Receivable Ledgers		FE	3					SEE Note 1.	
FIR4003	4.4.003	Accounts Payable Ledgers		FE	3					SEE Note 1.	
FIR4004	4.4.004	Employee Savings Bond Ledgers		FE	3					SEE Note 1.	
Section 3.5: Reports											
FIR5001	4.5	Budget Information Systems (BIS) E-Print Electronic Records		FE	3						
FIR5002	4.5	Financial Reporting System (FRS) E-Print Electronic Records		FE	3						



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FIR5003	4.5.001	Worksheets for Preparing Financial Reports	Includes Annual Financial Report workpapers (i.e., 13 Month Post- Closing Report)	FE	3					SEE Note 1	
FIR5004	4.5.002	Internal Fiscal Management Reports	Includes reports to UT System and agency monthly budget/financial reports.	FE	3					SEE Note 1.	
FIR5005	4.5.003	Annual Financial Reports		AC	6			AC = September 1 of odd-numbered calendar years.	I	Required by the General Appropriations Act (100 Day Report). CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number ADR1049, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
FIR5006	4.5.005	External Fiscal Reports	Special purpose reports such as federal financial reports, salary reports, etc. Includes HUB Reports.	FE	3					SEE Note 1.	
FIR5007	4.5.006	Annual Operating Budgets	Agency Monthly Budget Reports. Required by the General Appropriations Act.	FE	3						
FIR5008	4.5.006	Budget Presentations		FE	3						
FIR5009	4.5.007	USAS Reports - Daily		AC				AC = Receipt and reconciliation of monthly report.			



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					Years	Months	Days				
FIR5010	4.5.008	USAS Reports - Monthly		AC				AC = Receipt and reconciliation of annual report.			
FIR5011	4.5.009	USAS Report - Annual		FE	3						
Section 3.6: Documents Showing Compliance with System of Internal Control											
FIR6001	4.6	Compliance Program Files		FE	3						
FIR6002	4.6	General Compliance Training Records		US	5						
FIR6003	4.6.001	Balancing Records		FE	3					SEE Note 1.	
FIR6004	4.6.002	Reconciliations		FE	3					SEE Note 1.	
FIR6005	4.6.003	Cash Counts		FE	3					SEE Note 1.	
FIR6006	4.6.003	Petty Cash Reimbursement		FE	3					SEE Note 1.	
Section 3.7: Purchasing											
FIR7001	5.3.002	Freight Bills Paid		FE	3						
FIR7002	5.3.003	Freight Claims		AC	2			AC = Resolution of claim.			
FIR7003	5.3.004	Order - Acknowledgments		AV							
FIR7004	5.3.005	Packing Slips		AV							
FIR7005	5.3.007	Bid Documentation - Successful Bids (on or after September 1, 2015)	For successful bids executed, renewed, or amended on or after September 1, 2015. Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, and bid tabulation/evaluations.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		CAUTION: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal is supporting documentation and must be retained for the same period as the contract. SEE SSR1002-1009 and item number SSR6033.	



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FIR7006	5.3.007	Bid Documentation - Successful Bids (on or before August 31, 2015)	For successful bids executed, renewed, or amended on or before August 31, 2015. Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, and bid tabulation/evaluations.	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 is supporting documentation and must be retained for the same period as the contract. SEE SSR1002-1009 and item number SSR6033.	
FIR7007	5.3.007	Bid Documentation - Unsuccessful Bids	For unsuccessful bids. Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, and bid tabulation/evaluations.	AC	2			AC = Date of notification of denial or date of withdrawal, as applicable.			
FIR7008	5.3.008	Purchasing Card Log	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
FIR7009	5.3.008	Purchasing Card Cardholder Activity Report		FE	3						
FIR7010	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Decision not to proceed with the procurement.		CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with FIR7005, FIR7006, and/or FIR7007.	
Section 3.8: Other Fiscal Records											
FIR8001	4.7	Account History Files		AC	5			AC = Closure of accounts.		SEE Note 1.	
FIR8002	4.7	Bank Collateral Records		FE	5					SEE Note 1.	
FIR8003	4.7.001	Accounting Policies and Procedures Manual		US	3						



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FIR8004	4.7.002	Bank and Appropriations Statements and Reconciliation Data			5					SEE Note 1.	
FIR8005	4.7.003	Returned Checks / Warrants / Drafts (Uncollectable)		AC	3			AC = After deemed uncollectible.		SEE Note 1.	
FIR8006	4.7.004	Capital Asset Records		LA	3					SEE Note 1.	
FIR8007	4.7.005	Claim Files		AC	3			AC = Resolution of claim.			
FIR8008	4.7.006	Comptroller Statements		FE	3					SEE Note 1.	
FIR8009	4.7.007	Detailed Chart of Accounts	One for all accounts in use for a fiscal year.	FE	3					SEE Note 1.	
FIR8010	4.7.008	Date and Effort Report / Contract & Grant Certification			7					SEE Note 1.	
FIR8011	4.7.008	Grant Records	This series documents state and federal grant projects participated in or administered by state agencies. It includes grant authorization records, which provide evidence of the award of grants to or by agencies; grant/project financial or performance reports, which are periodic reports of financial activity and/or program performance related to grants received or made by agencies.	AC	5			AC = Satisfaction of all uniform administrative requirements for grants and cooperative agreements to state and local governments (the common rule).		SEE Note 1. UTS Policy. CAUTION: Retention requirements may vary depending upon the specific federal funding agency.	
FIR8012	4.7.008	Indirect Cost Calculations		AC	7			AC = Data rate issued by federal agency having oversight of our grant development.		SEE Note 1.	



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FIR8013	4.7.009	Fixed Asset Sequential Number Logs		US	3						
FIR8014	4.7.010	Long-Term Viability Records	Includes Bond Issuances and Debt Service Records	AC	3			AC = Retirement of debt.		SEE Note 1.	
FIR8015	4.7.011	Texas Facilities Commission Statements (TFC)	Charge or bill statements received by agencies from the TFC for services provided.	FE	3					SEE Note 1.	
FIR8016	4.7.012	Signature Authority	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3			AC = US+FE.			
FIR8017	4.7.010	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 = 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.	



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FIR8018	13.2.001	Donor Files	Includes individual donor and prospective donor files.	AC				AC = Prospect ceases to be viable.	I	CAUTION: Includes donor or prospective donor information only. For records of gifts, refer to item number ADR1009. CAUTION: The name or other identifying information about a donor may be withheld from public disclosure under the Public Information Act. Government Code Sec. 552.1235.	Government Code, Chapter 552.1235 (EXCEPTION: IDENTITY OF PRIVATE DONOR TO INSTITUTION OF HIGHER EDUCATION) donors to higher education institutions may be anonymous; identity may be withheld.
FIR8019	13.2.002	Fundraising Records	This series documents institutional efforts to raise funds to support program functions and facilities. This series may include, but is not limited to: requests for fund-raising; gift history reports; background on previous donations; pledges; and related documentation and correspondence.	7						CAUTION: Does not include financial records. Refer to item number ADR1009. CAUTION: For donor files, refer to item number FIR8018. For public relations records, refer to item number ADR1025. CAUTION: The name or other identifying information about a donor may be withheld from public disclosure under the Public Information Act. Government Code Sec. 552.1235.	
CATEGORY 4: SUPPORT AND SERVICES RECORDS (SSR)											
Section 4.1: General											
SSR1001	5.1	Special Event Risk Assessment		AC	1			AC = Completion of an event.			



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					Years	Months	Days				
SSR1002	5.1.001	Contracts & Leases - Lateral Agreements / Contracts (on or after September 1, 2015)	Lateral Agreements/Contracts that were executed, renewed, or amended on or after September 1, 2015. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC	7			AC = Expiration or termination of the instrument according to its terms.		SEE related item numbers: PER1027 & PER1028 (Performance Bonds) and FIR7005, FIR7006, & FIR7007 (Bid Documentation). SEE item number SSR6033 for building construction contracts and SSR1013 for contract logs.	Government Code, 441.1855
SSR1003	5.1.001	Contracts & Leases - Lateral Agreements / Contracts (on or before August 31, 2015)	Lateral Agreements/Contracts that were executed, renewed, or amended on or before August 31, 2015. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC	4			AC = Expiration or termination of the instrument according to its terms.		SEE related item numbers: PER1027 & PER1028 (Performance Bonds) and FIR7005, FIR7006, & FIR7007 (Bid Documentation). SEE item number SSR6033 for building construction contracts and SSR1013 for contract logs.	Government Code, 441.1855



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SSR1004	5.1.001	Contracts & Leases - Equipment Leases (on or after September 1, 2015)	Equipment Leases that were executed, renewed, or amended on or after September 1, 2015. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC	7			AC = Expiration or termination of the instrument according to its terms.		SEE related item numbers: PER1027 & PER1028 (Performance Bonds) and FIR7005, FIR7006, & FIR7007 (Bid Documentation). SEE item number SSR6033 for building construction contracts and SSR1013 for contract logs.	Government Code, 441.1855
SSR1005	5.1.001	Contracts & Leases - Equipment Leases (on or before August 31, 2015)	Equipment Leases that were executed, renewed, or amended on or before August 31, 2015 . Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC	4			AC = Expiration or termination of the instrument according to its terms.		SEE related item numbers: PER1027 & PER1028 (Performance Bonds) and FIR7005, FIR7006, & FIR7007 (Bid Documentation). SEE item number SSR6033 for building construction contracts and SSR1013 for contract logs.	Government Code, 441.1855



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SSR1006	5.1.001	Contracts & Leases - Space Leases/Property Leases (on or after September 1, 2015)	Space Leases/Property Leases that were executed, renewed, or amended on or after September 1, 2015. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC	7			AC = Expiration or termination of the instrument according to its terms.		SEE related item numbers: PER1027 & PER1028 (Performance Bonds) and FIR7005, FIR7006, & FIR7007 (Bid Documentation). SEE item number SSR6033 for building construction contracts and SSR1013 for contract logs.	Government Code, 441.1855
SSR1007	5.1.001	Contracts & Leases - Space Leases/Property Leases (on or before August 31, 2015)	Space Leases/Property Leases that were executed, renewed, or amended on or before August 31, 2015. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC	4			AC = Expiration or termination of the instrument according to its terms.		SEE related item numbers: PER1027 & PER1028 (Performance Bonds) and FIR7005, FIR7006, & FIR7007 (Bid Documentation). SEE item number SSR6033 for building construction contracts and SSR1013 for contract logs.	Government Code, 441.1855



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SSR1008	5.1.001	Contracts & Leases - General	Contracts and/or Leases that cannot be categorized in other record series found in this schedule, and were executed, renewed, or amended on or after September 1, 2015. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC	7			AC = Expiration or termination of the instrument according to its terms.		SEE related item numbers: PER1027 & PER1028 (Performance Bonds) and FIR7005, FIR7006, & FIR7007 (Bid Documentation). SEE item number SSR6033 for building construction contracts and SSR1013 for contract logs.	
SSR1009	5.1.001	Contract & Leases - General	Contracts and/or Leases that cannot be categorized in other record series found in this schedule, and were executed, renewed, or amended on or before August 31, 2015. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC	4			AC = Expiration or termination of the instrument according to its terms.		SEE related item numbers: PER1027 & PER1028 (Performance Bonds) and FIR7005, FIR7006, & FIR7007 (Bid Documentation). SEE item number SSR6033 for building construction contracts and SSR1013 for contract logs.	



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SSR1010	5.1.001	Catering Contract / Authorization for Food Service (on or after September 1, 2015)	Catering Contracts/Authorizations for Food Service that were executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms.			Government Code, 441.1855
SSR1011	5.1.001	Catering Contract / Authorization for Food Service (on or before August 31, 2015)	Catering Contracts/Authorizations for Food Service that were executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the instrument according to its terms.			Government Code, 441.1855
SSR1012	5.1	Outside Catering Requests	Requests to use non-University caterer services for an event.	FE	3						
SSR1013	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						
SSR1014	5.1	Course Book Information Requests		AC	2			AC = After current semester.			
SSR1015	5.1.003	Delivery Reports - Receiving Reports			2						
SSR1016	5.1.004	Mail and Telecommunications Listings	Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US							
SSR1017	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3					SEE Note 1.	
SSR1018	5.1.015	Correspondence Tracking Records	Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.		1						
SSR1019	5.1.007	Requisition for In-House or Inter-Agency Copy/Printing Service	Includes word processing and data processing.	AV							



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					Years	Months	Days					
SSR1020	5.1.011	Photocopier and Telefax usage logs & reports	Includes monthly usage reports and such reports that are maintained by the UTD Copy Center	AV								
SSR1021	5.1.010	Licenses and Permits for Non-vehicles	Does not include licenses and permits issued by the university as part of its statutory responsibilities.	AC	2			AC = Expiration date of license or permit.				
SSR1022	5.1.013	Insurance Policies	Insurance policies for vehicles, equipment, etc. Includes Comprehensive Property Protection Program (CPPP).	AC	20			AC = Expiration or termination of the policy according to its terms.			UTS Policy. Government Code, 441.1855	
SSR1023	5.1.012	Charge Schedules / Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US	3							
SSR1024	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1							
Section 4.2: Police												
SSR2001	5.4	Police Operations Log			1							



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SSR2002		Activity Logs, Dockets, and Reports	Logs or equivalent records, usually arranged chronologically or by case, court, or citation number, providing summary data on complaints investigated by law enforcement officers, arrests made, citations issued, accidents investigated, court arraignments, court appearances by officers, and similar activities relating to the arrest or citation of persons or the investigation of offenses.		2				O	Activity logs, dockets, or reports that are kept in a bound volume shall be retained 2 years after the last entry. These records will be appraised by the records management officer for historical value, and those determined by the records management officer to merit retention for historical reasons must be retained PERMANENTLY.	
SSR2003		Municipal Citations				6					
SSR2004		Evidence Records		AV							
SSR2005		Campus Crime Alert		PM							
SSR2006		Incident Reports - Police		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).	20 U.S.C. 1092(f)
SSR2007		Police Case Reports		PM							
SSR2008		UT System Police Memos		FE	3						
SSR2009		Call Box Documents		FE	10						
SSR2010		Found Property Log		AV							
SSR2011		Patrol Car/Motorcycle Checklist		FE	5						
SSR2012		Ride-Along Waiver of Liability		FE	3						



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SSR2013		Release of Liability		FE	5					Does not include indemnification forms related to campus activities or travel. SEE item numbers SSR3004 and SSR7011.	
SSR2014		Personnel Background Information for Police			3						
SSR2015		Security Sensitive Forms		AV							
SSR2016		Police Department Warning Form		FE	5						
SSR2017		Internal Affairs Investigations - Complaints Leading to Investigation	Written complaints and records of complaints received from the public concerning the conduct of law enforcement personnel that lead to an internal affairs investigation.	FE	10						
SSR2018		Internal Affairs Investigations - Unfounded Complaints	Written complaints and records of oral complaints received from the public concerning the conduct of law enforcement personnel that do not lead to an internal affairs investigation.	AC	3			AC = Date of determination not to conduct an internal affairs investigation.		Provided a 1 year infraction-free period precedes the date of destruction.	
SSR2019		Internal Affairs Investigations - Shooting Incidents	Records of investigation of law enforcement shooting incidents which result in death or injury to any person, including a police officer.	PM							
SSR2020		Internal Affairs Investigations - Formal Discipline	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	15			AC = Date investigation was completed.			



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SSR2021		Internal Affairs Investigations - Informal Discipline	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	5			AC = Date investigation was completed.		Provided a 1 year infraction-free period precedes the date of destruction.	
SSR2022		Internal Affairs Investigations - Not Sustained	Records of investigations whose findings are not sustained, or in cases where accusations are determined to be unfounded or the accused is exonerated.		3					Provided a 1 year infraction-free period precedes the date of destruction.	
Section 4.3: Health and Counseling											
SSR3001		Callier Center for Communication Disorders - Patient Medical Records - Adults		AC	7			AC = After last visit treatment by the physician (adults).			22 TAC 165.1
SSR3002		Callier Center for Communication Disorders - Patient Medical Records - Minors		AC	5			AC = After child's 16th birthday.		Microfilming is mandatory.	22 TAC 165.1
SSR3003		Student / Patient Medical Records		AC	10			AC = 10 years past the last date of service or until the patient is 21 years of age, whichever is longer.			
SSR3004		Medical Information and Release Forms	Medical Release and Indemnification forms completed for those who participate in campus activities or travel.	AC	7			AC = Date of last service. Or, retain until individual reaches age 21, whichever is longer.		For nonmedical release forms, refer to item number SSR7011. URRS-496	22 TAC 165.1(b)



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SSR3005	16.1.009	Disclosure of Protected Health Information	This records series documents disclosure of Protected Health Information (PHI) in accordance with the Health Information Portability and Accountability Act compliance regulations.	FE	6						
SSR3006		Student Health Insurance Files - Waivers and Enrollment Forms	Student health insurance waivers, list of waivers, and SOS enrollment forms.	AC	2			AC = After graduation or last date of attendance.		International Student Services Office maintained prior to FY 12. Health Center maintains effective FY 12.	
SSR3007		Student Health Insurance Files - Complaints/Grievances		AC	7			AC = After graduation or last date of attendance.			
SSR3008		Fitness Test, Personal Training, and Dietitian Files	Fitness test & files for students.	FE	3						
SSR3009		UTD Student Health Center (SHC) Data Sheet		AV							
SSR3010		Patient Office Visit Info (Superbill)		AC	10			AC = After graduation or date of last attendance.		Will become part of Electronic Medical Record (EMR) effective 1/1/2013.	
SSR3011		Azusa Test Records		PM						School of Behavioral and Brain Sciences publication.	
SSR3012		Mandatory TB Test Documentation Form		AC	10			AC = After graduation or date of last attendance.		Will become part of Electronic Medical Record (EMR) effective 1/1/2013. TX Dept. of State Health Services (TDSHS) Retention Schedule Agency Item # 3880.	
SSR3013		Influenza Vaccine Injection Release		AC	1			AC = Last date of service.			



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SSR3014		Meningococcal Vaccine Injection Record		AC	5			AC = After graduation or date of last attendance.		Registrar's office maintains record of vaccination effective FY13.	
SSR3015		Client Psychology Files	Client information, client consent forms and associated documentation. This records series may also contain counseling notes which are created during each patient session.	AC	10			AC = After graduation or date of last attendance.			
SSR3016	16.1.008	UTD Counseling Center - Counseling Case Records	This series documents all clients who are provided counseling services by the institution's counseling center. Clinicians provide treatment concerning personal problems, academic concerns, and career concerns. Records may include: extensive notes made by providers concerning the assessment, diagnosis, treatment and contacts (written, telephone, or in person) with each client; referral letters; release of information agreements; letters to agencies or others concerning the clients; and related documentation.	AC	5			AC = Last contact with client.			22 TAC 681.41(r)
SSR3017		Counseling Log - Lab Take In		AC	1			AC = Last date of service.			
SSR3018		Clinical Supervision Files		AC	10			AC = End of internship or practicum.			
SSR3019		Counseling Center Trainee Files		AC	10			AC = End of internship or practicum.			
SSR3020		Guest Worker Files	Psychiatrists and practicum students in the counseling center	AC	5			AC = End of internship or practicum.			
SSR3021		Explanation of Benefits - Student		AC	7			AC = After graduation or date of last attendance.			

Section 4.4: Library, Archives, and Museum



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SSR4001	1.3	Library Patron Applications	Applications/requests to checkout, view, or use library/archive materials, equipment, books, or artifacts	AC	4			AC = Date of application/agreement.		Include Research Applications for Special Collections, Community Users applications, and agreement forms for library laptops/cameras.	
SSR4002		TexShare Cardholder Agreements	Applications/agreements for TSLAC TexShare Card Program	AC	2			AC = Date TexShare card is issued.			
Section 4.5: Housing and Dining											
SSR5001		Student Housing Applications - Freshman and Co-Signer		AC	1			AC = After graduation or last date of attendance.		CAUTION: If the institution obtains credit report information, then records created under this series must be retained 5 years beyond the application term. Fair Credit Reporting Act, 15 U.S.C. 1681(p).	
SSR5002		Student Housing Resident Forms		AC	2			AC = After graduation or last date of attendance.			
SSR5003		Student Housing Certificates of Eligibility	Student certificates of eligibility to live on campus.	AC	1			AC = After date submitted.			
SSR5004		Student Housing Reports		AC	7			AC = After end of semester.			
SSR5005		Residential Life Program Files		AC	2			AC = After end of program.			
SSR5006		Residential Life Program Release Forms / Waivers		AC	7			AC = After end of program.			
Section 4.6: Facilities Management											
SSR6001	5.2	Physical Plant Maintenance Records - Outside Contractor			5						
SSR6002	5.2	Physical Plant Maintenance Records - In-House Contractor			3						



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SSR6003	5.2	Safe Combinations Masterfile		LA							
SSR6004	5.2	Service Calls - Administrative Reports		AC	2			AC = Completion of service call.			
SSR6005	5.2.001	Appraisals - Building or Property		AV					O		
SSR6006	5.2.002	Building Construction Project Files	Planning, design, and construction records; accepted and rejected bids; correspondence; etc.	AC	11			AC = Completion of project.	O	UTS Policy. SEE ALSO item numbers SSR6007, SSR6008, and SSR6033.	
SSR6007	5.2.003	Building Plans and Specifications for New Construction Renovations, Rehabilitations, and Restorations - Owned	Includes architectural and engineering drawings, profiles, and blueprints; also includes buildings and facilities Master Plans	LA					O	SEE ALSO item numbers SSR6006 and SSR6033.	
SSR6008	5.2.003	Building Plans and Specifications for Renovations, Rehabilitations, and Restorations - Leased	Includes architectural and engineering drawings, profiles, and blueprints.	AC	2			AC = Cancellation or termination of lease.		SEE ALSO item numbers SSR6006 and SSR6033.	
SSR6009	5.2.004	Building Space Requests			1						
SSR6010	5.2.005	Equipment / Instrument Calibration Records			10						
SSR6011	5.2.006	Property Destruction Certificates		FE	3						
SSR6012	5.2.007	Damage Reports	Reports of damage to state property	FE	3						
SSR6013	5.2.008	Equipment History File	Includes requests for installation, moves, service, etc.; and service/repair logbooks, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with SSR1004-SSR1005.	



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SSR6014	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory. Includes Property Deletion Request/Transfer Notices (PA2 Forms & PA3 Forms)	FE	3					SEE Note 1.	
SSR6015	5.2.010	Equipment Manuals		LA							
SSR6016	5.2.011	Equipment Warranties		AC	1			AC = Termination or expiration of warranty.			
SSR6017	5.2.012	Estimate Files (Supply and Repair Cost Estimates)			1						
SSR6018	5.2.014	Inventory - Annual Physical	Property, equipment, supply verification. Includes real property.	FE	3					SEE Note 1.	
SSR6019	5.2.015	Inventory, Notices of Equipment Removed From		FE	3						
SSR6020	5.2.016	Inventory System Update Listings	Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC				AC = Transfer of information into annual listing.			
SSR6021	5.2.017	Lost / Stolen Property Report		FE	3						
SSR6022	5.2.018	Quality Control Reports			2						
SSR6023	5.2.019	Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.		1						
SSR6024	5.2.020	Supply Usage Records		FE	1						
SSR6025	5.2.021	Surplus Property Sale Reports		FE	3					SEE Note 1.	
SSR6026	5.2.022	Utility Usage Reports	Utility billing detail	FE	4						



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SSR6027	5.2.023	Year-to-Date Activity (Inventory Listing)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE	3						
SSR6028	5.2.024	Material Specifications		AC	2			AC = Material is no longer in the agency.			
SSR6029	5.2.025	Equipment Descriptions and Specifications		AC	2			AC = Equipment is no longer in the agency.			
SSR6030	5.2.026	Facilities Reservation Logs	Reservation logs or similar records relating to the use of agency facilities such as meeting rooms, auditoriums, etc.		2						
SSR6031	5.2.026	Locker Registration			2						
SSR6032	5.2.027	Space Utilization Reports		AV							
SSR6033	5.2.028	Building Construction Contract and Inspection Records		LA	10				O	SEE ALSO item numbers SSR6006, SSR6007 and SSR6008.	
Section 4.7: Safety and Risk Management											
SSR7001	5.4	Asbestos Building Surveys		LA	30						
SSR7002	5.4	Asbestos Monitoring			30						OSHA Standard 1926.1101 Part 5(n)(2)(iii).
SSR7003	5.4	Asbestos Sampling Results		LA	30						
SSR7004	5.4	Chemical Inspection Reports			30						
SSR7005	5.4	Radiation Tests and Monitoring			3						10 CFR 20.2106 and 25 TAC 289.202.



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SSR7006	5.4	Radiation Purchase Records		AC	5			AC = Termination of license.			25 TAC 289.202 (tt)(2).
SSR7007	5.4	Radiation Disposal Records		AC	5			AC = Until termination of license or certificate of registration.			25 TAC 289.202 (tt)(2).
SSR7008	5.4.001	Safety Records	Records of Exposure to Asbestos, Tremolite, Anthophyllite, Actinolite, and other Hazardous Materials.		30						29 CFR 1904.33.
SSR7009	5.4.001	Accident Reports and Associated Documentation	Accident or occupational disease reports (for faculty/staff/visitors/students) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE	5					The Department Of Insurance retains copies of the reports submitted to it for 50 years. Retain records longer if residual effects are possible.	29 CFR 1904.33. 29 CFR 1904.6.
SSR7010	5.4.001	Worker's Compensation Reports		CE	5						29 CFR 1904.6.
SSR7011		Release and Indemnification Forms - Activities / Travel	Non-medical release of liability agreement forms completed for those who participate in campus activities or travel.	AC	4			AC = End of activity, event, or program for which the waiver or release is issued.		For medical release forms, refer to item number SSR3004. CAUTION: If an incident occurs, liability waiver forms and documentation must be retained for the same period as accident forms.	
SSR7012	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
SSR7013	5.4.003	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 event asbestos-free building (new buildings).	AC	3			AC = Inspection or date of the correction of the deficiency, if the inspection report reveals the deficiency.		CAUTION: Does not include inspection reports of building construction. SEE item number SSR6033.	



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SSR7014	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code	AC	3			AC = Deficiency corrected.			
SSR7015	5.4.004	Fire Drills Log		FE	5						
SSR7016	5.4.004	Fire Reports		LA							
SSR7017	5.4.004	Fire Maintenance Reports		CE	5						
SSR7018	5.4.007	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						Texas Health & Safety Code §502.009 (g).
SSR7019	5.4.008	Hazard Communication Plans		US	5						Texas Health & Safety Code §502.009 (g).
SSR7020	5.4.009	Chemical Transfer Records		LA	30						
SSR7021	5.4.009	Chemical Recycling Record		LA	30						
SSR7022	5.4.009	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 sheet; Uniform Hazardous Waste Manifest Forms (EPA 8700); Certificates of Disposal from vendors; land disposal notification form; waste disposal records; and related documentation and correspondence.		30						



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SSR7023	5.4.009	Workplace Chemical Lists	Includes Controlled Substance Drug Logs/DEA Form/Chemical Inventories		30						Texas Health & Safety Code, 502.005 (d) and 21 CFR 1304.04 (controlled substances).
SSR7024	5.4.009	Narcotics and Precursor Chemicals (All Related Records)			30						
SSR7025	5.4.010	Material Safety Data Sheets		AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.			
SSR7026	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
SSR7027	5.4.012	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 = Until superseded, date of expiration or date of termination, which ever sooner.			
SSR7028	5.4.013	Disaster Preparedness and Recovery Plans	Including Police Disaster Recovery Plan	US							
Section 4.8: Telecommunications											
SSR8001	5.5.001	Billing Detail - Telecommunications	In addition to summary detail, includes any accompanying detailed listing of long distance calls.	FE	3					SEE Note 1.	
SSR8002	5.5.002	Long Distance Telephone Logs	Long distance logs created by agencies for internal documentation purposes. Includes any similar logs created for long distance facsimile or electronic transmissions.	AV							



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SSR8003	5.5.004	System Activity Reports	Internal listing of all incoming/outgoing agency telephone activity.	AV							
SSR8004	5.5.006	Billing Detail - Telephone Service Requests		FE	3						
SSR8005	5.5.006	Wire / Equipment Charge (Internal)		FE	3						
SSR8006	5.5.007	Disputed Call Documentation	Documentation relating to disputed long distance calls, including documents evidencing repayment by employees for personal long distance use.	FE	3						
Section 4.9: Vehicles											
SSR9001	5.6	Parking Violation Notices		AC	3			AC = Resolution			
SSR9002	5.6	Vehicle Registration for Parking		AC	3			AC = Until superseded or permit expired			
SSR9003	5.6.003	Inspection Repair and Maintenance Records - Vehicles		LA	1						
SSR9004	5.6.004	Motor Vehicle Driving Record (MVR)	License and driving record checks	AC				AC = Until superseded or until termination of employment.			
SSR9005	5.6.005	Vehicle Use Reports	Includes mileage, fuel/oil consumption, operation log, passengers carried and other related operational information.	FE	3					SEE Note 1.	
SSR9006	5.6.007	Vehicle Titles and Registrations		LA							
SSR9007	5.6.009	Parking Permits or Assignments		US							
Section 4.10: Other University Services											
SSR1101		Comet Card Requests	All cards issued except registered students		1						



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SSR1102		Comet Cardholder Photos		AC	1			AC= After graduation or date of last attendance.			
SSR1103		Photo Releases (Non FERPA)		AV						Photo/talent release form authorizations.	
SSR1104	16.5.003	Child and Youth Program Participant Records	This series documents the participation of children and youth in programs sponsored by the institution. The series may include: applications; enrollment records; progress reports and assessments; immunization records; parental consent forms; activity records; lists of attendees; and related correspondence.	AC	3			AC = End of program session or student separation from program, as applicable.			
SSR1105	16.5.009	Non-Institution Student Records	This series documents and tracks the application, selection, and progress in special instructional programs of elementary through high school and non-institution students belonging to special, minority, or disadvantaged groups. Examples of programs to which this series applies are Science and Mathematics Investigative Learning Experiences (SMILE), Upward Bound, High School Equivalency, and other non-institution programs.	AC	3			AC = Student separation from program.		Records series may include, but is not limited to: application and admission documentation; personal and family information; medical and health documentation; selection and decision making documentation; Educational Opportunity Program (EOP) documentation; notification of admission and non-admission; recommendations and evaluative materials; copies of academic records; counseling and advising notes and documentation; housing and conduct documentation; federal student aid reports; risk release and insurance forms; immigration and citizenship documentation; financial responsibility records; reports; and related documentation and correspondence.	



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SSR1106		Callier Center Daycare - Child Enrollment		FE	4						
SSR1107		Callier Center Daycare - Tracking Roster		AC	7			AC = Last day of attendance.			
SSR1108		Callier Center Daycare - Volunteer File		AC	5			AC = Last day of participation.			
SSR1109		Callier Center Daycare - National School Breakfast / Lunch		FE	4						
SSR1110		Gym Membership Registration and Information Records	Records related to UTD gym memberships. Includes membership registration or application forms and supporting documentation.	AC	4			AC = Expiration of membership term.		Does not include membership payment transactions. SEE Category 3: Fiscal Records.	

CATEGORY 5: STUDENT RECORDS (STR)

Section 5.1: Admissions and Assessment

STR1001		Admissions Records - Enrolled/Accepted	This series documents the application process for individuals seeking admission to the institution. Records may include, but are not limited to: acceptance letters, applications for admission, entrance exam reports, letters of recommendation, medical records, readmission forms, recruitment materials, test scores, residency classification forms, transcripts from other colleges, transcripts from high school, and related correspondence.	AC	5			AC = After graduation or date of last attendance.		CAUTION: International student academic records must be retained at least 1 year after final notice to Immigration and Naturalization Service. SEE item number STR2002.	
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					Years	Months	Days				
STR1002		Admissions Records - Not Enrolled/Denied	This series documents the application process for individuals seeking admission to the institution. Records may include, but are not limited to: acceptance letters, applications for admission, entrance exam reports, letters of recommendation, medical records, readmission forms, recruitment materials, test scores, residency classification forms, transcripts from other colleges, transcripts from high school, and related correspondence.	AC	1			AC = After application term.		CAUTION: International student academic records must be retained at least 1 year after final notice to Immigration and Naturalization Service. FERPA applies, but record is subject to Texas Open Records Law.	
STR1003		International Student Records - Not Enrolled/Denied	This series documents institution assistance to international students who are considering attendance at the institution. Records may include, but are not limited to: letters of inquiry from prospective students; official replies to inquiries; completed applications and admittance forms; local data sheets; advisory notes; and related documentation and correspondence.	AC	1			AC = Failure to enroll.			



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STR1004		Advanced Placement and Credit Records for Student Applicants Who Enroll	Transfer credit evaluations, national or state standardized test scores and reports (e.g., CLEP, AP, Departmental, IB, SAT II), credit by examination authorizations and reports, military course documentation (e.g., DSST, USAFI) and evaluations, non-traditional transcripts and credentials, life experience records, requests for advanced credit, and similar documentation used by a university to evaluate and determine award of credit by advanced placement.	AC	5			AC = After graduation or date of last attendance.		Applicants Who Enroll applies to applicants who have enrolled and remain enrolled after census day.	
STR1005		Entrance Examination Reports (ACT, CEEB) for Student Applicants Who Enroll		AC	5			AC = After graduation or date of last attendance.		Applicants Who Enroll applies to applicants who have enrolled and remain enrolled after census day.	
STR1006		Placement Scores for Student Applicants Who Enroll		AC	5			AC = After graduation or date of last attendance.		Applicants Who Enroll applies to applicants who have enrolled and remain enrolled after census day.	
STR1007		Test Scores for Student Applicants Who Enroll		AC	5			AC = After graduation or date of last attendance.		Applicants Who Enroll applies to applicants who have enrolled and remain enrolled after census day.	
STR1008		Correspondence, Relevant for Student Applicants Who Enroll		AC	5			AC = After graduation or date of last attendance.		Applicants Who Enroll applies to applicants who have enrolled and remain enrolled after census day.	
STR1009		Letters of Recommendation for Student Applicants Who Enroll		AC				AC = Until admitted.		Applicants Who Enroll applies to applicants who have enrolled and remain enrolled after census day.	
STR1010		Residency Classification Forms for Student Applicants Who Enroll		AC	5			AC = 5 years after graduation or date of last attendance.		Applicants Who Enroll applies to applicants who have enrolled and remain enrolled after census day.	



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STR1011	15.1.007	Residency Affidavits and Documentation	This series documents declarations filed by students regarding state residency status which is critical for determining tuition status. Records may include, but are not limited to: affidavits; correspondence regarding residency; and related documentation.	AC	6			AC = Date of submission.		Not for residency classification forms submitted by applicants as part of the admissions process. SEE item number STR1010.	Texas Education Code §54.052
STR1012		Comet Connection Forms for Applicants Who Do Not Enroll	Applies only to records for applicants who do not remain enrolled after census day.	AV						Comet Connection forms for applicants who do enroll are included in item number STR1001.	
STR1013		STEP (Select Transfer Enrollment Program) forms for Applicants Who Do Not Enroll	Applies only to records for applicants who do not remain enrolled after census day.	AV						Step forms for applicants who do enroll are included in item number STR1001.	
STR1014		Applications for Admissions and Supplemental Application Materials for Applicants Who Do Not Enroll	Supplemental documents include, but are not limited to: Letters of Recommendation, placement scored, advanced placement records, and entrance exam reports. Applies only to records for applicants who do not remain enrolled after census day.	AC	1			AC = After application term.			
STR1015		Pre-Application Documents	Documents include orphaned documents, not on system, or without accompanied application.	AC	1			AC = After term of submission.			
STR1016		Recruitment Materials for Student Applicants			3					The federal legislation which governs these records is as follows: Veterans Administration regulations require that all recruitment materials be retained 3 years.	
STR1017		Acceptance Letters for Student Applicants Who Enroll		AC	5			AC = After graduation or date of last attendance.		Applicants Who Enroll applies to applicants who have enrolled and remain enrolled after census day	

Section 5.2: Academic Records



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					Years	Months	Days				
STR2001		Academic Records of Students	Including transcripts, narrative evaluations, competency assessments, etc.	PM					I		
STR2002		International Student Records - Enrolled/Accepted	<p>This series documents nonacademic institution assistance to international students who have been admitted to academic programs. These records primarily concern institution admissions, immigration issues, and other nonacademic matters.</p> <p>Records may include, but are not limited to: copies of visas; scholarship information; institution admissions forms; graduate school applications; transcripts of previous college work; grade reports 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.</p>	AC	7			AC = After graduation or date of last attendance.		CAUTION: Must be retained at least 1 year after final notice to Immigration and Naturalization Service.	8 CFR 214.3(g), 22 CFR



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					Years	Months	Days				
STR2003	15.2.034	Veterans Records	This series documents the entitlement status and enrollment of veterans in the institution. Records include, but are not limited to: individual veteran student records that certify to the U.S. Department of Veterans Affairs that the student is eligible for educational benefits, is currently enrolled at the institution in a qualifying curriculum, and is maintaining standards required to receive entitlements; veterans attendance reports; and related forms, documentation and correspondence.	AC	3			AC = Graduation or date of last attendance.			38 CFR 21.4209
STR2004	15.2.026	Student Advising Records	This series includes records of academic advisement to students. Series may include advisors' notes and advising checklists.	AC	3			AC = Student separation from the department or institution			
STR2005		Individual Service Plans		AC	7			AC = After graduation or date of last attendance.			
STR2006		Documentation of Accommodation - Student File		AC	7			AC = After graduation or date of last attendance.			
STR2007		Correspondence, Relevant - Student Records		AC	5			AC = After graduation or date of last attendance.			



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STR2008		Academic Action Authorizations	Authorizations for academic actions, such as academic probation, suspensions, dismissals, reinstatements, etc. Does not include disciplinary action records.	AC	5			AC = After graduation or date of last attendance.			
STR2009		Disciplinary Action Documents - Students (Separate Confidential Record)	This series documents academic dishonesty and conduct violations among students. Records may include, but are not limited to: incidents reports; final reports; evidence; notification of allegation; disciplinary reports; informal discussion notes; formal hearing notes; final summary statements; decision statements; appeals documentation; and related documentation and correspondence.	AC	5			AC = After incident.		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. Buckley Amendment, confidential record.	
STR2010		Hold or Encumbrance Authorizations - Student Records	Documents used to place and remove holds on registration, student services, or the release of transcripts or other academic data until the subject of the hold/encumbrance takes a specific action.	AC				AC = Date of release.			
STR2011		Class Schedules of Students	This series provides a list of the classes registered for by an individual student for a particular semester.	AC	1			AC = After graduation or date of last attendance.			



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STR2012		Course Registration and Status Records	Registration forms, class rosters, and similar records providing information on which courses student are registered for at the beginning of an academic term, including documentation evidencing the conditions under which courses are undertaken (e.g., audit, pass/fail, and credit/no credit authorizations or approvals) or evidencing changes to registration status during the term (e.g., add/drop forms by student or instructor).	AC	1			AC = After date submitted.		CAUTION: Not to be confused with withdrawal records. SEE item number STR2015.	
STR2013	15.2.020	Independent Study Records	This series documents departmental approval for students to enroll in independent study courses. Records may include, but are not limited to: permission sheets with students' names; course names; number of credits; and faculty signatures.	AC	2			AC = Student separation from the department.			
STR2014		Change of Course (Add / Drop) - Student Records		AC	1			AC = After date submitted.		Buckley Amendment, confidential record.	
STR2015		Withdrawal Forms and Authorization - Students	Requests and authorizations for a student to withdraw from classes after calendar deadlines without academic penalty for reasons acceptable to a university.	AC	2			AC = After graduation or date of last attendance.			



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STR2016		Original Grade Sheets (Class Lists)	The series reflects grades awarded by instructors and serves as the basis for students' official academic records. Also called Permanent Record Cards, Grade Cards, Grade Sheets. Records usually include: student names and social security numbers or ID numbers; course titles and numbers; sections; grades awarded; and instructors' signatures.	PM						Buckley Amendment, confidential record. CAUTION: This retention period applies to records of the Registrar. Departmental copies of grade sheets are convenience copies.	
STR2017		Change of Grade Forms	This series documents grade changes submitted by instructors through the academic departments to the Registrar.	PM					I	Retention period based on AACRAO guidelines for change of grade forms.	
STR2018		Credit by Examination Forms - Student Records		AC	5			AC = After graduation or date of last attendance.			
STR2019		Credit / No Credit Approvals - Student Records		AC	1			AC = After date submitted.			
STR2020		Pass / Fail Requests - Students		AC	1			AC = End of term the transaction occurred.		Buckley Amendment, confidential record.	
STR2021		Grade Reports (Registrar's Copy)	The series documents grades received by students for the term. This is the record copy of reports distributed to students at the end of each term. Individual forms include: course numbers and titles; grades awarded; grade point average; student name; and social security number or student ID number.	AC	1			AC = After date distributed.		Buckley Amendment, confidential record.	
STR2022		Curriculum Change Authorizations	This series documents student requests to change their field of major study, add or remove a simultaneous major, or add or change a minor.	AC	5			AC = After graduation or date of last attendance.			



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STR2023		Transfer Credit Evaluations - Student Records		AC	5			AC = After graduation or date of last attendance.			
STR2024		Degree Audit Requirements	This series documents student completion of degree requirements, including authorizations certifying completion of degree requirements. The series may include official graduation audit forms that list students' names; colleges; majors; degrees; minors; the breakdown of institutional degree requirements and how the applicants have fulfilled them; grade point averages; deans' recommendations/comments and signatures; and comprehensive examinations.	AC	5			AC = After graduation or date of last attendance.			
STR2025	15.2.030	Thesis and Dissertation Records	This series documents the completion and academic acceptance of graduate theses and dissertations presented to colleges in fulfillment of requirements for graduate degrees. This series includes final and accepted copies of theses and dissertations.	PM					I		
STR2026		Applications for Graduation	Student applications for graduation.	AC	5			AC = After graduation or date of last attendance.			
STR2027		Graduation Authorizations - Student Records		AC	5			AC = After graduation or date of last attendance.			
STR2028		Tuition and Fee Charges	Includes fee assessment forms. This series documents the payment of fees for course fees, lab time, diplomas, commencement exercises, etc.	AC	5			AC = After graduation or date of last attendance.			



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STR2029		Testing Logs		AC	3			AC = After graduation or date of last attendance.			
STR2030		Provision for Alternative Testing Forms		AC	3			AC = After graduation or date of last attendance.			
STR2031		Name Change Records	This series documents student or applicant name changes reported to the admissions or registrar's offices by students. Records may include, but are not limited to: letters requesting change in name; name change authorizations; and related documentation and correspondence.	AC	5			AC = After graduation or date of last attendance.			
STR2032		Personal Data Update Records - Student	Change of address forms, race/ethnicity questionnaires, requests and authorizations to change other demographic data, and similar source documentation used to update personal data information on transcripts or other student records.	AC	1			AC = Date of change.		For name change records, SEE item number STR2031.	
STR2033		Social Security Certifications - Student		AC	1			AC = After certification.			
STR2034		Enrollment Verifications		AC	1			AC = After verification.			
STR2035		Transcript Requests - Student	Requests for transcripts to be provided to student or sent to other institutions.	AC	1			AC = After date submitted.			
STR2036		Student Waivers for Rights of Access to Letters of Recommendation		AC				AC = Until terminated.			



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					Years	Months	Days				
STR2037		Student Information System (SIS) E-Print Electronic Reports		PM							
STR2038	15.2.027	Student Certification Records - Academic	This series documents student completion of certificate programs offered by university academic programs.	AC	5			AC = Graduation or date of last attendance.		CAUTION: Transcript notes regarding academic certifications awarded are maintained permanently by the Registrar.	
STR2039	15.2.028	Student Certification Records - Professional	This series documents the preparation of students earning degrees and/or certification for licenses or certificates to enter a profession (e.g., teaching certificates) and forms the basis of the initial certification by external entities for various professions. Records may include: applications for admission to a program; registration for practicum hours and evidence of the completion of the practicum; transcripts; narrative evaluations on practicum; notice of completion of hours required for certification; recommendations and evaluations; and related correspondence.	AC	1			AC = End of certification period.		CAUTION: Accrediting agencies may require longer retention periods for professional certification records. Refer to accrediting agency to determine the term of the certification period.	



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STR2040	15.2.022	Internship Program Records	This series is used to provide a record of the administration of student internship, practicum and cooperative education programs. Programs may be within the institution or off campus and for class credit and/or pay. Records may include, but are not limited to: applications for internships inside and external to the institution; agreements with departments; postings/notices; student resumes; transcripts; copies of contracts; proposed institution listings; notes; and related documentation and correspondence.	AC	5			AC = End of academic term in which internship occurred.			
STR2041	15.2.021	Internship Applications - Not Enrolled/Denied	Applications for internship programs for which student was denied or did not enroll in the internship.	AC	1			AC = End of academic term in which internship occurred.			
STR2042		Deans' Student Discipline Certifications		AC	1			AC = After graduation or last attendance.			
STR2043		Discipline Log		PM							
Section 5.3: Financial Aid and Scholarships											
STR3001		Financial Aid Assistance Records & Supporting Documents	Records documenting the financial aid assistance that students are receiving	AC	7			AC = Date the record is completed or expired.		Record must be retained for seven (7) years due to revised language in Government Code 441.1855.	Government Code 441.1855
STR3002		Federal Aid Participation Agreement		AC	10			AC = After graduation or date of last attendance.			
STR3003		Exemptions, State Mandated and Continuously Applicable	E.g. Blind and Deaf, Senior, Foster Care.	AV						Does not include Hazlewood Act.	



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STR3004	15.2.017	Hazlewood Act Documentation - Awarded	This series documents eligibility to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	PM							19 TAC 21.85 for loans made before fall 1971 19 TAC 21.54 for loans after fall 1971
STR3005	15.2.018	Hazlewood Act Documentation - Non-awarded Applicants	This series documents eligibility to claim the Hazlewood exemption and institutional records to track benefit hours claimed.	AC	2			AC = Date loan denied.			Texas Education Code §54.241 (Hazlewood Act), 19 TAC 21.85
STR3006		Tuition Exemption and Remission Records	Applications for and supporting documentation evidencing the grant of tuition exemptions or remissions. This series may include, but is not limited to: authorizations; reconciled lists; account summaries; and related documentation.	AC	3			AC = expiration of award.			
STR3007	15.3.027	Tuition Rebate Documentation	Includes tuition rebate form and any supporting documentation pertaining to college tuition rebate program under Texas Education Code Sec. 54.0065.	AC	5			AC = Graduation or date of last attendance.			Texas Education Code Sec. 54.0065
STR3008		Ready to Award List		FE	1						

Section 5.4: Student Privacy



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STR4001		FERPA (Family Educational Rights and Privacy Act) Documents	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 = After accepted or rejected.		SEE Note 3, Supplement Page 4.	
STR4002		FERPA - Request and Disclosure of Personally Identifiable Information	Record of each request for access to and each disclosure of personally identifiable information from the educational records of a student: documentation of requests from and disclosures to any party other than the student, an official of the district for what the district has determined are legitimate educational interests, a party with or without written consent from the student, or a party seeking directory information.	AC				AC = Life of affected records.			34 CFR 99.32(a)(2)
STR4003		FERPA - Student's Written Consent for Records Disclosure	Written consents for information disclosure from the eligible student or student's parents.	AC				AC = Until terminated by the student or life of affected records.			
STR4004		FERPA - Waivers for Rights of Access	Waivers of access by students to confidential letters and confidential statements of recommendation and revocations of such waivers.	AC				AC = Until terminated by the student or life of affected records.			



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STR4005		FERPA Data Documents - Requests for Formal Student Hearings		AC				AC = Life of affected records.			
STR4006		FERPA - Student Statements on Content of Records Regarding Hearing Panel Decisions		AC				AC = Life of affected records.			
STR4007		FERPA - Written Decisions of Hearing Panels		AC				AC = Life of affected records.			
Section 5.5: Other Records and Reports											
STR5001		Enrollment Statistics	Statistics measuring student enrollment.	PM					I	Retention period based on AACRAO guidelines for statistical reports.	
STR5002		Grade Statistics	Statistics measuring student grades.	PM					I		
STR5003		Degree Statistics	Statistics measuring student degrees.	PM					I		
STR5004		Racial/Ethnic Statistics	Statistics measuring student race/ethnicity.	PM					I		
STR5005		Immigration Semester Audits		PM							
STR5006		Veterans Administration Certifications - Students	This series documents institutional submission of Certification of Enrollment reports required by the U.S. Department of Veterans Affairs.	AC	3			AC = After graduation or date of last attendance.			US Department of Veterans Affairs School Certifying Official Handbook; 38 CFR 21.4209(f)



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STR5007	15.5.008	Student Grievance Records	This series documents grievance brought forward by students against the institutions which do not result in litigation. Grievances may pertain to academic issues; housing; affirmative action and equal opportunity; student conduct; and other issues. Records include: notices of grievance; informal discussion notes; grievance responses; formal hearing notes (including audio tapes); final summary statements; settlement agreements; appeals documentation; and related records. Portions of these records may be exempt from public disclosure.	AC	5			AC = Graduation or date of last attendance.		If mediated by student ombuds refer to ADR1091.	
STR5008		American Southwest Conference Financial Aid Report		FE	5						



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STR5009		Fiscal Operations Report and Application to Participate (FISAP)	The Fiscal Operations Report and Application to Participate in the Federal Perkins Loan, Federal Supplemental Educational Opportunity Grant (FSEOG), and Federal Work Study (FWS) Programs (FISAP) and any records necessary to support the data contained in the FISAP.	AC	3			AC = End of the award year in which the report was submitted.			34 CFR 668.24(e)(1)(i) for Federal Title IV, 674.19(e)(3)(i) for Federal Perkins Loan, 675.19(b)(1) for Federal Work Study (FWS), and 676.19(b) for Federal Supplemental Educational Opportunity Grant (FSEOG).
CATEGORY 6: ACADEMIC AFFAIRS (ACA)											
Section 6.1: General											
ACA1001		Course Records	Departmental course offerings and individual course contents. Includes, but is not limited to: course descriptions, course outlines, course summaries, course requests and proposals, curriculum approval lists, lists of classes by term, bibliographies, reading lists, course announcements, handout materials, and related documentation and correspondence.	AC	2			AC = End of semester in which course is taught.			Texas Education Code Sec. 51.974
ACA1002		Course Syllabi		AV							



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ACA1003		Test Papers and Exams	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	1			AC = After semester test taken.		Academic departments are not responsible for retaining copies of tests returned to students. CAUTION: Coursework under dispute may not be destroyed until the resolution of the dispute.	
ACA1004		Faculty Grade Book	Record of students in course and work completed. Includes computer and non-computer-generated grade sheets, and other such materials that permit a reconstruction of a student's graded performance in a course.	AC				AC = Expiration of grade appeal period.			
ACA1005		Schedule of Classes - Institutional		PM					I		
ACA1006		Graduation Lists / Commencement Records	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.	PM							
ACA1007		Commencement Programs		PM					I		
Section 6.2: Accreditation											
ACA2001	1.1.038	Southern Association of Colleges and Schools Accreditation Reports		AC	10			AC = Final disposition of summary report.	I	Office of Institutional Research & Planning uses for studies.	



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ACA2002		Callier Center Daycare - Accreditation / Licensing Documentation		PM							
Section 6.3: Research											
ACA3001	17.3.001	Animal Management Records	This series includes records relating to the care and management of animals for research and teaching purposes.	AC				AC = Life of animal or transfer of animal to another institution.		CAUTION: If the research facility has been notified in writing that specified records shall be retained pending completion of an investigation or proceeding, the research facility shall hold those records until their disposition is authorized in writing by the Animal and Plant Health Inspection Service of the United States Department of Agriculture.	7 USC 2131 B 2157 9 CFR 2.35 Public Health Service (PHS) Policy on Humane Care and Use of Laboratory Animals (D.L. 99-158)
ACA3002	17.3.016	Scientific Misconduct Records	This series is used to provide a record of accusations of misconduct brought forward by or against university personnel and affiliates and relating to research projects. These records include: accusation statements; inquiry committee findings; and related correspondence.	AC	7			AC = Completion of proceeding involving the research misconduct allegation.			42 CFR 93.317(b)
CATEGORY 7: CAMPUS LIFE (CAL)											
Section 7.1: Student Activities											
CAL1001		Application / Renewals for Organization Registration			3						



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CAL1002		Student Organization Registrations		AC	5			AC = After graduation or last attendance.			
CAL1003		Student Organization Banner Requests		AC	4			AC = Removal of banner or completion of event.			
CAL1004		Marquee Requests		FE							
CAL1005	3.3.023	Travel Authorizations for Students	Completed travel authorizations for students traveling through a university program (i.e., Education Abroad)	FE	3						
CAL1006		Student Life Co-Curricular Transcript Requests		FE	5						
CAL1007		Student Government Candidate Applications		FE	2						
CAL1008		Student Government Campaign Fliers		FE							
CAL1009		Student Government Membership Lists		PM							
CAL1010		Student Newspaper - Record Copy		AC	2			AC = Publication date.	I	Copy retained in SU 2.416.	
CAL1011		Student Newspaper Advertising and Billing Accounts		FE	5						
CAL1012		Greek Life Electronic Database		US							
CAL1013		Career Center Employer Recruiting Event Records		AC	2			AC = Completion of event			
CAL1014		Career Center Job Postings		AC	1			AC = position filled or receipt of request to withdraw posting.			



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CAL1015		Multicultural Center Program Files		AV							
CAL1016		Orientation Registration Files		AC	1			AC = After graduation or last attendance.			
CAL1017		Orientation Participation Release Forms		PM							
CAL1018		Who's Who Recommendations		AC	1			AC = After graduation or last attendance.			
CAL1019		Cheer Squad Files		AC	5			AC = After graduation or last attendance.			
Section 7.2: Intercollegiate Athletics											
CAL2001		Student Athlete Handbook		US							
CAL2002		Student Athlete Compliance Agreement		FE	5						
CAL2003		Student Athlete Medical Release and Indemnification Forms, Injury Report, and Medical Records		AC	7			AC = last date on which service was given or the patient's 21st birthday, whichever is later			
CAL2004		Student Athlete Travel Schedules		FE	5						



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CAL2005		Public Relations Records pertaining to student athletics, News, Press Releases, and Sports Statistics	Includes Team Rosters, photographs and sports statistics.	PM						Maintained by 3rd party.	
CAL2006		American Southwest Conference (ASC) Compliance Records	Medical hardships and transfer forms		6						
CAL2007		NCAA (National Collegiate Athletic Association) Compliance Record	Includes Certification of Compliance Form, Student-Athlete Statement , Drug Testing Consent Form, Student-Athlete Affirmation		10						
CAL2008		NCAA Provisional Compliance Reports	Including institutional self-study and third year provisional report.	PM							
CAL2009		Yearly Reports	Including equity in Athletics Disclosure Act, graduation rates, and US News and World Report	PM							