



September 3, 2019

Scott Willrich  
Director, Information Resources  
Texas Municipal Retirement System  
P.O. Box 149153  
Austin, Texas 78714-9153

Re: Agency records retention schedule approved for use.

Dear Mr. Willrich,

Your agency's records retention schedule is approved for use as of **August 27, 2019**. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.

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

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

During a certification period, changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Megan Carey at 512-512-463-5494 or [mcarey@tsl.texas.gov](mailto:mcarey@tsl.texas.gov).

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

Sincerely,

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

Craig Kelso  
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala  
State Archives and  
Library Building

1201 Brazos Street  
Austin, Texas  
78701

P.O. Box 12927  
Austin, Texas  
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[www.tsl.texas.gov](http://www.tsl.texas.gov)

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**TSLAC**

*Preserving yesterday  
Informing today  
Inspiring tomorrow*



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 001

Agency Name Texas Municipal Retirement System

(Check one)

- Initial Certification - Form SLR 105
X 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
X Records Management Officer

Signature

Name (Print or type) Scott Wilbrich

Date 5/17/17

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Not Required at This Time

Signature

Name (Print or type)

Date

Texas State Library and Archives Commission

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

Signature

Name (Print or type)

Date

Gloria Mera
Gloria Mera
8/27/19

Cert/Recert No.

5

Amendment No.

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## CAUTION

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

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



## Records Retention Schedule

1. Agency Code: 001			2. Agency Name: Texas Municipal Retirement System								
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	Years	Months	Days	9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
ACC1000	4.1	Accounts Payable	Records related to payment of financial obligations (including employee reimbursements, TMRS credit cards, and outside vendors). Also includes print-outs of posting journal entry batch to the accounts payable module. Also includes supporting documents needed to verify the accuracy of the invoice and to authorize payment.	FE	4					Also includes RSIN's 4.2.005, 4.2.007 and 4.4.003. Agency policy to retain longer than TSLAC minimum.	
ACC1010	4.7.001	Accounts Payable - Employee Expense Credit Information	Records related to an employee's application for and issuance of credit on behalf of TMRS. Includes information submitted for credit cards, debit cards, and loans that become financial obligations of TMRS.	US	3						
ACC2020	4.4.002	Accounts Receivable	Records documenting cash receivables due to plan contributions and payments. In addition, receivables due from employees, vendors, and retirees are also managed here. Also includes printouts of posted journal entry batch to the accounts receivable module.	FE	4						
ACC3000	4.6.002	Banking - Account Reconciliations and Statements	Records related to analysis and audit of ALL TMRS bank accounts. These records support the monthly account reconciliation process and are used to document reconciliations that developed from that analysis.	FE	4					Also includes RSIN 4.3.003 and 4.7.002	

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
AC – After closed, terminated, completed, expired, settled	CE – Calendar year end	LA – Life of asset	US – Until Superseded	A/I – Transfer to State/University Archivist	R/O – Review by State/University Archivist	S – Same
AV – Administratively valuable	FE – Fiscal year end	PM – Permanent				N – New
						C – Changed
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ACC3100	4.7.012	Banking - Account Set-up, Management and Authorized Signatures	Records related to the setup and management of the System's bank accounts. Includes bank account numbers and set-up documentation. Records of persons authorized to sign on transactions involving TMRS bank accounts.	AC	4			AC = Closure of accounts and or signatories are updated.			
ACC3200	4.7.002	Banking - Receivables	Records related to deposits and wire transfers made to and from corporate bank accounts. These records are used to verify the transfer and deposit of funds. Includes deposit slips and wire transfer records.	FE	4					The virtual remittance deposits from TMRS to its bank are the official record of all deposited checks.	
ACC4000	4.7.004	Capital Assets	Financial records documenting the purchase, sale, and improvement of real property and equipment, as well as depreciation, amortization, etc. Includes appropriation for expense and fixed assets and work-in-progress.	LA	4						
ACC5000	4.2.006	General Ledger - Journal Entries	Records used to transfer charges between accounts and for summarizing account information. Includes entries made to the general ledger to correct coding errors, correct ledger accounts, accrued for expenses not yet paid, or other similar activities. Includes all final postings to the General Ledger (for all funds).	AC	7			AC = Conclusion of Audit.		Agency policy to retain longer than TSLAC minimum.	
ACC5100	4.4.001	General Ledger - Year-End Ledgers and Trial Balances	Records related to the general ledger. Includes the actual general ledger that summarizes all corporate accounts.	AC	7			AC = Conclusion of Audit.		Agency policy to retain longer than TSLAC minimum.	

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ACC5200	4.6.002	General Ledger - Account Reconciliation	Records related to analysis and audit of accounts related to TMRS Plans. These records support the monthly account reconciliation process and are used to document reconciliations that developed from that analysis.	FE	4						
ACC6000	4.2.003	Investment Accounting – Cash Management	Records related to investment related cash flows and monthly unallocated cash projections.	FE	4						
ACC6100	4.6.002	Investment Accounting - Account Reconciliations -	Records supporting accounting transactions related to TMRS investments.	FE	4						
ADM1000	1.1.070	Agency Rules, Policies, and Procedures - Final	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public for those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern and agencies programs, services, or projects.	AC	5			AC = Completion or termination of program, rules, policies or procedures.	R	Agency policy to retain longer than TSLAC minimum. SEE ALSO: Agency Rules, Policies and Procedures - Working Files, ADM1080	
ADM1080	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.	R	SEE ALSO ADM1000	
ADM2000	1.2.010	Information Governance - Records Destruction Certification	Documentation supporting the records management program's destruction processing to demonstrate that records were destroyed according to the TMRS retention schedule.	PM						Agency Policy to retain longer than TSLAC Minimum.	

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ADM2020	1.2	Information Governance - Records Management Transactions	Records that identify transactions to and from off-site storage as well as the indices for records identification and location. Consists of transfer, retrieval, and shipping manifest forms. Excludes destruction authorization forms and reports.	AC	6			AC = Records have been removed from storage permanently.		See ADM2040 for Information Governance - Records Media Conversion Logs. See ADM2000 for Records Destruction Certification.	
ADM2040	1.2.013	Information Governance - Records Control Locator Aids	Records including indexes, card files, shelf list, registers, guides, etc., such as the Lason Access data base used to identify where microfiche containing member, retirees, and cities records are located.	AC				AC = When control aid is updated, revised, or no longer needed.		CAUTION: These Records must carry the same retention period and archival code of the records they support.	
ADM2080	1.2.005	Information Governance - Records Retention Schedule (SLR105)	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.	

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ADM3000	1.1.007	Correspondence - Administrative	Administrative correspondence records, both internal and external, related to TMRS policies, programs, directives, and initiatives. Does not include correspondence related to specific System activities, such as Human Resources, Legal, and Member Benefits.	CE	4				R	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 records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011. TMRS does not receive appropriations and is not considered a State agency for many purposes.	

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ADM3020	1.1.008	Correspondence - Departmental	Records related to primarily internal casual correspondence. This record class is to be used only for correspondence not covered elsewhere. 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.	CE	2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.	
ADM4000	1.1.013	Departmental Administration	Records documenting business unit administration, planning, and management activities. Includes business unit work assignments, schedules, presentations, desk calendars, and other miscellaneous administrative records not covered elsewhere.	CE	3				R	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by state official or employee to document his or her work activities may be a state record and subject to this retention period. See Opened Records Decision 635 issued in December 1995 by the Atty. Gen. Agency policy to retain longer than TSLAC minimum.	

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ADM4020	1.2	Internal Services - General	Records related to providing internal support for company personnel including services and products. Includes material and supply orders, postal operations, forms management, reprographics, meeting arrangement, travel reservations, and subscriptions to online services.	CE	3						
ADM4100	1.1.024	Internal Project Management	Records related to management of internal projects, special studies, analysis, and other department events not covered elsewhere. Includes ad hoc studies performed at the corporate or workgroup level. Includes notes, presentations, reports, studies, project plans, meeting minutes, status reporting, presentations, etc.	AC	6			AC = Conclusion of project.	R	ARCHIVES NOTE: Data processing planning records are not archival.	
ADM5000	1.1.040	Speeches, Presentations and Reports	Presentations, conference reports, and papers delivered at a conference or meeting in conjunction with TMRS business. May include handouts	AC	2			AC = TMRS Board Member's end of term in office or TMRS employee's termination of service.	R		
ADM6000	5.6	Vehicle Records - Ownership and Activity	Records documenting vehicle ownership and licensing. Records include vehicle titles and registration.	LA	3					LA = Vehicle is sold or disposed of.	
AUD1000	1.1.002	External Financial Audits - Audit Reports and work papers	Records related to the external financial audit of the Company and its business units. Includes final audit report and working papers including preliminary drafts and supporting documentation for external financial audit final reports	AC	7			AC = Conclusion of Audit (Final report included in CAFR and posted to TMRS Website) and all appeals.		TMRS is not subject to the Texas Internal Auditing Act.	

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AUD1100	1.1.002	Internal Audit Committee - Complaints	Records related to complaints made to the Board Audit Committee regarding company and/or employees. Includes complaints and Audit Committee responses.	AC	7			AC = Complaint is closed.			
AUD2000	1.1.002	Internal Audits	Audits and other engagements performed by internal audit or on behalf of internal audit. Includes the working papers, data, related correspondence, and reports that support the engagements	AC	7			AC = Communication of Final audit or engagement results, generally in writing, to Board and/or Senior Management.	R	TMRS is not subject to the Texas Internal Auditing Act.	
EXE1000	1.1	Board Trustees	Records related to appointment, training and termination of TMRS Board of Trustees and Committees.	PM					A	The agency retains the permanent record copy. The archival requirement will be met by sending a copy to the Texas State Archives.	
EXE1020	1.1.058	Board of Trustees and Committee Meetings	Records documenting proceedings of the TMRS Board of Trustees, committee of the Board, and other legally required meetings. Includes meeting minutes, meeting notices, voting records, and supporting documentation, does not include non-legally required meetings.	PM					A	ARCHIVES NOTE: The agency retains the permanent record copy. The archival requirement will be met by sending a copy to the Texas State Archives. TMRS does not fall under the Appropriations Act and is not administered by another state agency. Also includes RSIN 1.1.059 and RSIN 1.1.062 for which Agency Policy is to retain longer than TSLAC Minimum.	
EXE1040	1.1.023	Business Organization and Charter	Records documenting the creation, structure, and governance of the TMRS includes by-laws, organizational charts, and charters.	US	10				A		

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EXE1100	1.1	Company Archives	Records documenting the System's past, its development, significant events, and key staff.	PM						Agency Policy to retain longer than TSLAC Minimum.	
EXE1200	5.1.013	Insurance Policies	Records describing and administering corporate insurance programs that provide coverage for mitigating TMRS liability. Includes policies, and minutes, writers, proofs of payment, etc. Includes policies for crime, directors and officers (D & O), EEOC, general liability, property insurance, workers compensation, automobile, business travel, umbrella and access, environmental, errors and omissions (E & O), pollution liability, fiduciary, non-owned air travel, and safe-deposit legal liability. Excludes employees medical and life insurance.	AC	7			AC = Expiration or termination of the policy according to its terms.		Includes all polices regardless of executed, renewed or amended date.	Government Code, 441.1855.
EXE1300	1.1.055	Strategic and Business Planning including Performance Measures Documentation	Records that document the strategic and business plans of the Company and its business units. Includes marketing plans and business plans. Also includes records needed for the documentation of output, outcome, efficiency, and explanatory measures of the strategic plan, and for performance measures used to manage the agency.	AC	6			AC = Plan has been superseded or is no longer in effect.	A	Also includes RSIN 1.1.064. TMRS does not make any appropriations request. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	

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FAC1000	5.2.002	Facilities - Design and Construction	Records related to the design and construction of TMRS facilities and offices. Include design documents such as drawings, blueprints, construction reports, construction testing and environmental testing records. Include design and construction of monitoring and control systems.	AC	10			AC = Facility is sold or destroyed.	R	ALSO includes RSIN item no. 5.2.003. SEE ALSO FAC1040.	
FAC1020	5.2.010	Facilities - Maintenance Manual and Technical Reference	Reference and technical instruction manuals provided by the manufacturer for products and equipment used by the company.	LA							
FAC1040	5.2.008	Facilities - Maintenance, Repair, and Inspection	Records related to repair general maintenance of facilities and equipment. Includes routine maintenance, repair and inspection. Records include equipment histories, work orders, and OSHA certificates.	LA	3					LA = Facilities/equipment is sold or disposed of. For service agreements or contracts related to equipment repairs and service, retain in accordance with RSIN item number 5.1.001. See LEG1000.	
FAC1060	5.2.001	Appraisals - Building or Property	Appraisal records	AV					R		
FAC2000	5.4	Security - General	Records related to routine security actions taken to protect TMRS employees, equipment, buildings, and information. Includes clearance list, and investigations.	CE	1						
FAC2020	5.4.012	Security - Access Records	Records relating to the Issuance of keys, Identification cards building passes and building access cards, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC= Until superseded, date of expiration, or date of termination, whichever sooner.			

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FAC2040	5.4.011	Security - Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.	CE	3						
FIN1000	4.5.006	Budget and Financial Forecast	Records related to internal planning and financial management. Includes records of the businesses income, expenses, and cash flow on a monthly, quarterly, and annual basis. Includes fiscal year budgets for business areas and earnings forecast and analysis. Includes monthly, quarterly, and annual report summarizing financial budgets and goals.	AC	6			AC=Budget and financial forecasts have expired.			
FIN1020	4.2.003	Cash Management - Plan Administration	Records relating to the analysis, forecasting, and disposition of the company's cash balances. Includes records used to determine actual and future cash balances, as well as records related to analysis of the companies borrowing strategies, investment strategies, and float trends.	FE	4						
FIN1200	4.7	External Financing and Deposits	Records related to the application, issuance, management, and administration of the TMRS loans, debt, and security deposits. Includes correspondence with lenders, reports to lenders, debt information, work papers, pledge collateral, and security deposits.	AC	4			AC = Conclusion of financing efforts.			

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FIN1220	4.5.001	Financial Management Reporting - General	Reports and documents providing useful sales, accounting, financial, investment and other asset information to management. These records are not part of accounting transaction processing or financial statement functions.	FE	3					Also includes RSIN 4.5.002	
FIN1280	4.5.003	Financial Statements	Financial statements, reports, and background information submitted to government agencies (IRS, state legislature, etc.) and others. Includes financial statements from all business activity.	FE	10				A	See EXE1100 for Annual CAFRs. Agency Policy to retain longer than TSLAC Minimum. The General Appropriations Act (100 Day Report) is not applicable to TMRS CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.	

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HRB1000	3.1	Benefit Administration - General	Records relating to the general management and administration of corporate benefit plans. Includes plan-related and vendor correspondence and general employee communications relative to benefits, such as open enrollment communications and notices from HR to all TMRS employees.	CE	6						
HRB1020	3.2	Benefit Administration - Benefit Plan Reports	Records relating to ERS change reports on general management and administration of employment benefit plans for TMRS employees, including planned and actual deferrals.	AC	6			AC = Plan has been superseded or is no longer in effect.			
HRB1100	3.2.010	Benefit Enrollment and Participation - Benefit Summary Records	Records summarizing employee enrollment and participation in Company-sponsored benefit programs, other than the Statutory TMRS Retirement Plan or the TMRS Deferred Compensation Plan.	AC	6			AC = Termination of employee.		See MBA2020 for the Statutory TMRS Retirement Plan. See PAY1020 for TMRS Deferred Compensation Plan. Agency Policy to retain longer than TSLAC Minimum.	
HRB1220	3.3.004	Benefit Plan Texts and Amendments	Records related to company-sponsored benefit plans. Includes insurance, pension, disability, survivor programs, ESOP, PAYSOP, vesting criteria, vacation entitlements, educational systems, and any seniority or merit systems. Does not include the TMRS Deferred Compensation Plan.	US	7					See PAY1020 for TMRS Deferred Compensation Plan.	29 CFR 1627.3(b)(2).
HRE1000	3.2.006	Compensation Planning	Records documenting the determination and monitoring of salary structures, incentive programs, job classification and placement, allowances, etc. Includes pay scales, salary surveys, and other salary administration evaluations.	AC	5			AC = Plan is inactive or has been superseded.			29 CFR 516.6(a)(2).

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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AV – Administratively valuable	FE – Fiscal year end	PM – Permanent		R/O – Review by State/University Archivist	C – Changed	O – Obsolete

## Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	Years	Months	Days	9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
HRE1100	3.1.012	Employee Recruitment and Selection - General	Records related to internal or external announcements or advertisements of Job openings, promotions, training programs or opportunities for overtime, as well as personnel requests, job application testing, position descriptions, interviews and interview notes, and other selection related records. Applicants include employees who applied for open positions.	CE	2					Also includes RSIN 3.1.014	29 CFR 1602.31 [State Agencies].
HRE1120	3.1.001	Employee Recruitment and Selection - Not Hired	Records related to the recruitment of applicants for a particular position within TMRS were not hired or did not accept the position, including documentation supporting the decision. Includes resumes and applications.	CE	2						29 CFR 1602.31 [State Agencies].
HRE1200	3.3	Employee Relations - Communications	Copies of employee announcements and other informative communications, clarifications and explanations about policies, in-house magazines, special events, civic activities, newsletters, and Internet site information.	CE	3						
HRE1220	3.1	Employee Relations - General	Records pertaining to relations between the corporation and its employees not covered in other record classes.	CE	3						

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HRE1240	3.1.020	Employee Situations	Records related to employee's concerns, complaints, and allegations of non-compliance with employer policies (e.g. sexual harassment allegations), general use of employee assistance programs, referrals, and disciplinary records. Includes corrective 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.		Also includes RSIN 3.1.018. If the situation becomes a legal issue, it migrates to AIN LEG2020 Hearings & Litigation.	
HRE1280	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting forms (INS I-9)	AC	1			AC =Termination of employment.		CAUTION: Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period.	8 CRF 274a.2(b)(2)(i)(A) and c(2)
HRE1300	3.3.031	Equal Employment Opportunity - General	Records documenting the companies equal employment policies. Includes reports which the company is required to file with the Equal Employment Opportunity Commission identifying the workforce demographics. Also includes documentation used to complete EEO reports.	CE	6					Agency Policy to retain longer than TSLAC Minimum.	
HRE1320	3.3.032	Equal Employment Opportunity	Records related with TMRS equal opportunity policies. Includes records regarding equal pay.	CE	5						29 CFR 1602.32

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## Records Retention Schedule

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HRE1340	5.4.001	Injuries and Accidents	Records related to general liability and on-the-job accidents as required by OSHA and Texas Worker's Compensation regulations. Includes official OSHA logs as well as required supplementary records related to OSHA reportable injuries and illnesses. Also include Family Medical Leave (FMLA) documentation. Excludes related employee medical records.	CE	6					See HRE1540 for Personal Files - Medical Records.	
HRE1400	3.1.023	Job Descriptions	Records related to job descriptions, including summary of position responsibilities, requirements, and reporting relationships.	AC	5			AC = Job description is obsolete or superseded.			40 TAC 815.106(i).
HRE1500	3.3.026	Personnel Contact Information	Records showing TMRS employee names and contact information. Includes 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					US = Purpose of the record has been fulfilled	
HRE1520	3.1	Personnel Files - General	Records providing a history of employment from initial hiring, including promotion, performance appraisals, transfers, etc.	AC	5			AC = Termination of employee.		Also includes RSIN 3.1.002. All TMRS Employment contracts are under LEG1000.	
HRE1540	3.1	Personnel Files - Medical Records	Records documenting individual employee and contractor medical history. Includes medical records resulting from on-the-job injuries and accidents.	AC	6			AC = Termination of employee.		See HRE1340 for Accidents and Injuries. Agency Policy to retain longer than TSLAC Minimum.	

Retention Codes (Field 7)

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Archival Codes (Field 10)

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

Code (Field 13)

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# Records Retention Schedule

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HRE1560	3.1.019	Personnel Files - Performance Evaluation	Records documenting specific employee's job performance. Includes reviews and evaluations by supervisors, recommendations for promotions, commendations, and/or compensation, and corrective action plans.	AC	5			AC = Evaluation has been superseded or the employment relationship terminated.		Agency Policy to retain longer than TSLAC Minimum.	29 CFR 1620.32(c).
HRE1580	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 the agency.	US	3						
HRE1600	3.3.030	Training and Development Programs - General	Records relating to the development and operation of Company-sponsored training programs and seminars. Includes seminars, education assistance, management and supervision development, job progression, drug and alcohol awareness.	US	5					Includes hazardous material training records to the extent applicable as per RSIN 5.4.007.	Texas Health and Safety Code, 502.009(g).
HRE1700	3.3.011	Verification of TMRS Employment	Records that document minimum information needed to verify employment, Includes name, social security number, exact dates of employment, last known address, most recent public access option form, and last title or position held.	AC	75			AC = Termination of employee.		See HRE1500 for Personnel Contact Information. See MBA2020 for Verification information.	
HRE1800	3.4.004	Overtime Authorizations	Records relating to the authorization for overtime such as emails	CE	2						
HRE1820	3.4.007	Time Off and/or Sick Leave Requests	Records relating to the request for time off and/or sick leave	FE	3						
INV1000	3.1	Administration - Department Administration/General Staff Information	Records related to department specific employee on-boarding and off-boarding.	AV							

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## Records Retention Schedule

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INV1020	1.1.070	Administration - Investment Policy Statement (IPS) - Final	Final version of Board-approved Investment Policy Statement	PM					R	Agency Policy to retain longer than TSLAC Minimum.	
INV1040	1.1.008	Investment Department - Correspondence	Incoming/outgoing correspondence between Investment staff and internal parties, managers, consultants and third party providers.	AC	7			AC = After termination, closure, expiration, or completion of managers or consultant's contract.		Agency Policy to retain longer than TSLAC Minimum.	
INV2000	4.1.006	Investment Department - Operations	Records created during day-to-day business activities in support of investment operations.	PM						Agency Policy to retain longer than TSLAC Minimum.	
INV3000	4.1.006	Vendor Documentation	Non-contract records related to ongoing manager and consultant relationships.	AC	7			AC = After termination, closure, expiration, or completion of managers or consultant's contract.		Agency Policy to retain longer than TSLAC Minimum.	
INV4000	4.1.006	Deliverables (Financial Reports Provided by External Investment Managers)	Records related to deliverables as outlined in manager, consultant, custody and third party service provider agreements, and ad hoc requests.	AC	7			AC = After termination, closure, expiration, or completion of managers or consultant's contract.		Agency Policy to retain longer than TSLAC Minimum.	
INV5000	4.1.006	Portfolio Management	Records related to the planning, forecasting, management and analysis of the portfolio.	PM						Agency Policy to retain longer than TSLAC Minimum.	
INV6000	4.1.006	LPAC Advisory Board	Records relating to Investment Staff's participation on LPAC Advisory Boards.	AC	7			AC = After termination, closure, expiration, or completion of managers or consultant's contract.		Agency Policy to retain longer than TSLAC Minimum.	
INV7000		Investment Committee	Records related to the creation, structure, implementation and activities of the Investment Committee (IC).	PM						This committee is an internal Investment Dept. Staff committee and not subject to the Open Meeting Act.	
INV8000		Compliance Testing and Reporting	Records related to compliance and manually run compliance tests.	PM							

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ISY1000	2.1.009	Application Documentation	Records documenting the development of functionality and architecture for TMRS computer system and applications. Includes business analysis, functional/technical specifications, and quality assurance testing documents.	AC	5			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 or 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.
ISY1020	5.4.013	Disaster Recovery Plans	Documentation of plans which would be implemented in the event of a disaster or information systems failure. Includes contact person, backup sites, and instructions for personnel.	US						US = Plan is superseded or is no longer in effect.	
ISY1040	2.1.007	Source Code	Source code for TMRS-owned software that is either internally or externally developed, and which is used internally by employees.	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 or 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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ISY1060	2.1.008	System Technical Administration	Information used to provide details and a history of the technical environment.	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 or 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.
ISY1080	5.2	IT Equipment Inventory	Equipment listing showing what IT equipment is currently assigned to which employee such as I-Pads, & Cell Phones. Also shows all IT Servers..	US							
LEG1000	5.1.001	Contracts and Agreements - General (Not Real Estate Contracts)	Records related to obligations under contracts and other agreements between TMRS and outside parties, excluding such records relating to real estate. Includes contracts for services, purchases, sales, transportation, equipment leases and investments. Includes disputes that do not progress to litigation and claims. Note: Although generally open, some contracts and RFPs have limited confidentiality requirements.	AC	7			AC = Expiration or termination of the instrument according to its terms and Termination of relationship with contracting party.		Includes Contracts regardless of their executed, renewed or amended date. Also includes all Employment contracts (RSIN 3.1.013). See LEG1020 for Contracts, Agreements & Leases - Real Estate Construction, Improvements, Deeds and Easements. See PUR1000 for Bid Documentation.	Government Code, 441.1855

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## Records Retention Schedule

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LEG1020	5.2.028	Contracts, Agreements & Leases - Real Estate Construction, Improvements, Deeds & Easements	Records related to contracts and agreements for improvements to TMRS owned real property, including construction agreements. This also includes records related to Real Estate Ownership or Lease - Deeds, Easements, Leases, Title Insurance, including Easements granted to 3rd parties permitting access to TMRS property, as well as easements granted to TMRS by outside parties for accessing their property.	LA	10				R	LA = Real Estate/Facility is sold or disposed of. Includes Contracts regardless of their executed, renewed or amended date. Does not include Real Estate investment contracts, which are included in LEG1000.	
LEG1100		Court and Government Orders (Non-Member and Non-Litigation)	Records related to court orders or governmental orders other than: orders regarding specific TMRS members or employees; or, orders entered in litigation proceedings involving TMRS.	AC	3			AC = Order has been superseded or is no longer in effect.	R	See LEG2000 for Administrative Hearings, LEG2220 for Non-Investment Litigation, LEG2240 for Investment Litigation or MBA2020 for Member Employees - General, as applicable. Agency Policy to retain longer than TSLAC Minimum. 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.	

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## Records Retention Schedule

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LEG2000	1.1.048	Hearings and Litigation - Administrative Hearings	Records related to disputes considered by the Texas State Office of Administrative Hearings. Includes copies of motions, appeals, administrative decisions, case files, received from Administrative Law Judges and arbitrators.	AC	20			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 or some other action indicating, or TMRS determines that the dispute is closed.	R	Also includes RSIN 1.1.073. Agency Policy to retain longer than TSLAC Minimum. 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.	
LEG2020	1.1.048	Hearings and Litigation - Non-Investment or Non-Member Litigation	Records related to threatened or asserted litigation, other than litigation relating to TMRS investments or specific TMRS members. Includes pleadings, discovery, attorney work products, legal opinions, transcripts, exhibits, final judgments, settlements, court orders, and other documents specifying final terms, conditions and decisions related to claims and litigation.	AC	20			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 i.e., closure of litigation or claim and all appeals, or some other action indicating, or TMRS determines that the dispute is closed.	R	See LEG2000 for Administrative Hearings, LEG2040 for Investment Litigation, MBA2020 - Member Employees - General. 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.	

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LEG2040	1.1.048	Hearings and Litigation - Investments	Records related to threatened or asserted litigation relating to TMRS investments. Includes pleadings, discovery, attorney work products, legal opinions, transcripts, exhibits, final judgments, settlements, court orders, and other documents specifying final terms, conditions and decisions related to claims and litigation. Includes U.S. securities litigation in which TMRS is a lead plaintiff and non-U.S. securities litigation. Does NOT include records regarding U.S. securities litigation in which TMRS is a class member but not lead plaintiff.	AC	20			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, or some other action indicating, or TMRS determines that the dispute is closed.	R	LEG2000 for Administrative Hearings, LEG2020 for Non-Investment or Non-Member Litigation, or MBA2020 for Member Employees - General, as applicable. 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.	
LEG3000	1.1.014	Legal Opinions	Records documenting legal opinions generated by TMRS legal counsel, either internal or external, or the Office of Atty. Gen. and relating to TMRS. These opinions involve System members, cities, and open records request and therefore provide on-going guidance for System operations.	PM					R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE LEG2000. Agency Policy to retain longer than TSLAC Minimum.	
LEG3020		Legal Projects and Analysis - General	Legal research and related work papers for various subjects and projects, such as employee and member matters, insurance consultation for contracts and agreements, etc. Excludes legal opinions or documents relating to specific litigation.	AC	10			AC = Conclusion of project.	R		

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LEG3040	1.1.020	Legal Projects and Analysis - Public Information Not Exempted	Records documenting request for information submitted to TMRS under the Texas Public Information Act for which the request was fulfilled and records were released. Includes TMRS request for an open records decision from Attorney General's Office, if applicable. Does not include open records decisions rendered by Attorney General's Office.	AC	2			AC = Date request is filled.		Agency Policy to retain longer than TSLAC Minimum.	
LEG3060	1.1.021	Legal Projects and Analysis - Public Information Exempted	Records documenting request for information submitted to TMRS under the Texas Public Information Act for which the request was not fulfilled (in whole or in part). Includes open records request denied/not released because the records are not public information as defined by the Public Information Act, includes TMRS requests for open records decision, if applicable. Does not include open records decision if rendered by the Attorney General's Office.	AC	7			AC = Date of notification that records are exempt.		Agency Policy to retain longer than TSLAC Minimum.	
LEG3080	1.1.027	Legal Projects and Analysis - Legislation	Records involving Legal analysis of State legislation pending and enacted and affecting TMRS.	AC	10			AC = End of Legislative Session.		See PUB1100 for Government Relations - General and PUB1120 - Pending Legislation.	
LEG4000	5.1.010	Professional Licenses and Certification	Records related to Professional Licenses and Certification obtained from government agencies in order to perform certain tasks i.e., attorney, CPA, and other professional licenses.	AC	3			AC = License, permit or certification superseded or is no longer in effect.			

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## Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	Years	Months	Days	9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
MBA1020	1.1.065	Member Cities - City Payroll	Payroll data transferred from municipalities to TMRS. Includes city payroll check deposits into the "Regular" acct. Does not include processing documentation.	AC	6			AC = Scanned date or Last Modified date, whichever is applicable.		Records in this records series have been maintained in the following media: A) Electronic Data Management application of Perceptive for which the trigger for AC would be the Scanned Date. B) Network File System for which the trigger for AC would be the Last Modified date. See MBA1060 for Member Cities - Payroll Processing. The virtual remittance deposits from TMRS to its bank are the official record of all deposited checks.	
MBA1040	1.1.067	Member Cities - General	Records related to individual member cities that indicate current status within the TMRS Systems. Does not include ordinances and city retirement plans, contribution rates, and payroll transactions.	AC	6			AC = Plan becomes inactive and benefits are not payable.	R	See MBA1040 for Member Cities - Ordinances and City Plans. See MBA1000 Member Cities - City Payroll.	
MBA1060	1.1.067	Member Cities - Ordinances and City Plans	Records documenting specific city ordinances regarding employee retirement plans and the plan provisions and changes/potential changes to plans.	AC	6			AC = Plan becomes inactive and benefits are not payable.	R		
MBA1080	2.2.011	Member Cities - Payroll Processing	TMRS records documenting the receipt and processing of city payroll data. Does not include municipalities payroll data transferred to TMRS.	AC	6			AC = Payroll "Accounting Date"		See MBA1000 for Member Cities - City Payroll.	

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MBA2020	1.1.065	Member Employees - General	Records related to individual employee Members, Retirees, Beneficiary Payees, and Alternate Payees including account status, service credits, deposits, deductions, Escheated property and estimates of retirement benefits. Includes active and inactive members. Also includes processing of transactions for these individuals such as Refunds, Retirements and Payment Transactions.	AC	75			AC = Termination of membership and no further benefits are payable.			
MBA3040	1.1.065	Plan Administration - Special Reports	Records related to the internal Review of operations and administration as well as routine and requested reports.	CE	3						
MBA3140	2.1.002	Plan Administration - Rates and Calculation Factors	Records documenting city rate information, rate changes. Includes actuarial valuations; actuarial experience studies; actuarial factors development; special actuarial studies; and rules, policies and methods needed to calculate contribution rates and provisions of TMRS benefit plans.	AC	6			AC = Plan is inactive and benefits are not payable.	R		
MBA3200	2.2.011	Retirement Numbers	Records that document the assignment of service, retirement, and/or disability numbers to System members.	AC	75			AC =Termination of members and no further benefits are payable.			
MBA3220	1.1	Terminated Member Lists	Listings and reports on member employees terminated from the System. Does not include terminated member file.	AC	75			AC =Termination members and no further benefits are payable.		See MBA2000 for Member Employees - General.	
PAY1000	3.2.008	Employee Payroll and Direct Deposit Elections	Records related to employees enrolled in direct deposit payroll plan. Includes direct deposit waiver form and pre-note report, as well as authorization for other deductions elected by the employee.	AC	4			AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		Also includes RSIN 3.2.001	

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## Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	Years	Months	Days	9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
PAY1020	3.2.009	TMRS Deferred Compensation Plan Records	Records related to TMRS Deferred Compensation Plan only including Contracts, Policies, funds selected for plan options and changes to the Plan.	AC	7			AC = All accounts with a vendor or vendors for the individual participant have been closed.		This does not include ERS plans	
PAY1100	3.4.006	Employee Time and Attendance Records	Records relating to the identification and reporting of hours worked. Includes all timecards and timesheets submitted to payroll in order to document hours worked for a particular period as well.	CE	10					These records are the backup documents to PAY1200 which has a Retention period of CE+10	
PAY1200	3.2.002	Payroll Accounting - General	Records documenting payroll accounting including input records, summary statements and history.	CE	10					Agency Policy to retain longer than TSLAC minimum.	
PAY1220	4.1.001	Payroll Accounting - Payroll Registers	Registers that provide detail of the payroll process, including employee savings deductions.	CE	10					Agency Policy to retain longer than TSLAC minimum.	
PAY1300	3.3.022	Texas Workforce Commission (TWC) Reports - state unemployment tax	Records submitted to state unemployment divisions. Contains employment and wage information for terminated employees who are requesting unemployment compensation.	CE	10					Agency Policy to retain longer than TSLAC minimum.	
PUB1000	1.3.002	Advertising Artwork	Original artwork created by TMRS or external parties in the development of an advertising, marketing, education or public relations campaign. Includes background material, copy (drafts), photographs, photo negatives, prints, flats, layouts, displays, drawings, etc..	AV					R		
PUB2000	1.1	Government Relations - General	Records pertaining to government relations on local, state, and/or national levels reflect the issues that have an impact on the System.	AV							

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PUB2020	1.1.027	Government Relations - Legislative Information & Reports	Records documenting proposed and adopted legislation affecting TMRS. Includes drafts, analyses, and studies. Does not include legal consultation.	AV						See LEG3080 for Legal Projects and Analysis - Legislation.	
PUB3000	1.1.019	Public Relations - General	Records related to TMRS and its services that are released to the public. Includes records related to marketing and promoting company image, as well as press releases and photographs.	PM					R	Agency Policy to retain longer than TSLAC minimum.	
PUB3020	1.1	Public Relations - Industry Relations	Records documenting communication and correspondence with similar organizations and participation in industry and professional organizations and cooperative development of industry-wide standards.	AC				AC = Purpose of the record has been fulfilled.			

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PUB3040	1.3.001	Publications	One copy of each "State Publication" as defined on page xi of the State's Records Retention Schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see EXE1020) also meets the definition, but it must be retained permanently.	AC	2			AC = Until superseded or obsolete.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, TSLAC by law (Gov't Code 441.101-441.106). Most of TMRS' publications are posted on its website which is part of the TSLAC TRAIL program which at least twice a year crawls & captures the TMRS Website. TSLAC will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention. For additional info. & requirements concerning state publications made available to the public through the Internet, consult the admin. rules of the Texas State Publications Depository Program of the TSLA Comm. (13 TAC §§3.1-3.16).	
PUB4000	1.1.043	Training and Development Program - Plan Members	Records related to TMRS efforts to provide training to cities and members regarding benefits, contributions, and services. Includes training materials and attendance lists.	AC	1			AC = Training program has been superseded or is no longer offered to members.			

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PUB4020	3.1.027	Training and Development Program - Continuing Professional Education (CPE) Credits for Plan Members	Records related to TMRS efforts to provide training to cities and members regarding benefits, contributions, and services which result in awarding CPEs.	AC	5			AC= after course/program is completed.		Retention period in compliance with TAC Title 22, Section 523.143 (Sponsor's Record) last amended to be effective 3-29-2017	
PUR1000	5.3.007	Purchasing and Requisition - Bid Documentation	Records related to the requisition/authorization, invitations to bid or propose, bid specifications for procurement of goods and services. Includes successful and unsuccessful bids that met TMRS' bid specifications and were considered in the Bid tabulation/evaluations.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		Includes all Bid Documentation associated with contracts regardless of executed, renewed or amended date of such contracts.	
PUR1000a	5.3.007	Purchasing and Requisition - Unsuccessful Bid Documentation	Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.)	AC	2			AC = Date of notification of denial or date of withdrawal, as applicable.			
PUR1020	5.3.009	Request for Information regarding Supplier Candidates and Qualifications	Records that serve to identify and provide support for the official procurement supplier lists and for official TMRS or state vendor list. Includes records that document supplier/vendor interest and qualifications to provide goods and services.	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 one of the PUR1000 codes.	
TAX1000	3.2.003	Federal 1099 Reporting - General	Records related to IRS 1099 tax reporting for TMRS employees and contractors.	CE	10					See TAX1020 for Federal 1099 Reporting - Plan Administration.	26 CFR 31.6001 - 1(e)(2).
TAX1020	3.2.003	Federal 1099 Reporting - Plan Administration	Records related to IRS 1099-R tax reporting for System member refunds and retirements.	CE	10					See TAX1000 for Federal 1099 Reporting - General.	

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TAX1100	3.2.003	US Federal and State Tax Withholding - General	Records supporting the taxes paid, withheld, and reported for employees. They also include rates of taxation, etc.	CE	10						
TAX1120	3.2.003	US Federal and State Tax Withholding - Plan Members	Records supporting the taxes paid, withheld, and reported for Members, Retirees and Beneficiaries. They also include rates of taxation, etc.	CE	10						
TAX1140	3.2.005	W-4 Forms	TMRS' copy of "Employees' Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or upon separation of employee.			

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UNR1000	1.1.057	Unofficial / Non-Record Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC				AC = Purpose of the records has been fulfilled. (Dispose of as soon as possible.)		CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	

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