

March 28, 2023



Robert O'Connor
Manager of Records and Information Management
1000 Red River Street
Austin, Texas 78701

Dear Robert O'Connor,

Amendment 3 of the 5th recertification of your agency's records retention schedule is approved for use as of **3/23/2023** and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency:

Katherine Hoffman
khoffman@tsl.texas.gov
512-463-2631

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
78711-2927

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 323
Agency Name Teacher Retirement System of Texas

(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

Name *(Print or type)* Robert O'Connor

Date 9/6/2022

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)* Gloria Meraz

Date 3/23/2023

Cert/Recert No. 5 Amendment No. 3

CAUTION

A state record with an expired retention period 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 with a retention period that 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.

Amendment Note: If this schedule is amended at any point after certification, updated records series will be indicated by an asterisk (*) preceding the Agency Item Number (AIN).

State and Local Records Management Division
Texas State Library and Archives Commission
(Rev. 7/20)





STATE OF TEXAS
Records Retention Schedule

SLR 105
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
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					Years	Months	Days				
*AGY1000	1.1.058	Board of Trustees - Meeting Proceedings	The agenda and minutes documenting the proceedings of open meetings of the TRS Board of Trustees and its committees.	PM					A	Archives Note: Agency retains permanent record copy. The archival requirement will met by sending a copy to the Archives and Information Services Division of the Texas State Library and Archives Commission. Caution: This record series and RSINs 1.1.059, 1.1.060, 1.1.061 and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.	
*AGY1010	1.1.061	Board of Trustees - Open Meeting Notes	Notes taken during open meetings of the TRS Board of Trustees and its committees from which written minutes are prepared. Includes transcripts.		10						



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*AGY1015	1.1.060	Board of Trustees - Meeting Video Recordings	Video recordings of open meeting for the TRS Board of Trustees and its committees.		9					CAUTION: It is an exception to the AC+90 days retention that if an agency does not prepare written minutes, it must retain recordings of open meetings permanently, following the same retention requirements of RSIN 1.1.058. See also caution comment at RSIN 1.1.058.	
*AGY1020	1.1.062	Board of Trustees - Meeting Briefing Materials	Records submitted in support of meetings of the TRS Board of Trustees and its committees, some of which may be sent in advance of meetings for briefing purposes and not submitted at an actual meeting. Includes, but is not limited to meeting transcripts, committee books, briefing books, exhibits, and other documentation for agenda items not captured in agendas and minutes.		10				A	See caution comment at RSIN 1.1.058.	



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AGY1030		Board of Trustees - Elections	Records of the elections of members to the TRS Board of Trustees. Includes candidate information, voting process instructions, petitions, and tabulation results.	AC	6			AC = Election complete upon oath of office.			Records may contain both confidential and public information (e.g., Tex. Gov't Code §§ 552.117, 552.024 and 552.101 in conjunction with common law and constitutional privacy).



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AGY1040	1.1	Board of Trustees - Membership	Records related to membership on the TRS Board of Trustees. Includes background material, photos, resumes, contact information, orientation materials, etc.	AV					R		Records may contain both confidential and public information (e.g., Tex. Gov't Code §§ 552.024, 552.101, 552.102, 552.117, and 552.130; and 42 U.S.C. § 405(c)(2)(C)(vii) [regarding Social Security numbers].).
AGY1050		Board of Trustees - Ethics Forms	Disclosures filed by Trustees under an applicable ethics policy or other requirement, such as filings with the Texas Ethics Commission for which TRS must keep copies.	AC	3			AC = Date the individual ceases to be a TRS Trustee.			



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AGY1060	1.1.059	Board and Committees - Closed Meetings Transcripts, Recordings, and Notes	Transcripts, recordings, and notes taken during closed meetings of the TRS Board of Trustees and Program Advisory Committees (e.g., TRS Medical Board, and Insurance Appeals and Retiree Advisory Committees). Includes certified agendas of closed meetings, video and audio recordings, and notes and transcripts from which written minutes are prepared.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.			Tex. Gov't Code, 551.104(a). Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507; Texas Occupations Code Title 3, Subtitle B, Medical Practice Act). Records may contain information pertaining to disability retirees (Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191) and 45 C.F.R. Parts 160 and 164).



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AGY2000		Executive Administration	Routine administrative records of executive officers, division directors and program heads, including budgeting files, personnel monitoring files, and other records not included in or directly related to another records series on this schedule.		4						



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AGY2005	1.1.007	Executive Correspondence	Incoming and outgoing 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				R	CAUTION: This records series 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 FIN1000 Appropriations and Budget Requests; a letter concerning an audit for that prescribed by item number AGY6000 Audit Reports, etc. 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.	



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*AGY2010	1.1.040	Speeches, Papers, and Presentations	Notes or text of speeches, papers, or presentations delivered to external audiences on agency work by TRS executives or their senior assistants. Records in this series are archival when they are remarks make at formal ceremonies and during interviews concerning the programs of TRS. Interviews may be granted to radio, television, or printed news media commentators. The format may be original notes or text on paper, audio or video tape, or motion picture film	AC	2			AC = End of event, until superseded, or obsolete.	R	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	
AGY2020	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an Agency employee to initiate or authorize financial transactions on behalf of the Agency.	US	4						



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AGY3000		Organizational Documents and Tax Designations	Records that establish the trust and any subsidiary organizations of the agency, including records of formation, such as articles of incorporation, charters and bylaws; and licenses, permits, or registrations required by regulatory authorities. Also includes IRS determination records concerning the tax status of the TRS pension plan.	PM							



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AGY4000	1.1.024	Agency Program Planning	Records related to agency program planning and management, including identifying and establishing new programs and services for TRS or redefining existing TRS programs and services, or analyzing the effects of historical changes related to the core mission of TRS.		20				R	NOTE: Documents related to proposed investments and documents for accepted investments are retained in Investment Management (IMD) record series. SEE ALSO: For agency strategic planning, see AGY4010 Strategic Plan and Operating Reports. For departmental planning, see OPS1000 Routine Administration.	See guidelines in 29 U.S.C. § 1059. Records may contain both confidential and public information (e.g., Tex. Gov't Code §§ 552.143 and 825.507; Texas Occupations Code Title 3, Subtitle B, Medical Practice Act).



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AGY4010	1.1.055	Strategic Plan and Operating Reports	Records of agency strategic plans and biennial or annual narrative reports (e.g., Biennial Operating Plans) submitted to the legislature and the governor's office.		10				A	ARCHIVES NOTE: The archival requirement is met by sending the required copies to the Texas State Publications Depository Program, Texas State Library and Archives Commission. SEE ALSO: For agency program planning, see AGY4000 Agency Program Planning. For departmental planning, see OPS1000 Routine Administration.	
*AGY4015		Strategic Plan and Operating Reports Support Material	Support material for creation of agency strategic plans and biennial or annual narrative reports (e.g., Biennial Operating Plans, Department Strategic Plans) submitted to the legislature and the governor's office	AC	4			AC=Strategic Plan or Operating Report completed.			



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AGY4020	1.1.064	Agency Reporting - Performance Measures	Records related to monitoring and reporting the output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency. Includes quarterly and annual reports on agency performance measures submitted to executive and legislative budget offices. Includes but is not limited to: Benefit Plan Statistics, Experience Summary, Fund Projections, Network Savings, Quarterly Utilization, Performance Measures, Year in Review, Historically Underutilized Business Reports, Recycling & Conservation Annual Summary, State Use Report, etc.		8					Includes RSI: 1.1.068. SEE ALSO: For records related to the internal budgeting process and financial management reporting, see Budget and Accounting Reports and Worksheets. For records related to annual appropriations requests, see FIN1010 Appropriations and Budget Requests.	



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AGY4030	1.1.067	Agency Reporting - General Non-Fiscal	Non-fiscal reports and studies regarding TRS' programs, services, or projects not noted elsewhere in this schedule. Includes special reports requested by the legislature not related to key performance measures, strategic and operating plans, annual financial reporting, or legislative appropriations.		3				R	Includes RSI: 1.1.066. ARCHIVES NOTE: For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. SEE page ix of the State Model for more information. SEE ALSO: For reporting key performance measures to the legislature, see AGY4020 Agency Reporting - Performance Measures. For records related to annual appropriations requests, see FIN1000 Appropriations and Budget Requests. For records of annual end of fiscal year financial reporting, see FIN1020 Annual Financial Reporting and Actuarial Evaluations.	



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AGY5000	1.1.070	Policies and Procedures - Agency Programs	Records of rules, policies, guidelines, and procedures providing governance and direction for the unique programs of the agency. Includes official TRS policies, orders, directives, and manuals documenting the mission or line of business for which the agency is responsible, including forms history -- copies of original version and all subsequent revisions to certain forms (e.g. beneficiary designation and refund applications), including any associated design or design modification requests.		100				R	TRS is required by statute to prescribe and maintain certain forms (e.g. beneficiary designation pursuant to Tex. Gov't Code 824.101; and refund applications pursuant to Tex. Gov't Code 822.005). The forms must be maintained permanently because benefits determination may involve an evaluation of the validity of forms submitted by previous generations of TRS participants. MEDIA NOTES: Electronic versions of a form are superseded (e.g. disposed of) by subsequent revisions. Original SLR 105C (formerly RMD 105C) is retained by the State and Local Records Management Division, Texas State Library and Archives Commission. SEE ALSO: For files that demonstrate the formulation, planning, modification, and implementation of rules, policies, guidelines, and procedures unique to the agency, see AGY5010 Policies and Procedures Development - Agency Programs. For policies and procedures for general business operations such as personnel management, general accounting, information systems, etc., see AGY5020 Policies and Procedures - Business Operations. For routine/day-	See guidelines in 29 U.S.C. § 1059. Retention to coincide with the Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191 and 45 C.F.R Parts 160 and 164).



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AGY5010	1.1.071	Policies and Procedures Development - Agency Programs	Working files that demonstrate the formulation, planning, modification, and implementation of rules, policies, guidelines, and procedures providing governance and direction for the unique programs of the agency.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO: For final rules, policies, guidelines, and procedures providing governance and direction for the unique programs of the agency, see AGY5000 Policies and Procedures - Agency Programs.	



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AGY5020	3.3.024	Policies and Procedures - Business Operations	Records of policies, procedures and guidelines providing governance and direction for routine business operations such as personnel management, general accounting, information systems, and emergency management (e.g., business continuity and disaster recovery plans).	US	6					Includes RSI: 5.4.013. CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE ALSO: For technical documentation of procedures necessary for reading or processing of electronic records, see IT1000 Information Systems - Design and Configuration.	Retention to coincide with the Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191 and 45 C.F.R Parts 160 and 164). Records may contain both confidential and public information (e.g., Tex. Gov't Code §§ 552.024, 552.101, 552.102, and 552.117; 42 U.S.C. § 405(c)(2) (C-vii) regarding Social Security numbers; and the Americans with Disabilities Act of 1990, 42 U.S.C. § 12101 et seq. and 29 C.F.R 1630.14(b-1) and (c-1).



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*AGY6000	1.1.002	Audit Case Files	Completed reports and support materials on audits conducted on the agency by internal or external auditors or by the agency on external entities. Includes but is not limited to: fiscal audits, legislative audits, internal operational audits, including assurance audits and agreed-upon procedures testing; and external audits, including quality assurance reviews, agreed-upon procedures testing, and consulting projects for reporting entities.	AC	8			Close of audit		The State Auditor's Office retains any copies of its audits performed on Texas state agencies. See RSIN 5.4.018 and 5.4.019 for Audit Plan Records.	
*AGY6005	5.4.018	Annual Audit Plan	Includes working papers and agency risk assessment used to develop the plan, per Texas Internal Auditing Act requirements	AC	7			Final plan issued		See RSIN 1.1.002 for individual audit records not related to the development of the Audit Plan.	Gov. Code 2102.013



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*AGY6010	1.1.002	Internal Audit Support	Completed reports and support materials on audits conducted on the agency by internal or external auditors or by the agency on external entities. Includes documentation prepared or maintained by departments or divisions in response to an internal audit.	AC	8			Close of audit		The State Auditor's Office (SAO) retains any copies of its audits performed on Texas state agencies. See RSIN 5.4.018 and 5.4.019 for Audit Plan records.	
AGY6020		External Audit Support	Documentation prepared or maintained by a department or division in response to an external audit providing evidence to support the findings, conclusions, recommendations, and responses.	AC	2			AC = Publication or release of final audit findings.		SEE ALSO: For final audit reports, see AGY6000 Audit Case Files.	Records may contain both confidential and public information (e.g., Tex. Gov't Code § 552.116).



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*AGY6030	5.4.019	Audit Peer Review Working Papers	Documents created or generated as part of the process of reviewing other state agency internal audit programs. Includes but is not limited to: self-assessments, worksheets, surveys or questionnaires, evaluations, and other documents as described in the State Agency Internal Audit Forum (SAIAF) Peer Review Manual.	AC	1			After final report has been issued		See RSIN 1.1.002 for individual audit records not related to the development of the Audit Plan.	Gov. Code 2102.007(a)(5).
AGY7000	1.1.027	Government Relations	Records documenting the relations of the agency with the legislature, elected officials, and other governmental bodies at state, local and federal levels. Includes, but is not limited to tracking and providing input into legislation of interest to the agency, responding to legislative inquires, preparing bill analyses and summaries, reviewing proposed legislation and related fiscal notes, and writing and preparing legislative testimony.		8					ARCHIVES NOTE: Archival code removed subsequent to appraisal by the Archives and Information Services Division, Texas State Library and Archives Commission, November 2009.	Records may contain both confidential and public information (e.g., Tex. Gov't Code §§ 552.106 and 552.111).



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AGY7010	1.1.074	Sunset Review	Records pertaining to fulfilling Sunset Review requirements and final report.	AC	3			AC=After the subsequent Sunset Review.	R		
AGY8000	1.1.019	Public Relations	Records of official statements released for the primary purpose of representing TRS to the media and general public. Includes, but is not limited to, press releases and statements.		5				R	SEE ALSO: For relations with the legislature, elected officials, and other governmental bodies at state, local and federal levels, see AGY7000 Government Relations; For public information requests, see AGY8010 Public Information Requests and Reporting.	



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*AGY8015	3.1.039	Ombudsman Records	Consultation records, notes, letters, memos, emails, reports, and other documentation.	AC	4			AC = Final decision or matter closed.		CAUTION: Does not include formal complaints filed with EEOC. If a 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 record series. See RSIN 1.1.048, 3.1.006, 3.1.018, 3.1.020, and 3.1.021.	
*AGY9000		403(b) Registration and Certification	Records related to certifying companies and registering products that are eligible to receive 403(b) contributions from school employees, including attestations that the companies meet financial requirements and will offer products to school employees that comply with TRS rules regarding fees charged.	AC	10			After close of 403(b) program.			



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*BEN1000		Member Accounts	Individual member account records required to establish, deny, modify, continue, or end benefits provided under TRS programs. Includes records that document a member's history and current status within the TRS system, including account status, service credit, deposits and deductions, estimates of retirement benefits and summaries of benefits paid (e.g., 1099R). Includes active and inactive members. Includes final determinations and decisions of exception requests and appeals. Also includes individual member account records of members who leave employment in public education and obtain a refund of their member contributions (i.e., refunded accounts) and members with less than five years' service and no contributions for five consecutive years (i.e., escheated accounts).	AC	75			AC = When all benefits due from the account have been paid, the account has been refunded, or effective date of ORP selection.			



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*BEN1005		Records - Closed Imaging Records	Paper copies of incoming mail received and scanned into the imaging system from November 1994 through June 2007. Due to uncertainty about the authentication of signatures before scanning, the paper copies will be retained as a backup copy for ten years. This is a closed record series as of 2007.		10						



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BEN1010	4.6.001	Member Accounts - Maintenance and Reconciliations	Records of corrections and maintenance to member accounts and reporting entity information, including system reports used to confirm input, calculations, updates, and changes to member information (e.g., Member Account Transaction Report and Employment after Retirement (EAR) exception reports). Includes forms and supporting documentation used for transactional changes to accounts (e.g., to reactivate escheated accounts/reinstate membership; to transfer status from employee to member, member to employee, or TRS retirement to ERS; to correct errors in ORP reporting; to reverse service or disability retirement, refunds, refund reversals; etc.). Includes support documentation for QDROs and TRS Form 257. Some of this material may be scanned into the member's account; record category covers any material which is not scanned into a member's account (see BEN1000).		4					Includes RSI: 4.6.002; 4.6.003.	See guidelines in Tex. Gov't Code § 404.046, 29 U.S.C. § 1027, and 29 C.F.R § 2520.107-1. Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507).



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BEN1020	4.6.001	Member Accounts - Service Credit Purchase	Records related to processing service credit purchases (aka Special Service Buybacks [SSBB]). Includes balancing worksheets containing totals of types of monetary transactions, vouchers posted to SSBB installment accounts, and summaries of activities involving SSBB accounts. Includes vouchers posted to SSBB installment accounts. Also includes coupons sent by Special Service participants with checks to the Comptroller's for posting with payments and notices to cashiers relating to: (a) mailing payoff coupons; and (b) depositing qualified rollover payments.		8					Includes RSI: 4.6.002; 4.6.003. For audit purposes, these records must be maintained for 8 years.	See guidelines in 29 U.S.C. § 1027. Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507).



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BEN1030		Member Benefit Service Analysis	Records related to tracking statistics and trend analysis related to administering TRS benefit service programs. Includes but not limited to trend analysis related to determining how annuity increases or supplemental payments are implemented. Includes memos, meeting minutes, formulas, programming worksheets, such as Annuitant Totals Payroll, EFT Status, Option Table Regular, Retired Payroll, etc.		50					Records required to ascertain effects of historical changes related to the core mission of TRS.	See guidelines in 29 U.S.C. § 1059. Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507).
BEN1040		Member Outreach	Records related to providing outreach, education, and assistance to TRS membership through group presentations to professional associations, to employee and retiree groups, and at regional education service centers. Includes member satisfaction surveys, group benefit presentations, trip calendars, and related group communications.		4					SEE ALSO: For summary reports compiled from customer surveys, see AGY4030 Agency Reporting - General Non-Fiscal.	Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507).



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*BEN1045	1.1	Reporting Entity Satisfaction Surveys	Client surveys used to improve processes and services.		4						
BEN1050		Non-member Records	Non-member payroll files received from reporting entities		7						
BEN2000	4.6.001	Annuity Payroll	Records of the payment of monthly annuity benefits to eligible TRS retirees, including adjustments and reconciliations of ERS insurance, optional insurance, association dues, general ledger accounts, and mismatch reports. Includes daily and monthly reconciliations, annuity payroll ledgers, and reports.		10					Includes RSI: 4.6.002; 4.6.003. For audit purposes, these records must be maintained for 8 years.	See guidelines in 29 U.S.C. § 1027, Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191), and 45 C.F.R. parts 160 and 164. Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507).



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BEN3000		Reporting Entities - Master Files	Records of individual reporting entities that document their history and current status within the TRS system, including original documentation for funding and participation in TRS ActiveCare, user identification and system security password authorization forms for reporting entities employees who should have access to the system, school calendars, and reporting entities policies and procedures.		75					MEDIA NOTES: Calendars for years 1970-1983 are kept on microfilm.	See guidelines in 29 U.S.C. § 1027. Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507).



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BEN3010		Reporting Entities - Communications	Records for reporting entities providing payroll information, demographics, and employer contributions and reimbursements. Also includes records of communications with individual reporting entities, including correspondence received or created by TRS.		10					MEDIA DESCRIPTION: Monetary information contained in District Reports is ultimately recorded and stored in BEN1000 Member Accounts (MDS001 "Member Benefit Records" in the imaging system, and /or BAC034 "Member Benefit Records" in the TRS mainframe). District reports have been maintained in the following media: 1.1985-1998 are on microfilm. 2.1998-2003 are on paper. 3.2003-Present are maintained electronically on TRAQS. EXCEPTION TO RETENTION PERIOD: Information in reports dated 1937-1985 may not have been transferred or recorded to another media, and, therefore must be retained permanently to comply with agency item number BEN1000 Member Accounts (formerly MDS001 and BAC034 for "Member Benefit Records"). These records are only on microfilm.	Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507).



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BEN4000		Insurance Appeals Committee - Meeting Proceedings	The agenda and minutes documenting the proceedings of closed meetings of the Insurance Appeals Committee.		100						See guidelines in 29 U.S.C. § 1059 and in Health Insurance Portability and Accountability Act. Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507; Texas Insurance Code §1579.005; Texas Occupations Code Title 3, Subtitle B, Medical Practice Act; and Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191) and 45 C.F.R. Parts 160 and 164).



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BEN4010		Insurance Appeals Committee - Meeting Briefing Materials	Records submitted in support of meetings of the Insurance Appeals Committee, some of which may be sent in advance of meetings for briefing purposes and not submitted at an actual meeting. Includes, but is not limited to exhibits, slide decks, and other documentation for agenda items not captured in the agenda and minutes.		3						See guidelines in 29 U.S.C. § 1059 and in Health Insurance Portability and Accountability Act. Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507; Texas Insurance Code §1579.005; Texas Occupations Code Title 3, Subtitle B, Medical Practice Act; and Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191) and 45 C.F.R. Parts 160 and 164).



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BEN4020		Insurance Exception Requests	Records related to appeals and exception requests, including but not limited to eligibility and enrollment issues for insurance benefits provided by TRS (e.g., TRS ActiveCare), including research and investigations. Does not include final determinations and decisions, which are covered by BEN1000 Member Accounts.	AC	6			AC = Close of the exception or appeals process, or day after last day member could formally request an exception appeal to TRS.		NOTE: Incoming / Outgoing correspondence records are imaged under agency item number BEN1000 Member Accounts. SEE ALSO: For final determinations and decisions, see BEN1000 Member Accounts.	See guidelines in 29 U.S.C. § 1059 and in Health Insurance Portability and Accountability Act. Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507; Texas Insurance Code §1579.005; Texas Occupations Code Title 3, Subtitle B, Medical Practice Act; and Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191) and 45 C.F.R. Parts 160 and 164).



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					Years	Months	Days				
BEN5000		Medical Board - Meeting Proceedings	The agenda and minutes documenting the proceedings of closed meetings of the Medical Board.		100					RECORD COPY: Agency retains permanent record copy.	Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507; Texas Occupations Code Title 3, Subtitle B, Medical Practice Act). Records may contain information pertaining to disability retirees (Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191) and 45 C.F.R. Parts 160 and 164).



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BEN6000		Retiree Advisory Committee - Meeting Proceedings	The agenda and minutes documenting the proceedings of open meetings of the Retiree Advisory Committee.		100						
BEN6010		Retiree Advisory Committee - Meeting Briefing Materials	Records submitted in support of meetings of the Retiree Advisory Committee, some of which may be sent in advance of meetings for briefing purposes and not submitted at an actual meeting. Includes, but is not limited to exhibits, slide decks, and other documentation for agenda items not captured in the agenda and minutes.		3						



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BEN6020		Retiree Advisory Committee - Membership	Records related to membership on the Retiree Advisory Committee. Includes background material, photos, resumes, contact information, etc.	AC	3			AC = After term of office is completed.			Records may contain both confidential and public information (e.g., Texas Government Code § 552.130; 26 U.S.C. § 6103(a) [regarding tax returns]; and 42 U.S.C. § 405(c)(2)(C)(viii) [regarding Social Security numbers]).



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*BEN7000		Health Insurance Member Accounts	Includes, but is not limited to, incoming/outgoing enrollee correspondence related to health insurance plan administration and member testimonials. Does not include information that pertains to a specific complaint or formal appeal heard by committee or medical documentation such as member records regarding incapacitated dependents, etc.	AC	7			AC = Account closed.			
*BEN7010		Health Insurance Utilization Records	Includes, but is not limited to, utilization reports and claims data.	AC	7			AC = End of contract.			



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FIN1000	1.1.004	Appropriations and Budget Requests	Records of legislative appropriation requests (e.g., Legislative Appropriations Requests [LAR]), including documentation submitted to the Legislative Budget Board to justify legislative appropriations requests.		8				A	ARCHIVES NOTE: The archival requirement is met by sending the required copies or the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. SEE ALSO: For records related to the internal budgeting process and financial management reporting, see FIN1010 Budget and Accounting Reports and Worksheets.	



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					Years	Months	Days				
*FIN1010	4.5	Budget and Accounting Reports and Worksheets	Records of internal budgeting, forecasting, and financial reporting. Includes, but is not limited to operational and capital budget preparation and control, including cost center and budget adjustments and transfers; and financial management reporting, including cost analysis, financial performance, and fiscal tracking.		6					Includes RSIN 4.5.002, 4.5.006. Includes monthly report data from title-holding corporations. SEE ALSO: For records related to the state budget process, including legislative appropriation requests (LAR), see FIN1000 Appropriations and Budget Requests. For key performance measures reported to executive and legislative offices, see AGY4020 Agency Reporting - Performance Measures.	Records may contain both confidential and public information (e.g. Texas Government Code, 552.024, 552.101-102, 552.117, 552.130, and 825.507; Texas Insurance Code art. 3.50-4, 18B; 22 U.S.C. 3104(c), 42 U.S.C. 40(c)(2)(C)(viii) [regarding Social Security Numbers], and 15 C.F.R. 801.5).



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FIN1020	4.5.003	Annual Financial Reporting and Actuarial Evaluations	Records of annual end of fiscal year financial reporting submitted to the legislature, the Texas Register, and the governor's office. Includes but is not limited to the Consolidated Annual Financial Report (CAFR) as required by the General Appropriations Act and actuarial evaluations and experience studies containing actuarial valuations of the system's assets and liabilities.	PM						SEE ALSO: For legislative appropriations requests, see FIN1000 Appropriations and Budget Requests. For records related to the internal budgeting process and financial management reporting, FIN1010 Budget and Accounting Reports and Worksheets.	See guidelines in 29 U.S.C. § 1059.



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FIN2000	4.1.001	General Accounting Transactions	Records of general accounting transactions such as accounts payable, accounts receivable, expenditure accounting, travel authorizations and expense reports, and banking transactions. Includes, but is not limited to payable invoices, receipts, cash payments, direct deposits, canceled checks, debit / credit memos, purchase orders, work orders, donations, account reconciliations, and expense and transaction reports.		4					Includes RSI: 4.2.007; 4.4.002; 4.4.003. Some of these reports may be a result of a coordinated effort between General Accounting and Staff Services with records maintained by both departments. SEE ALSO: For transaction summaries such as general and subsidiary ledgers, balance sheets, cash journals, and monthly close reports, see FIN2010 General and Subsidiary Ledgers, Journal Entries, and Reconciliations.	Records may contain both confidential and public information (e.g., under Tex. Gov't Code §§ 552.024, 552.101, 552.102, 552.117, and 552.130; and 42 U.S.C § 405(C)(2)(C)(viii) [regarding Social Security Numbers.]).



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FIN2010	4.4.001	General and Subsidiary Ledgers, Journal Entries, and Reconciliations	Records of summary accounting information, including account balances in general and subsidiary ledgers, journal entries, and account reconciliations. Also includes balance sheets, cash journals, and monthly close reports.		7					Maintained in conjunction with Executive Management, Accounting, and Communications. SEE ALSO: For accounts payable, accounts receivable, and other general accounting transactions, see FIN2000 General Accounting Transactions.	See guidelines in 29 U.S.C. § 1027. Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507).
*FIN2020		Escheat Reporting	Records of abandoned or unclaimed property reporting. Includes returned checks, warrants, and drafts (uncollectable).	AC	10			After deemed uncollectable by department manager		Includes RSINs 4.7.003 and 4.5.010.	Property Code, Section 74.103(b)



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FIN3000	3.2.001	Employee Payroll Input	Records of authorizations to start, modify, or stop all voluntary or required deductions from employee payroll, including withholding authorizations, direct deposit instructions, deferred compensation, and garnishment orders.	AC	5			AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.		Includes RSI: 3.2.005; 3.2.008; 3.2.009. 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 Agency Coordinator Procedures Manual issued by the Employees Retirement System of Texas. SEE ALSO: For records of the payments of salaries and wages for Agency personnel, see FIN3010 Employee Payroll Transactions.	See 26 C.F.R 31.6001-1(e)(2). Records may contain both confidential and public information (e.g., ORD-545 (1990) [common law privacy]; Tex. Gov't Code §§ 552.024, 552.101, 552.102, 552.117, and 552.130; Texas Occupations Code Title 3, Subtitle B, Medical Practice Act; 42 U.S.C. § 405(c)(2)(C)(viii) [regarding Social Security numbers]; and the Americans with Disabilities Act of 1990, 42 U.S.C. § 12101 et seq.; 26 U.S.C. § 6103(a) [regarding tax returns]; and 29 C.F.R 1630.14(b)(1) and (c)(1).).



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FIN3010	3.4.002	Employee Payroll Transactions	Records of the payment of salaries and wages for Agency personnel, including deductions for benefits, taxes, garnishments, contributions, and other adjustments. Includes payroll reports, and time and attendance records, including time off and sick leave requests and accumulated leave adjustment requests.		5					Includes RSI: 3.4.004; 3.4.006; 3.4.007. SEE ALSO: For employee deduction authorizations, see FIN3000 Employee Payroll Input.	40 TAC 815.106(i). Retention period based on Stanton v. Fowler, 52 F.3d 723 (1995). Records may contain both confidential and public information (e.g., Tex. Gov't Code §§ 552.024, 552.101, 552.102, 552.117, 552.024, 552.130, and 825.507; 26 U.S.C. § 6103(a) [regarding tax returns]; 42 U.S.C. § 405(c)(2)(C)(viii) [regarding Social Security numbers]). See also 29 C.F.R 516.6(c).



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FIN3020	3.1.011	Employee Benefit Elections	Records related to processing deductions based on employee selections of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC				AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.		RECORD COPY: ERS maintains the record copy of some records. CAUTION: Documents that serve as payroll deduction authorizations are included in FIN3000 (AC+5) SEE ALSO: For TRS Employees Retirement Records, see BEN1000 Member Accounts. For employee deduction authorizations, see FIN3000 Employee Payroll Input.	Records may contain both confidential and public information (e.g., Tex. Gov't Code §§ 552.024, 552.101, 552.102, 552.117, and 552.130; Texas Occupations Code Title 3, Subtitle B, Medical Practice Act; 42 U.S.C. § 405(c)(2)(C)(viii) [regarding Social Security numbers]; and the Americans with Disabilities Act of 1990, 42 U.S.C. § 12101 et seq. and 29 C.F.R 1630.14(b)(1) and (c)(1).).



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FIN4000	4.6.002	Investment Accounting	Records related to tracking, allocating, and reconciling revenues and costs associated with investment partners. Includes revenue and expense statements and revenue distribution based on investment agreements. Includes master funding log related to allocating, and reconciling investment partnerships.		7						See guidelines in 29 U.S.C. § 1027. Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507).



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*FIN5000		Tax Reporting and Support	Records of reporting the tax obligations of the Agency, including, but not limited to employee withholding, payroll and wage, and social security contributions (e.g., Form W-2, Form W-9, Wage and Tax Statement, Form 941, Employer's Quarterly Federal Tax Return; Form 945, Annual Return of Withheld Federal Income Tax) and reporting of distributions from Pensions, Annuities, and Retirement Plans (e.g., Form 1099-R, Distributions From Pensions, Annuities, Retirement or Profit-Sharing Plans, IRAs, Insurance Contracts, etc.). Includes tax notes, formulas, programming, test prints, etc. for printing yearly 1099R forms.		7					Includes RSINs 3.2.003 and 5.3.010.	26 CFR 31.6001-1(e)(2) and 26 CFR 31.3406(h)-3(g).



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*FIN6000		Contracts and Agreements - General	Records of contracts and agreements documenting legal obligations for general goods and services, land lease, intellectual property licensing and use, and other business relationships and arrangements that do not result in access by a business associate to protected health information (pHI). Includes the request and sourcing of goods and services from suppliers, such as requisitions, solicitation documentation, vendor responses, evaluation determination, and notice of awards. Includes negotiations, due diligence, terms and conditions, exhibits, non-disclosure agreements (NDA), amendments, change orders, acceptance, and final versions of contracts. Also includes reports required by the contract, general correspondence, and contract performance monitoring.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		Includes RSINs 5.1.001 and 5.3.007a-c.	



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*FIN6010		Contracts and Agreements - Business Associate	Records of contracts and agreements for goods or services that may result in access by a business associate to protected health information (pHI). Includes original contract; any and all amendments or changes orders; the business associated agreement; and the certification from the business to either comply or not comply with the business associate agreement. All other contract file records will be retained per FIN6000. See FIN6030 for retention of contract sponsor and management records.	AC	75			AC = Expiration or termination of the instrument according to its terms.			



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*FIN6030		Contract Management	Contract Sponsor documentation managing the contract from execution through close out. Includes, but not limited to, reports and deliverables required by the contract; documentation of monitoring activities; and general correspondence related to the contract.	AC	7			AC = Termination of Contract			Record retention should correspond with Government Code §2261.253 concerning enhanced contract or performance monitoring and Government Code §2262.052 concerning required compliance with Contract Managment Guide.



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*HRS1000	3.1	Employees - Personnel Files	Records of personnel actions taken with respect to individual employees from initial hiring to termination. Includes employment application materials and resumes, individual development plans, performance appraisals, promotion history, corrective and disciplinary actions, transfers, exit interview, severance or separation information, and any certifications obtained by the employee. Includes but is not limited to: Signed Application for Employment, Cover Letter, Confirmation Letter, Relationship Disclosure Forms, Resume, References, Letter of Reference, Writing Samples, "At Will" Acknowledgment, Sexual Harassment Policy Acknowledgment, PER 8-Employee Data, Physical Fitness Liability Release, General Policy Acknowledgment Forms, NEO Checklist, PER 25-Personnel Action Forms, Performance Appraisals, Training and Educational Achievement Records, Personnel Disciplinary Action Documentation, EEO Annual Training Acknowledgement etc.	AC	5			Termination of employment		Does not include ADA Accommodation requests (RSIN 3.1.042), criminal history checks (RSIN 3.1.026), drug screening test results (RSIN 3.1.040a/b/c), pre-employment skills tests (RSIN 3.3.027 & 3.3.028), or formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U.S Department of Labor (DOL); see RSIN 1.1.048. If, during the retention period of 3.1.020, any part of this series is used to document and support personnel disciplinary action under RSIN 3.1.021, all documentation from 3.1.020 used to support disciplinary action must be retained for the retention period in RSIN 3.1.021. Includes RSINs 3.1.001, 3.1.002, 3.1.014, 3.1.018, 3.1.019, 3.1.020, 3.1.021, 3.1.022, 3.1.027, 3.1.029, 3.1.037, & 3.1.041.	29 CFR 1602.31, 29 CFR 1620.32(c), 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).



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HRS1010	3.1.006	Employees - Counseling Records	Notes, memoranda, or reports regarding consultations with an employee on performance issues.	AC	3			AC= Termination of counseling.			Records may contain both confidential and public information (e.g., Tex. Gov't Code §§ 552.024, 552.101, 552.102, 552.117, 552.130, and 552.147; Texas Occupations Code Title 3, Subtitle B, Medical Practice Act; 42 U.S.C. 405(c)(2)(C)(viii) [regarding Social Security numbers]; and the Americans with Disabilities Act of 1990, 42 U.S.C. § 12101 et seq. and 29 C.F.R 1630.14(b)(1) and (c)(1).).



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HRS1020	3.1.024	Employees - Medical Files	Records of individual employee health histories, including documentation of medical treatment provided in response to a workplace accident or injury and employee leave requests and supporting documentation required under the Family Medical Leave Act (FMLA). Also includes documentation related to leave approval under ADA, FMLA, Parental Leave, Sick Leave Pool, etc.	AC	5			AC = Closed Case or Termination of employment, whichever sooner.			Records may contain both sensitive or confidential information and public information (e.g., Tex. Gov't Code §§ 552.024, 552.101, 552.102, 552.117, and 552.130; Texas Occupations Code Title 3, Subtitle B, Medical Practice Act; Tex. Gov't Code 552.147; 42 U.S.C. 405(c)(2)(C)(viii) {regarding Social Security numbers}; and the Americans with Disabilities Act of 1990, 42 U.S.C. § 12101 et seq. and 29 C.F.R 1630.14(b)(1) and (c)(1).).



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HRS2000	3.3.030	Employees - Training Acknowledgement	Employee acknowledgement of training.	AC	6			AC = Training Completed.		CAUTION: Does not include hazardous material training records. SEE ALSO: For individual (employee-specific) development plans, certifications, and training attendance records, see HRS1000 Employees - Personnel File. For hazardous materials training, see OPS4060 Facilities - Hazardous Materials Administration. For designing and developing training material, see OPS2000 Training Materials.	Retention to coincide with the Health Insurance Portability and Accountability Act of 1996 (Public Law 104-191) and 45 C.F.R Parts 160 and 164.



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HRS3000	3.1.014	Recruitment and Hiring	Records of recruitment, including job announcements and postings, advertisements, non-hired candidate application materials (e.g., applications, skill testing, resumes, transcripts, reference letters), and records that document the selection process. Recruitment records for hired employees become part of the personnel file.	AC	2			AC = Date job posting closes, or if applicable, when appeal closes, whichever comes later.		Includes RSI: 3.1.001. SEE ALSO: For application materials of successful candidates, see HRS1000 Employees - Personnel File.	29 C.F.R. 1602.31 relates to a 2 year retention for Aptitude & Skills Tests. Records may contain both confidential and public information (e.g., Tex. Gov't Code §§ 552.024, 552.101, 552.102, 552.117, and 552.130; Texas Occupations Code Title 3, Subtitle B, Medical Practice Act; Tex. Gov't Code 552.147; 42 U.S.C. 405(c)(2)(C)(viii) {regarding Social Security numbers}; and the Americans with Disabilities Act of 1990, 42 U.S.C. § 12101 et seq. and 29 C.F.R 1630.14(b)(1) and (c)(1).).



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HRS3010	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.	



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HRS3020	3.1.029	Verification of Identity and Employment Authorization	Records documenting and verifying eligibility of employees to work in the United States. Includes I-9 Forms as required by the United States Department of Homeland Security.	AC	1			AC = Termination of employment (+1) or Date of Hire (+3) ; whichever is later.			The retention period is based upon 8 U.S.C. 1324a(b)(3) and 8 C.F.R 274a.2(b)(2)(i)(A) and (c)(2); Tex. Gov't Code 552.147; 42 U.S.C. 405(c)(2)(C)(viii) [regarding Social Security numbers]. Records may contain both confidential and public information (e.g., Tex. Gov't Code § 552.101; 8 U.S.C. 1324a(b)(5); 8 C.F.R §274a.2(b)(4).).



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HRS4000		Human Resource Program Administration	Records related to administering human resource programs, such as employee and leadership development, awards and recognition, succession planning, employee assistance and wellness, educational assistance, and other outreach programs. Includes development programs to foster employee skills through coaching and mentoring, job-rotation and cross training. Includes succession planning to identify and develop staff with the potential to fill key business leadership positions in the agency. Also includes managing the work at home (i.e., telecommuting) program.		5					SEE ALSO: For individual (employee-specific) development plans, awards and recognition, and training attendance records, see HRS1000 Employees - Personnel Files. For administering HR-managed training programs, see HRS2000 Employees - Training Administration. For program reporting, see HRS5000 Labor and Employment Compliance and Reporting.	



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HRS4010	3.1.023	Resource and Compensation Management	Records of agency compensation plans, including performance standards, job descriptions or summaries, job classifications, position responsibilities, reporting relationships, wage and benefit surveys, workforce reports, and salary guidelines.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i).



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HRS5000	3.3.031	Labor and Employment Compliance and Reporting	Records of compliance with labor regulations reporting and audits pertaining to equity in employment, such as U.S. Equal Employment Opportunity Commission (EEOC) reporting requirements.		5					Employee lists and emergency contact forms are vital records. Other records in this series are not vital.	29 C.F.R 1602.30, 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50. Records may contain both confidential and public information (e.g., Tex. Gov't Code §§ 552.024, 552.101, 552.117, and 552.147; and 42 U.S.C. 405(c)(2)(C)(viii) [regarding Social Security numbers]).
HRS6000	1.1.023	Organizational Charts	Records documenting the formal reporting relationships of the Agency.	US					A	Maintained in conjunction with Executive Management, Accounting, and Communications.	



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HRS7000	3.3.011	Former Employee Verification Records	Records of employee service at a summary level to verify employment, including name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment.		MEDIA NOTES: Records from 1937-84 are on microfilm. Records from 1985 to present are in paper. Records from 1994 to present are available thru Comptroller's database.	Records may contain both confidential and public information (e.g., Tex. Gov't Code §§ 552.024, 552.101, 552.117, and 552.147 and 42 U.S.C. 405(c)(2)(C)(viii) [regarding Social Security numbers]).
IMD1000		IMD Committees	The agenda, minutes and materials presented to the Internal Investment Committee and the Investment Management Committee.		50						
IMD2000		Portfolio Monitoring	Materials created to track the performance of a group of investments, asset classes, strategies or asset managers		20						



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IMD3000		External Fund Management Supervision and Monitoring	Includes, but isn't limited to, initial manager review, reference check notes, recommendations, agreement, and legal documents. Includes monitoring documents such as financial statements, advisory board and annual meeting materials and quarterly reports.	AC	20			AC = Termination of relationship with manager.			
IMD4000		Investment Due Diligence and On-Going Monitoring	Includes, but isn't limited to, correspondence, due diligence evidence, legal documentation, agreement, and investment recommendation. Includes evidence of on-going monitoring of investment performance.	AC	20			AC = Close of Investment			



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IMD5000		Investments Declined	Includes, but is not limited to, proposed investment agreements, offering materials, term sheets, correspondence, meeting notes, due diligence questionnaires and packets, notes on reference checks, recommendations, internal correspondence, and other related documentation. Includes deals approved by staff, but not presented to the TRS Board of Trustees for investment consideration due to timing, oversubscription of the fund, etc.		20						
IMD6000	4.1.006	Public Securities Transactions	Includes trades, cash, valuations, corporate actions, payments, interest, proxy elections and relevant bank/contact information. Documents include confirmations, trade blotters, cash logs, directionals and instructions to custodian.		6						



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IMD7000		Broker Analysis	Broker records for due diligence and monitoring activities. Includes, but isn't limited to, broker questionnaire responses, financial status reports, education and research offerings and internal broker evaluation.		3						
IMD8000		Performance Reporting	Reports on investment performance measures submitted to TRS executives and Board members.		50						



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*IT1000	2.1	Information Systems Administration	Hardware/software records related to the detailed, as-built design or major modifications (e.g., patches, upgrades, etc.) of technology systems and software applications. Including but not limited to technical documentation, architecture, source code, data models, data standards, registries, data definitions and dictionaries, and software documentation (e.g., user guides). This item DOES NOT apply to content or data within a system or application; these should be filed according to their records value, regardless of media.	AC				AC = Completion or termination of program or system and records are transferred to and made usable in a new software environment.		Includes RSINs 2.1.007, 2.1.008, and 2.1.009.	13 TAC 6.94



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*IT1010	2.2.013	Information Systems - Quality Control	Records related to performing quality assurance on 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. Does not include Quality Control related to projects.	AC				AC = Quality Assurance validated.			
*IT2000		Information Systems - Maintenance	Records related to routine maintenance of technology, systems, and infrastructure. Includes, but is not limited to network infrastructure maintenance, system performance monitoring and testing, work orders and service histories, and website administration.		3						



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*IT2005	2.2.001	Information Systems - Performance Monitoring	Records related to system performance monitoring and testing.	AC				AC = Dispose when purpose is fulfilled, retain no longer than 1 year.			
IT2010	2.2.016	Information Systems - Software Licensing and Agreements	Records documenting legal obligations for software licensing and use, including licensing documentation providing proof of ownership for software purchases. Includes, but is not limited to, maintenance/support agreements, licenses, and related correspondence.	LA	3						Records may contain both confidential and public information (e.g., Tex. Gov't Code §§ 552.104 or 552.110).



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IT2020	2.2.001	Information Systems - Usage Monitoring and Control	Records of system usage monitoring and control for systems not requiring special accountability for access. Includes records created as part of the user identification and authorization process to gain access to systems and monitor inappropriate systems usage by users. Includes user profiles, log-ins and passwords; audit trails; and system usage logs. Includes access control and security events for systems used to store, transmit, and receive electronic protected health information (ePHI).	AC	7						SAAS User Records are not subject to Chapter 552 of the Government Code (see ORD-581 (1990)).
*IT3000		Information Security Incident Case Files	Case files for information security incidents. These include but are not limited to fraud analysis, personnel investigations, and inadvertent data disclosures (IDD).	AC	6			AC = Close of incident.			



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*IT3010		Digital Information Security Incident Reporting	Information concerning violations of digital information security policy reported monthly by the agency to internal stakeholders. Includes but is not limited to internal security incidents reports specified in security violation SOPs.		6						
*IT3020		Digital Information Security Violation Tracking	This record series consists of electronic files or automated system logs that monitor digital security violations to servers if needed to provide evidence or for documenting security incidents. Includes but is not limited to intrusion detection logs, firewall logs, server event logs, and router logs.		7						



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LEG1000		Compliance Monitoring	Records related to monitoring compliance with agency policies and procedures, including forms filed by TRS staff, staff identified as Key Employees, and certain contractors under applicable ethics policies, such as conflicts of interest and other required disclosures. Also includes incumbency certificates, or similar records used internally for monitoring and proof of compliance with TRS investment policies.		7						



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LEG2000	3.1.018	Complaints, Claims and Investigations	Records generated in the processing of Complaints, Claims and Investigations related to legal matters such as contractual claims, labor disputes, civil rights grievances, insurance claims, damage claims, arbitration and mediation. Includes reviews of complaints received through various sources, including, but not exclusively, from the TRS Fraud and Ethics Hotline, complaints received by the State Auditor's Office, and other internal investigations. Records relevant to litigation or adjudication become part of LEG3000 Litigation and Adjudicative Hearings.	AC	6			AC = Close or resolution.		CAUTION: If a complaint becomes a matter of litigation, see item 1.1.048. ARCHIVES NOTE: Archival code removed per Archival Review August 2002. SEE ALSO: For records relevant to litigation or adjudication, see LEG3000 Litigation and Adjudicative Hearings.	Records may contain both confidential and public information (e.g., Tex. Gov't Code §§ 552.024, 552.101, 552.102, 552.117, and 552.130, and constitutional and common law privacy; Texas Occupations Code Title 3, Subtitle B, Medical Practice Act; Tex. Gov't Code 552.147; 42 U.S.C. 405(c)(2)(C)(viii) [regarding Social Security numbers]; and the Americans with Disabilities Act of 1990, 42 U.S.C. § 12101 et seq. and 29 C.F.R 1630.14(b)(1) and (c)(1); See also, Morales v. Ellen, 840 S.W.2d 519 (Texas App.-El Paso 1992, writ denied) interpreting common law privacy doctrine.).



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*LEG3000	1.1	Litigation and Adjudicative Hearings	Records generated by or on behalf of an agency in anticipation of or in the adjudication of an lawsuit, including contested cases pursuant to APTRA. Includes rulings, final judgements, settlements, orders and subpoenas.	AC	1			Dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; final decision of a court (or of a court on appeal, if applicable); or date subpoena (for which agency is not a party) request fulfilled.	R	Includes RSINs 1.1.048 and 1.1.076. 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.	
LEG4000		Intellectual Property	Records of the preparation, filing and maintenance of rights under trademark, copyright, or patent law. Includes completed and pending trademark and copyright applications and supporting documentation, as well as patent applications and associated due diligence.	AC	7			AC = Until the protection of rights has expired.		SEE ALSO: For infringement investigations, see LEG2000 Complaints, Claims and Investigations. For licenses related to the use of intellectual property, see FIN6000 Contracts and Agreements - General.	



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LEG5000	1.1.014	Legal Research, Opinions and Advice	Formal legal opinions and advice from agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation, or with regard to pending litigation. SEE ALSO: For legal opinions or advice rendered on a matter in litigation, or with regard to pending litigation, see LEG3000 Litigation and Adjudicative Hearings.	
*LEG6000	1.1	Public Information Requests and Reporting	Records related to the agency's Public Information Act activities, including responses to requests for records under the Public Information Act (Chapter 552, Tex. Gov't Code), and summary reports made to the Office of the Attorney General, including reports to the Legislative Budget Board on monies received for Open Records Requests.		5					Includes RSINs 1.1.020 and 1.1.021.	



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*LEG6010	1.1	Public Information Requests - Request for Attorney General Ruling	Records related to Public Information Act requests that result in the agency seeking an Attorney General ruling on disclosure.		10					If a request/ruling proceeds to litigation, reclassify those records to LEG3000.	
*OPS1000	1.1	Routine Administration	Records related to routine administrative or housekeeping activities of the agency rather than the function for which the agency exists, including records documenting departmental, committee, or team administration, planning and management. Includes correspondence, non-Board related meeting recordings, staff meeting minutes and notes, and routine operational reports.		2					Includes RSINs 1.1.008, 1.1.063, and 1.1.069. See comment to RSIN 1.1.007. See also RSIN 1.1.010. Caution: If reports are used to document performance measures, see RSIN 1.1.064.	



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OPS1010	1.1.013	Calendars	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.		2				R	CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General. ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of the Executive Director require archival review. Contact the State Archives when these records have met their retention periods. Archival code for all other departments removed subsequent to appraisal by the Archives and Information Services Division, Texas State Library and Archives Commission, November 2009.	



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OPS1020	5.1.014	Routine Procedures	Records of routine/day-to-day office procedures and guidance documents such as agency style manuals and branding guidelines, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1					SEE ALSO: For policies, procedures, and guidelines unique to the agency, see AGY5000 Policies and Procedures - Agency Programs.	
OPS2000	1.1.043	Training Materials	Final copy of conducted training materials. Includes, but is not limited to syllabi, presentations, instructor guides, handbooks, lesson plans, online modules and other course materials.	US	2						Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507).



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OPS3000	5.1.013	Insurance Policies and Indemnifications	Records of insurance coverage affecting agency liability. Includes insurance policies, amendments, endorsements, riders, or other agreements including property, environmental risk, general and professional liability, defective title, motor vehicle, workers' compensation, and other coverage. Also includes surety, fidelity, and performance bonds, documentation of financial assurance, and legal proof of insurance coverage.	AC	7			AC = Expiration or termination of the instrument according to its terms.			Tex. Gov't Code § 441.1855.
OPS3010		Risk Assessments	Records identifying and documenting risks related to departmental and agency-wide objectives and activities, including mitigation plans and progress reports.		10						



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*OPS3020	5.4	Incident Reporting and Worker's Compensation	Records related to safety, health, or security events, incidents, accidents, and subsequent investigations. Includes official injury logs and supplementary records related to reportable injuries and illnesses. Includes records related to worker's compensation claims and other associated reports required to be submitted to the State Office of Risk Management or its predecessors or maintained internally on accident frequency. Includes records related to the events and damages to property due to storms, riots, fires, droughts, floods, and other events affecting citizens and facilities.		6				R	Includes RSINs 5.4.001 and 5.4.017. See RSIN 5.4.014a/b for non-employee accidents. See RSIN 5.4.013 for Continuity of Operations Plans (COOP). Caution: If grant monies are received to assist with a response or recovery, the retention requirements for those records may vary depending on the specific funding agency. Only records documenting emergency response and recovery would require archival review.	29 CFR 1904.33, 28 TAC 120.1(c).



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*OPS4000	5.2.002	Facilities - Design and Construction	Facility construction project records documenting design, engineering, and completion phases. Includes plans, surveys, field notes, construction permits, accepted and rejected bids; project correspondence, final acceptance documents, change orders, and closeout paperwork.	AC	20			AC = Completion of project.	R	Note: Final design records should be classified under OPS4010 upon completion of project. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	
*OPS4010	5.2	Facilities - Plans and Specifications	Records of the ownership documents, final plans and specifications related to the design, engineering and construction of facilities. Includes engineering plans, studies and specifications and as-built drawings that reflect all changes to designs or other details which occurred during the construction of a building.	LA	2				R	Includes RSIN 5.2.001 and 5.2.003a.	



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*OPS4020		Facilities - Building, Equipment and Vehicle Operations	Records of standard facility, equipment, and vehicle management and operations, including property inventories, usage logs, visitor control logs, equipment performance reports and work orders. Includes mileage, fuel/oil consumption, trip reports, and other related vehicle operational information.		4						
*OPS4030	5.6.003	Facilities - Vehicle Maintenance	Records of the maintenance and repair of vehicles. Includes vehicle titles, registrations, and certifications; equipment manuals; and maintenance performed on vehicles.	LA	1						
OPS4040	5.4.012	Facilities - Access Control	Records related to assigning instruments of access to agency facilities or equipment.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever sooner.			Records may contain both confidential and public information (e.g., ORD-581 (1990)).



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OPS4050	5.4.003	Facilities - Safety Inspections	Records of facility and equipment safety inspections. Includes fire safety and inspections of safety equipment (e.g., AED [defibrillation] equipment, safety cabinets, and fire extinguishers) and Safety and Loss Control Inspections.	AC	3			AC = Inspection, or date of the correction of the deficiency if the inspection report reveals a deficiency.		CAUTION: Does not include inspection reports of building construction. SEE ALSO: For a history of maintenance performed or deficiencies noted, but not corrected, see OPS4030 Facilities - Building, Equipment and Vehicle Maintenance. For building construction projects, including inspection reports, see OPS4000 Facilities - Design and Construction.	
OPS4060	5.4.007	Facilities - Hazardous Materials Administration	Records of employee safety training and communications, including AED, CPR, First Aid, and Safety Officer training.		5						Tex. Health & Safety Code § 502.009(g).
OPS4070	5.4.010	Facilities - Material Safety Data Sheets	Records of employee notices regarding hazardous materials in the workplace (e.g., Material Safety Data Sheets (MSDS)).	AC				AC = After sheets are updated, or hazardous chemical is no longer stored by agency, as applicable.			



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OPS5000		Project Management	Records related to monitoring and managing the activities and progress of projects and internal initiatives, including business case, scope, project plans, budgets, schedules, close-out and lessons learned, and related correspondence. Includes projects related to the development of systems and software from initial stages through hand-off to production, including planning, requirements analysis, design, verification and testing, quality assurance and installation. Also includes training and guidance to manage change related to rolling out new internal initiatives or tools.	AC	6			AC = Completion of project.		Some documents may be duplicated in General Accounting. SEE ALSO: For building construction projects, see OPS4000 Facilities - Design and Construction.	Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507).



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OPS6000	1.2.005	Records Management	Records relating to lifecycle management of TRS records. Includes records documenting the final disposition of Agency records, including disposition authorizations, destruction certificates, and disposition logs, or other evidence of records series titles, dates covered, volume, and date of disposition. Includes records storage administration (e.g., requests, retrievals and records inventories.).		10					Includes RSI: 1.2.010. MEDIA NOTES: Original Records Retention Schedule (SLR 105) is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
OPS6010		Records - Imaging Administration	Records relating to imaging administration, including quality assurance to verify the imaging conversion process (i.e., compare the electronic copy with the original to ensure that the electronic copy is accurate, complete and readable).		3						Records may contain both confidential and public information (e.g., Tex. Gov't Code § 825.507).



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*OPS6020	1.2	Records - Imaging and Forms and Records Control	Periodic listings of all records and forms. Includes imaging indexes, forms inventories, etc. used to located microfilm, paper and electronic records.	AC	2			Until superseded or use of form is discontinued.		Includes RSIN 1.2.003 and 1.2.013. Caution that locator aids must carry the same retention period and archival code as the records they support.	
OPS6030		Records - Closed Imaging Records	Paper copies of incoming mail received and scanned into the imaging system from November 1994 through June 2007. Due to uncertainty about the authentication of signatures before scanning, the paper copies will be retained as a backup copy for twenty years. This is a closed record series as of 2007. The record series will become obsolete when the last records meet retention in 2027.		20						Records may contain both confidential and public information.



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OPS7000	1.3.001	Agency Publications	Publications in any format that document TRS' criteria, rules, and regulations for any given period of time or have enduring value to the agency. Excludes publications covered by other record series.		100				R		See guidelines Tex. Gov't Code 441.101 - 441.106 regarding copies submitted to the Texas State Library and Archives Commission Publications Depository Program.
*OPS8000		Reference	Research files, notes, reference materials and reference summary reports on topics related to agency business. Does not include Investment Fund Research files.	AV							



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OPS8010	1.3.002	Graphic Design and Production	Records related to photos and videos with signed releases, graphic design for publications, educational materials, and audiovisual materials, including preparatory or preliminary artwork or graphics. Includes, but is not limited to branding for logos, business cards, letterhead, and presentation templates, etc.	AV					E	ARCHIVES NOTE: Archival code removed subsequent to appraisal by the Archives and Information Services Division, Texas State Library and Archives Commission, November 2009. SEE ALSO: For trademarks and copyrights, see LEG4000 Intellectual Property. For branding guidelines, see AGY5020 Policies and Procedures - Business Operations.	



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OPS9000	1.1.057	Transitory	Temporary records which are not classified within another records series of the agency in the agency's recordkeeping system; 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 on-going 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 drafts and working papers (except for drafts and working papers that reflect the process of creating agency policies and procedures); non-fiscal raw data (except when related to other record series, or is subject to audit) 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 = Dispose when purpose is fulfilled, retain no longer than 1 Year.		CAUTION: Records that that document the fulfillment of the statutory obligations of the agency or the documentation of its functions, are unique to the agency, or are part of another records series listed in this schedule should not be assigned to this record series. The disposal of transitory information do not need to be documented through destruction signoffs or in records disposition logs. TRS has established procedures governing disposal of these records as part of its records management plan.	Records in this classification may include information deemed confidential by law, including statutes, judicial decisions, the state constitution, or information otherwise excepted from disclosure under Chapter 552, Tex. Gov't Code, including section 552.143. Records may contain both confidential and public information (Tex. Gov't Code §§ 552.101 and 418.182).