



March 28, 2018

Ms. Kay Steed
Records Management Officer
Employees Retirement System
200 E. 18th Street
Austin, TX 78701

Re: Agency records retention schedule amendment approved for use.

Dear Ms. Kay Steed:

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members

Sharon T. Carr
F. Lynwood Givens
Larry G. Holt
Martha Wong

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

Amendment 3 to your agency's 8th recertification of your records retention schedule is approved for use as of March 26, 2018. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Bonnie Zuber at 512-463-0188 or bzuber@tsl.texas.gov.

Sincerely,

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

Craig Kelso
Director and State Records Administrator

cc: Agency head

TSLAC

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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 327
Agency Name Employees Retirement System of Texas

(Check one)

- Initial Certification - Form SLR 105
Recertification - Form SLR 105
X 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 Kay Steed
Name (Print or type) Kay Steed
Date 03/21/18

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature
Name (Print or type)
Date

Not Required at This Time

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

Signature Gloria Meraz
Name (Print or type) Gloria Meraz
Date 3/26/18

Cert/Recert No. 8 Amendment No. 3

CAUTION

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

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





STATE OF TEXAS
Records Retention Schedule

SLR 122
 Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
 FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

1. Agency Code: 327		2. Agency Name: Employees Retirement System											
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, O	14. Current AIN
					Years	Months	Days						
2015		Social Security Administration - Program Records	Records documenting collection of social security taxes and payment to the Social Security Administration during the years 1977 to 1987, when ERS managed this program for the SSA.	AV								C	
2249	3.3.011	Former Employee Verification Files (Personnel Files)	Contains information needed to verify employment. Includes name, social security number, exact dates of employment, last known address, and most recent public access option form. Also, includes Non-Disclosure Agreements (NDAs).	AC	75			AC = Termination of employment.		NOTE: These records (except for NDAs) are pulled from Individual Employee Personnel Records, AIN 2202 in HR, at the end of the retention period.		C	
2086	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	5							N	
2114	1.2.016	Disaster Recovery Service Approval Form (RMD 113)	ERS copy of form.	AC				AC = Until superseded or termination of service.				O	



January 31, 2018

Kay Steed
Records Management Officer
Employees Retirement System
200 E. 18th Street
Austin, TX 78711

Re: Agency records retention schedule amendment approved for use.

Dear Ms. Steed:

Amendment 2 to your agency's 8th recertification of your records retention schedule is approved for use as of 01/29/2018. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Bonnie Zuber at 512-463-0188 or bzuber@tsl.texas.gov.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

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Austin, Texas
78701

P.O. Box 12927
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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 327
Agency Name Employees Retirement System of Texas

(Check one)

- Initial Certification - Form SLR 105
Recertification - Form SLR 105
X 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 Kay Steed
Name (Print or type) Kay Steed
Date 8/31/2017

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature
Name (Print or type)
Date

Not Required at This Time

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

Signature Gloria Meraz
Name (Print or type) Gloria Meraz
Date 1/29/18

Cert/Recert No. 8 Amendment No. 2

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.

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STATE OF TEXAS
Records Retention Schedule

SLR 122
 Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
 FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

1. Agency Code: 327		2. Agency Name: Employees Retirement System											
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, O	14. Current AIN
					Years	Months	Days						
2516		Incident Response Management	Includes documentation of privacy and/or security incidents.	AC	6			AC = Incident closed.				N	
2523	5.4.010	Safety Data Sheets		AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.				C	2523



June 22, 2017

Kay Steed
Records Management Officer
Employees Retirement System
200 E. 18th Street
Austin TX, 78711

Re: Agency records retention schedule amendment approved for use.

Dear Ms. Steed,

Amendment 1 to your agency's 8th recertification of your records retention schedule is approved for use as of June 22, 2017. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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

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

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Bonnie Zuber at 512-463-0188 or bzuber@tsl.texas.gov.

Sincerely,

A handwritten signature in blue ink, appearing to read "CK", written over a light blue horizontal line.

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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Wm. Scott McAfee
Martha Wong

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

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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 327
Employees Retirement
Agency Name 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 Kay Steed
Name (Print or type) Kay Steed
Date 02/01/17

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)

Signature _____
Name (Print or type) _____
Date _____

Not Required at This Time

Texas State Library and Archives Commission

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

Signature for D. Osborne
Name (Print or type) REBECCA CANNON
Date 06.22.17

Cert/Recert No. 8 Amendment No. 1

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule Amendment

1. Agency Code: 327		2. Agency Name: Employees Retirement System of Texas											
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, O	14. Current AIN
					Years	Months	Days						
2481		Information Resources Use and Deployment	Spreadsheets, schematics, drawings, lists, charts showing locations, configurations, relationships, and/or assignments of technology resources. Excludes any related to security.	US								N	
2778		Asset Allocation Documentation	Records asset allocation. Projects what amounts of purchases/sales must be made to reach allocation targets. Retained to show history of allocation decisions and trends in contributions and investment income.	FE	3							N	
2840		Trade Program Files	AKA Buy/Sell Programs. Includes research, recommendations, memos, and approvals for trading activity for domestic and global trades. Serves as documentation for Administration and Operations compliance.	FE	3							N	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

Records Retention Schedule Amendment

1. Agency Code: 327		2. Agency Name: Employees Retirement System of Texas											
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations	13. N, C, O	14. Current AIN
					Years	Months	Days						
2073	1.1.060	ERS Board of Trustees and Committees Meetings - Audio and Video Recordings	Audio and Video Recordings of open meetings of the Board of Trustees and committees.	AC	20			AC = Official approval of written minutes of the meeting by the ERS Board of Trustees.				C	
1126	5.2.008	Equipment History File	Information related to maintenance service. May include service logs, operating information, system requirements, configurations.	LA	3			LA = End of fiscal year in which equipment is disposed.		For service agreements or contracts related to equipment repairs and service, see <i>Contracts and Leases, AIN 1115</i> in GS.		C	
2914	1.2.011	Records Storage Information		US								C	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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



September 14, 2016

Ms. Kay Steed
Records Management Officer
Employees Retirement System of Texas
200 E. 18th Street
Austin, TX 78701

RE: Agency records retention schedule approved for use

Dear Ms. Steed:

Your agency's records retention schedule is approved for use as of September 2, 2016. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure all old copies of the schedule are superseded with this recertified copy.

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

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **September 2021**.

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, Bonnie Zuber, at 512-463-0188 or bzuber@tsl.texas.gov.

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

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Porter Wilson

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

P.O. Box 12927
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Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

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R01.327/327



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 327
Agency Name Employees Retirement System of Texas

(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 Kay Steed
Name (Print or type) Kay Steed
Date 6/16/2015

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature
Name (Print or type)
Date

Not Required at This Time

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

Signature Donna Osborne
Name (Print or type) Donna Osborne
Date 9/2/16

Cert/Recert No. 8 Amendment No.

**Employees Retirement System
Records Retention Schedule
Division and Unit Acronyms**

GS – General Schedule (includes records common to many or all divisions)

EO – Executive Office

BC – Benefit Contracts (includes Underwriting Data Analysis and Reporting and Health and Welfare Administration and Deferred Compensation Administration)
SS – Social Security Administration

EP – Enterprise Planning Office (Office of Management Support, Enterprise Program Management Office, and Enterprise Governance Advisor)

GA – Governmental Affairs

HR – Human Resources

IA – Internal Audit

IV – Investments (includes Public Equity, Private Equity, Fixed Income, Real Estate, Hedge Funds, Risk Management and Applied Research, and Investment Services)
OP – Operations
AD - Administration

LS – Legal Services (Office of General Counsel)

PR – Office of Procurement and Contract Oversight)

CB – Customer Benefits

BP – Benefits Processing and Special Projects, Insurance Benefit Processing, Specialty Insurance, Benefit Support Services, and Business Integration and Communications)

CS – Customer Service (includes CB Education and Advocacy, Customer Service and Vendor Relations)

CM – Benefits Communications (includes Editorial and Creative Design and Education Outreach)

FN – Finance

IA – Investment Accounting

AC – (includes General Accounting, Purchasing, Cash Processing and Budget and Special Projects)

CR – Client Reconciliation

IS – Information Systems (includes Development, Business Analyst, Web and Enterprise Content Management, Quality Control, Business Intelligence, Information Security, and Production Control and Operations)

OS – Operations Support

AD - Administration

OS – Operations Services

MS – Maintenance Services

RM – Records Management

Employees Retirement System of Texas
Abbreviations/Acronyms Used in Records Retention Schedule

ADA – Americans with Disabilities Act
AKA – Also Known As
AIN – Agency Item Number
BOT – Board of Trustees
CFR – Code of Federal Regulations
CMS – Centers for Medicare and Medicaid
COBRA – Consolidated Omnibus Budget Reconciliation Act
CPA – Comptroller of Public Accounts
DPS – Department of Public Safety
EEO – Equal Employment Opportunity
EEOC – Equal Employment Opportunity Commission
ERS – Employees Retirement System of Texas
FICA – Federal Insurance Contributions Act
GBP – Group Benefit Plan
GASB – Governmental Accounting Standards Board
HMO – Health Maintenance Organization
HIPAA – Health Insurance Portability and Accountability Act
HMO – Health Maintenance Organization
HUB – Historically Underutilized Business
INS – Immigration and Naturalization Service
IRS – Internal Revenue Service
JRS – Judicial Retirement System
LAR – Legislative Appropriations Request
LBB – Legislative Budget Board
LRL – Legislative Reference Library
OAG – Office of the Attorney General
PIA – Public Information Act
RFA – Request for Application
RFP – Request for Proposal
RFQ – Request for Qualifications
RRS – Records Retention Schedule
RSIN – Records Series Item Number
SORM – State Office of Risk Management
SOS – Secretary of State
SSA – Social Security Administration
SSN – Social Security Number
SEE – Survey of Employee Engagement
TAC – Texas Administrative Code
TBPC – Texas Building and Procurement Commission
TCHR – Texas Commission on Human Rights
TDI – Texas Department of Insurance
TDLR – Texas Department of Licensing and Regulation
TGC – Texas Government Code
TLS – Texas Legislative Service
TSLAC – Texas State Library and Archives Commission
TWC – Texas Workforce Commission
USAS – Uniform Statewide Accounting System

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.

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STATE OF TEXAS

Records Retention Schedule

1. Agency Code: 327		2. Agency Name: Employee's Retirement System of Texas									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
1004	1.1.002	Audits - External.	Audits and reviews performed on ERS by external entities and audits and reviews performed by ERS on external entities. May include names of auditors, auditors' questionnaires, correspondence, reports of action taken, requests for information, and responses to reports. Includes working papers that support the audit. Also, includes Death Match Audits, which match current SSN's against SSN death files to assure that payments are discontinued when a payee dies. Matches are performed on annuitants and insurance participants.	AC	7			AC = Publication or release of final audit findings or match issues resolved.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	

<p>Retention Codes (field 7)</p> <p>AC – After closed, terminated, completed, expired, settled AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded</p>	<p>Archival Codes (Field 10)</p> <p>A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
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STATE OF TEXAS

Records Retention Schedule

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					Years	Months	Days				
1005	1.1.002	Audits - Internal.	Audits and reviews performed by Internal Auditing on internal operations. Includes related correspondence, reports, requests for information, ERS raw data, notes and work papers that support the audit. Includes Audit Quality Assurance Reviews, Audit Follow-ups and Risk Assessments.	AC	7			AC = Publication or release of final audit findings.			
1006	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.			

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					Years	Months	Days				
1020	1.1.014	Legal Opinions and Advice.	Includes opinions and/or advice from ERS Legal Counsel or the Attorney General and 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 Litigation Files AIN 1023 in LS. ARCHIVAL NOTE: At the end of the retention period, send paper only to Records Management for transfer to Archives and Information Services Division, TSLAC.	TGC § 552; TGC § 815.503(a); and Tex. Insurance Code, § 1551.063.

Retention Codes (field 7)

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 US – Until Superseded

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					Years	Months	Days				
1023	1.1.048	Litigation Files.	<p>Records created by or on behalf of ERS in anticipation of or in the adjudication of a lawsuit. Files may include investigations, research, analysis, review, and response or recommendation for action.</p> <p>NOTE: Records from litigation involving ERS members are included in the records series, Individual Benefit Records, AIN 2607 in CB. Cases with research value for ERS, move to AIN 2081, Research and Reference Materials in GS before transferring records to storage.</p>	AC	5			AC = Decision not to file a lawsuit or decision that lawsuit will not be filed against it on a matter; dismissal of a lawsuit; or final decision of court (including appeals) in a lawsuit.	R	<p>ARCHIVAL NOTE: Cases that set legal precedent or exhibit historical value, at end of retention period, send paper only to Records Management for transfer to Archives and Information Services Division, TSLAC.</p> <p>Storage - Paper.</p>	TGC § 552; TGC § 815.503(a); and Tex. Insurance Code, § 1551.063.

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 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end

LA – Life of Asset
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A/I – Transfer to State/University Archivist
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					Years	Months	Days				
1029	1.1.000	Public Information Requests - Exempted and Not Exempted.	Includes all correspondence and documentation relating to requests for records furnished to the public and/or exempted under the Public Information Act.	AC	2			AC = Date request fulfilled or notification of exemption.		State RSIN 1.1.020, 1.1.021.	TGC 552.

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STATE OF TEXAS

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1032	1.1.000	Agency Rules, Policies, and Procedures.	Policies, 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 or served by the agency, that set out the rules, policies, and procedures that govern ERS programs, services, projects, and operations. Includes working files used in the development of policies, as well as addenda to rules. Includes Investment Policy.	AC	3			AC = Completion or termination of program, rules, or policies.	R	ARCHIVAL NOTE: At the end of the retention period, send paper only to Records Management for transfer to Archives and Information Services Division, TSLAC. State RSIN 1.1.070, 1.1.071.	
1041	1.1.069	Reports - Activity and Statistical.	Reports pertaining to workload monitoring, task completion times, number of contacts, and similar activities.		2					CAUTION: Does not include <i>Reports on Performance Measures</i> , AIN 1006 in FN.	

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					Years	Months	Days				
1043	1.1.067	Reports and Studies (Non-Fiscal).	Annual, sub-annual, or special reports or studies on non-fiscal aspects of ERS's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with ERS that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities. Includes survey reports.		3				R	ARCHIVAL NOTE: At the end of the retention period, send paper only to Records Management for transfer to Archives and Information Services Division, TSLAC.	
1044	1.1.065	Reports and Studies (Non-Fiscal) - Raw Data.	Information or data collected and compiled for the purpose of producing non-fiscal reports or responses to non-fiscal audits. Includes completed survey forms.	AV						CAUTION: Does not include source documentation used for information or data included in another records series, especially <i>Reports on Performance Measures</i> AIN 1006 in FN.	

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1055	1.1.026	Texas Register Submissions.	Copies of all proposed, revised, withdrawn, emergency, and adopted rules; open meetings notices; auctions; or any other documents required by law to be submitted to the Texas Register.	AC	10			AC = Date of publication in the Texas Register.			
1107	4.5.006	Annual Operating Budget.	Required by the General Appropriations Act.	FE	3						
1111	4.5.000	Financial Reporting and Tracking Records.	Includes internal, external, and special purpose reports and records used to track funds. Includes HUB, USAS, and budget and planning.	FE	3					State RSIN 4.5.001, 4.5.002, 4.5.005, 4.5.007, 4.5.008, 4.5.009.	
1113	1.1.043	Training Materials.	Instructional materials usually developed at the division level by or for ERS for internal staff or external customers. Includes presentation materials, handouts, job aids, etc.	US	1					NOTE: Does not include <i>Training Administration Records</i> , AIN 2255 in HR or <i>Hazardous Materials Training Records</i> , AIN 2519 in OS.	

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1115	5.1.001	Contracts and Leases.	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, successful and unsuccessful bids, performance bonds, contracts, purchase orders, inspection reports, correspondence, amendments, and renewals. May also include other applicable documentation in the master contract file per CPA Contract Management Guide. Also, Includes documents used to monitor compliance.	AC	7			AC = Expiration or termination of the instrument according to its terms.		See related <i>Bid Documentation</i> AIN 1136 in GS. For building construction contracts see <i>Building Construction Contract Inspection Records</i> , AIN 2473 in OS. Also, see <i>Contract Log</i> , AIN 1116 in LS.	TGC 441.1855
1116	5.1.017	Contract Log	List of agency contracts, leases and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						

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1120	5.1.004	Mail and Telecommunications Listings and Directories.	Any mailing address, telephone or fax number, or e-mail address records maintained by ERS on its employees or on entities or persons it serves.	US							
1125		Building Floor Plans.	Office and work space layouts; modular furniture layouts and use.	US							
1126	5.2.008	Equipment History Files/Service Agreements.	Agreements or contracts between ERS and equipment vendors for maintenance service for equipment. May include service logs, operating information, system requirements, configurations.	LA	7			LA = End of fiscal year in which equipment is disposed.			TGC 441.1855
1129	5.2.011	Asset/Equipment Warranties.		AC	1			AC = Expiration of warranty.			

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1134	5.2.019	Service Orders.	Forms completed by external mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.		1						
1136	5.3.007	Bid Documentation.	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/evaluations.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		See <i>Contracts and Leases</i> , AIN 1115 in GS or <i>Building Construction Contract and Inspection Records</i> , AIN 2473 in OS. Storage Approval - Paper.	TGC 441.1855
1137	5.3.007	Bid Documentation - Unqualified Bids	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.			TGC 441.1855

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1141	5.3.009	Requests for Information.	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Date of direct purchase or decision not to proceed with the procurement, as applicable.		CAUTION: If the request for information leads to request for proposal or bid, see <i>Bid Documentation</i> , AIN 1136 in GS.	
1159	1.1.056	Health Insurance Portability and Accountability Act (HIPAA) Compliance Documentation.	Documentation of agency compliance with HIPAA. Includes forms required by HIPAA to be provided to all participants that leave the GBP to use when obtaining health insurance.	AC	6			AC = Date record is created or date last in effect, whichever is later.			45 CFR, Parts 160, 162, and 164 HIPAA.

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2001	1.1.053	Registration Logs.	Logs used to register persons appearing before ERS as required by Chapter 2004, Texas Government Code, including quarterly reports filed with the Texas Ethics Commission.	AC	1			AC = Report filed with the Texas Ethics Commission.			TGC 2004.
2004		Actuarial Valuation Information.	Includes related correspondence, investigations, reports, studies, analyses, and recommendations. Indicates funding determinations for the plan year and provides required financial statement disclosure and reporting information required by GASB.		90						
2005		Annual Audit Plan.	Identifies individual audits to be performed during the year.	FE	3					External Peer Review.	

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2013		Auditor's Independent Statement.	Signed yearly by each ERS internal auditor. Discloses any personal impairment that might affect independence in relation to audits performed.	FE	3					External Peer Review.	
2015		Social Security Administration - Program Records.	Records documenting collection of social security taxes and payment to the Social Security Administration during the years, 1977 to 1987, when ERS managed this program for the SSA.	AC				AC = Receipt of closure documentation from Social Security Administration.			
2020		ERS Board of Trustees - Member Files.	Includes biographical sketches and resolutions; oaths of office; list of member names, term dates, and whether elected or appointed; orientation packet, fiduciary responsibilities, and other guidance information.	AC	5			AC = Board member leaves position for which the oath was required.		The oaths of office are filed with the Secretary of State.	

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					Years	Months	Days				
2021		Recorded Call Center Information.	Audio and computer screen images recording conversations between customers and contact center agents.	AC				AC = Purpose of record is fulfilled or 7 calendar days, whichever comes first.			
2022		Recorded Call Center Information - Quality Monitoring Records.	Audio recordings of conversations between customers and contact center agents.				90				
2023	1.1.006	Complaint Files.	Includes complaint, tracking records, complaint analysis, correspondence, and resolution/response.	AC	3			AC = Final disposition of the complaint.		CAUTION: If a complaint becomes the subject of litigation, records transfer to <i>Litigation Files</i> , AIN 1023 LS.	TGC §815.508(a).

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2024	1.1.013	Calendars, Appointment and Itinerary Records.	<p>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 ERS officials or employees. Includes electronic calendars.</p> <p>NOTE: For electronic calendars, at the end of the calendar year, print the entire year in monthly format for Division Director level and above.</p>	CE	1				R	<p>ARCHIVAL NOTE: Only calendars of Division Director level and above require archival review. At the end of the retention period, send paper only to Records Management for transfer to Archives and Information Services Division, TSLAC.</p> <p>CAUTION: May include calendars purchased with personal funds, if used to document work activity. See Open Records Decision 635 issued in December 1995.</p>	

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2029	1.1.007	Correspondence - Administrative.	Incoming/outgoing and internal correspondence related to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of the agency and the administrative regulations, policies, and procedures that govern them.	FE	4				R	CAUTION: This records series and Correspondence - General, AIN 2030 in GS used for correspondence not included in other records series. ARCHIVAL NOTE: Only the administrative correspondence of executive staff, board members, division directors and program heads require archival review. At the end of the retention period, send paper only to Records Management for and transfer to Archives and Information Services Division, TSLAC.	

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2030	1.1.008	Correspondence - General.	Non-administrative incoming/outgoing and internal correspondence, in any media, related to the routine operations of the policies, programs, services, or projects of ERS. Ex: general inquiries, requests for materials.	FE	2					See comment in <i>Correspondence - Administrative</i> , AIN 2029 in GS.	
2032	1.1.057	Transitory Information.	Records that are not part of another records series and are required only for a limited period of time; e.g., routine messages recorded on any medium, such as voice mail, fax, e-mail, hard copy, etc.; telephone message notifications; internal meeting notices; routing slips; transmittals that add nothing of substance to enclosures; and other routine information not used to document an agency transaction.	AC				AC = Purpose of record has been fulfilled. Frequent, regular disposal is encouraged and expected.		Records destruction does not have to be documented.	

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2034	1.1.000	ERS Board of Trustees - Election Files - Returned and Invalid Ballots.	Ballots that were mailed to members and returned due to incorrect address or other reasons. Also includes invalid ballots.	AC			90	AC = Certification of election results.			
2035		ERS Board of Trustees - Election Files.	ERS Board of Trustees - Election Files. Records of general and runoff elections. Includes petitions, candidate information, ballots, tallies and results. May include correspondence and meeting notes.	AC	4			AC = Date the ERS Board of Trustees accepts and adopts the results of the scheduled biennial election as certified by the election administrator.		Storage Approval - Paper.	

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2038		ERS Code of Ethics Documentation.	Forms signed annually by ERS Executive Director, Chief Operations Officer, Board of Trustee members including Investment Advisory Committee members, Investment Division staff, and Investment Accounting staff, stating that they will follow the ERS Code of Ethics. Also includes personal financial statements and affidavits of the Executive Director.	FE	3					Personal financial statements and affidavits of the Executive Director are filed annually with the Ethics Commission.	
2040	1.2.010	Records Disposition Logs.	List or log of records indicating final disposition. Shows records series title, dates of records, method of disposition, and date of disposition.	FE	10						
2042		Subpoenas.		AC	1			AC = Documents provided to requester.			

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2043	2.1.011	Records Finding Aids or Indexes.	Any type of finding aid or index used to provide access to records that are not in current automated systems.	AC				AC = The related records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.	
2045	3.1.006	Employee Counseling Records.	Notes, memoranda, or reports relating to employee counseling. Maintained at the supervisor level.	AC	3			AC = Termination of counseling.			
2060		Legislative Session Files - Bills Proposed By or Affecting ERS.	Includes drafts, correspondence, bill, author, fiscal notes, amendments, substitutes, resolutions, analyses and reports, impact statements, LBB/ERS research, final TSL tracking report, information from author and Legislative Council, and a certified copy of the bill as passed.	AC	30			AC = End of Legislative Session.			

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2066	1.1.058	ERS Board of Trustees and Committees - Meeting Agenda and Minutes.	Official agenda and minutes of open meetings as defined by Government Code, Chapter 551. Includes Agenda and Minutes of Investment Advisory Committee meetings.	PM				A	Microfilmed through 5/2010. Master stored at TSLAC. Duplicate maintained in agency. ARCHIVAL NOTE: The archival requirement is met by sending copies to the Archives and Information Services Division, TSLAC . Send copies to TSLAC and Legislative Reference Library as soon as certified. Storage Approval - Microfilm.		

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2070	1.1.062	ERS Board of Trustees and Committees - Agenda Books.	Includes agenda items and supporting documentation, exhibits, attendees registration, public meeting notice, correspondence, handouts, public comment cards, and unofficial minutes, etc. Includes documents made available to BOT members and committee members in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting. Includes Investment Advisory Committee Agenda Books.	AC	20			AC = Date of corresponding board meeting.	A	ARCHIVAL NOTE: At the end of the retention period, transfer to Archives and Information Services Division, TSLAC. Storage Approval - Paper.	
2073	1.1.060	ERS Board of Trustees and Committees Meetings - Audio and Video Recordings.	Audio and video recordings and transcriptions of open meetings of the Board of Trustees and committees.	AC			90	AC = Official approval of written minutes of the meeting by the ERS Board of Trustees.			

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					Years	Months	Days				
2076	1.1.059	ERS Board of Trustees Meetings - Certified Agendas and/or Recordings of Executive Sessions.	Certified agendas or recordings of closed meetings of the ERS Board of Trustees and committees.	AC	2			AC = Date of meeting or completion of pending action involving the meeting, whichever is later.			TGC 551.104(a).
2078		Class Action Files.	Documents pertaining to class action participation.	AV							
2080	1.1.019	Public Relations Records.	News, press releases, or any public relations files maintained or issued by ERS. Includes print, electronic, audio, and audiovisual records.		2				R	NOTE: At the end of the retention period, send paper only to Records Management for transfer to Archives and Information Services Division, TSLAC.	
2081		Research and Reference Material.	Copies of certain information used for research on a particular topic, gathered from many different sources, including parts of other records series, that are maintained if considered necessary for future use.	AV							

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					Years	Months	Days				
2083	1.1.024	Plans and Planning Records.	Plans and records relating to the process of planning new or re-defined programs, services or projects of ERS. Includes <i>Information Resources Use and Deployment</i> .	AC	3			AC = Decision made whether or not to implement result of planning process.	R	ARCHIVAL NOTE: At the end of the retention period, send paper only to Records Management for transfer to Archives and Information Services Division, TSLAC. ARCHIVAL NOTE: Data processing planning records are not archival.	
2091		Settlement Files.	Includes settlement agreement for all settlements, whether or not litigation was involved.	AV							
2093		Risk Management Manual and Safety Committee Records.	Risk Management manual and Safety Committee manual and other records documenting risk avoidance.	FE	3						

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2095		Incentive Compensation Plan Documentation.	Records documenting the goals, accomplishments, and award calculations documenting that eligible employees have met their goals.	AC	7			AC = Documentation for the current cycle has been completed.			
2097	1.1.040	Speeches, Papers and Presentations.	Original notes or text of speeches, papers, or reports delivered in conjunction with agency work.	AC				AC = End of term in office or termination of service in a state position.	R	ARCHIVAL NOTE: At the end of the retention period, send paper only to Records Management for transfer to Archives and Information Services Division, TSLAC.	
2098	1.1.063	Staff Meeting Files.	Includes minutes or notes, and supporting documentation taken at internal agency staff meetings.		1						
2102	1.1.074	Sunset Review Report and Documentation.	Includes reviews and reports, recommendations, issues, status reports, back up documentation, and meeting notes.	AC	5			AC = After the subsequent Sunset Review.	R	ARCHIVAL NOTE: At the end of the retention period, send paper only to Records Management for transfer to Archives and Information Services Division, TSLAC.	

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2104	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 = After the information is used to make an employment decision or to take a personnel action, or no later than the 180th day after the date of receipt of the information, whichever is later.			TGC 411.1402.
2109		Forms and Templates.	Contains only current forms and/or templates approved for use in the agency.	US							
2110	1.2.015	Disaster Recovery Service Transmittals (RMD 109).		FE	1						
2111	1.2.003	Forms Inventory and History File.	Includes correspondence, comments, changes, drafts, final versions, and approvals for each form developed for use.	AC	2			AC = Discontinuance of use of form.		NOTE: No longer in use means no forms remaining in <i>Individual Benefit Records</i> , AIN 2607 in CB.	
2114	1.2.016	Disaster Recovery Service Approval Form (RMD 113).	ERS copy of form.	AC				AC = Until superseded or termination of service.			

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2129	1.2.006	Records Transmittals (Agency Storage Form).	Includes records transferred to and from storage or transfer of legal custodian. Includes records permanent check-out forms.	AC	2			AC = Final disposition of stored records.			
2135	1.3.002	Publication Development Files.	Background material, copy (drafts), original artwork, photo negative, prints, flats, etc. This includes all work performed both inside and outside the agency.	AV					R	ARCHIVAL NOTE: At the end of the retention period, send paper only to Records Management for transfer to Archives and Information Services Division, TSLAC.	
2140	1.3.001	State Publications.	Information in any format that is produced by the authority of or paid for by ERS for public distribution and not subject to another retention period in this schedule (ex: news releases, meeting agendas, and financial reports).	AC	2			AC = Until superseded or obsolete.		CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, TSLAC. May include records in Social Media.	TGC 441.101-441.106. For requirements for Internet publications, see 13 TAC 3.1-3.16

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2145	2.1.010	Audit Trail Records.	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs. Includes network security audits.	AC				AC = All audit requirements have been met.		NOTE: For records involving health information subject to HIPAA, the retention period for compliance documentation is six years from the date the record was created or the date it was last in effect, whichever is later.	45 CFR, Parts 160, 162, and 164 HIPAA.
2152	2.1.002	Master Files.	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.		CAUTION: Some automated processing files may fall within another records series.	

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2156	2.1.000	Software and Hardware Documentation.	Includes automated software applications and operating system files, including job control language, program listing/source code, etc. Includes all modifications, changes, revisions or updates. Also, includes records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC = Until electronic records are migrated to a new software environment or there are no electronic records being retained to meet an approved retention period that require the software for retrieval and access.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. State RSIN 2.1.007, 2.1.008.	13 TAC 6.94

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2183	2.2.013	Quality Assurance Records.	Information verifying the quality of system, hardware, or software operations including records of errors or failures and the loss of data resulting from such failures, correction of errors or deficiencies, documentation of abnormal termination and of error free processing, checks of changes put into production, transaction histories, and other records needed as an audit trail to evaluate data accuracy.	AC				AC = No longer needed as an audit trail for any records modified.			
2184	2.2.016	Software Registrations, Warranties and License Agreements.		LA	3			LA = End of fiscal year in which asset is disposed.			
2187		Requests for IS Services.	Requests for IS services to diagnose and resolve computer problems and the documentation of problem resolution.	AC	1			AC = Problem or error resolved.			

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2188	2.2.001	System Monitoring Records.	Electronic files or automated logs created to monitor automated systems such as performance and job processes. Includes records showing jobs to be run, run logs, transaction status, etc. Includes telecommunications systems.				90				
2197		Investigation Files.	Investigations conducted by staff. Includes complaints filed with EEOC or TCHR and investigations of fraud.		AC			AC = Transfer of investigation to appropriate records series:		EEOC or TCHR transfer to <i>Litigation Files</i> , AIN 1023, in LS; fraud cases transfer to Individual Benefit Records, AIN 2607 in CB.	

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2200	3.1.029	Documentation or Verification of Employment Eligibility.	Documentation or Verification of Employment Eligibility. Includes employment federal reporting form (INS I-9).	AC	3			AC = Termination of employment.		CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of employee, whichever later. INS I-9 forms for employees who terminate from the agency less than 3 years from the date of hire must be kept for the 3 year retention period.	8 CFR 274a.2(b)(2)(i)(A) & (c)(2).
2201	3.1.018	Personnel Grievance Records.	Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC	2			AC = Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor.	

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2202	3.1.000	Individual Employee Personnel Records.	May include, but is not limited to: employment applications and transcripts; certificates and licenses; agreements and acknowledgments; personal data; public access option forms; correspondence; benefit selections; training and awards; resignations; exit surveys; performance evaluations; personnel corrective action documentation; personnel disciplinary action documentation; personnel information or action forms, refund applications; and unemployment compensation records.	AC	5			AC = Termination of employment.		NOTE: At the end of the retention period, return files for retrieval of information needed for Former Employee Verification Files, AIN 2249 in HR. Storage Approval - Paper. State RSIN 3.1.002, 3.1.011, 3.1.019, 3.1.020, 3.1.021, 3.1.022, 3.1.027, 3.1.031, 3.1.037, 3.1.038.	29 CFR 1602.31, 1620.32(c).
2212	3.2.008	Direct Deposit Applications/Authorizations.		US							

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2214	3.2.001	Employee Deduction Authorizations.	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments. Includes child support, deferred compensation, investment agreements, etc. ERS only.	AC	4			AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.			
2215	3.2.007	Unemployment Compensation Records.	Includes Texas Workforce Commission (TWC) reports.	AC	5			AC = End of compensation.			

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2220	3.2.000	Federal Tax Records.	Record of deposits sent, date and amount. Includes 1099, W2, FICA, and other tax records. ERS only. Also includes Employee Earnings Records for ERS employees and working JRS payroll (Consolidated History Report). Contains year-to-date wages and deductions, taxable wages, insurance, TexasSaver, net pay etc. Includes Income Adjustment Authorizations, including acceptance or rejection of Social Security leveling.	AC	20			AC = Tax due date, date claim is filed, or date tax is paid, whichever is later.		Retention period based upon potential IRS audits. Storage Approval-Paper. State RSIN 3.2.002-3.2.004	26 CFR 31.6001-1(e)(2). 40 TAC 815.106 (i). 29 CFR 516.6 (c)
2241	3.2.005	W-4 Forms.	ERS copy of Employee's Withholding Exemption Certificate.	AC	4			AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1 (e) (2).
2244	3.2.006	Wage Rate Tables.			2						29 CFR 516.6(a) (2).

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2245	3.3.026	Agency Staffing Reports.	Any reports compiled by the 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 the organizational structure, position vacancies, analysis of turnover rates and seasonality of employment, labor statistics, minority status, payroll status, etc. May include supporting documentation.	US	5						
2246	3.3.004	Benefit Administration - Group Benefit Plan.	Includes manuals, changes and memos for Group Benefit Plan, HMO's, COBRA, TexFlex etc.	US	1						29 CFR 1627.3(b)(2).
2248	3.3.032	Equal Pay Records.	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.		3						29 CFR 1620.32.

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2249	3.3.011	Former Employee Verification Files (Personnel Files).	Contains information needed to verify employment. Includes name, social security number, exact dates of employment, last known address, and most recent public access option form.	AC	75			AC = Termination of employment.		NOTE: These records are pulled from <i>Individual Employee Personnel Records</i> , AIN 2202 in HR, at the end of the retention period. Storage Approval - Paper.	
2255	3.3.030	Training Administration Records.	Instructional materials and other records associated with in-house training of agency personnel.	US	2					CAUTION: Does not include <i>Hazardous Materials Training Records</i> , AIN 2519 in OS.	
2257	3.4.000	Leave Accounting Records.	Records of time worked and leave activity including leave requests, accruals, activity, history, and balances. Includes leave approvals, overtime authorizations, less than full-time reports, and work schedules. Maintained in Automated Human Resources system.	FE	4					State RSIN 3.4.001-3.4.008	40 TAC 815.106(i).

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2260	4.1.000	Financial Transactions.	Includes billing detail, canceled checks/stubs/warrants/drafts, cost files, investment transactions and income earned, budget revisions, and electronic fund transfers.	FE	4					State RSIN 4.1.002, 4.1.003, 4.1.005, 4.1.006, 4.1.008.	29 CFR 516.6 (a) (2).
2290	4.2.000	Documents of Original Entry.	Includes investment, cash deposit, purchase, general journal, and expenditure vouchers.	FE	4					Storage Approval - Paper. State RSIN 4.2.001, 4.2.005, 4.2.006, 4.2.007.	
2322	4.4.000	Ledgers.	Includes general, accounts receivable, accounts payable, and payroll ledgers.	FE	4					State RSIN 4.4.001-4.4.004	
2346		Legislative-Mandated Planning and Reporting.	Includes Annual Financial Report, Strategic Plans, Legislative Appropriation Requests, and Biennial or Annual Narrative Reports.	AC	6			AC = September 1 of odd-numbered calendar years.	A	ARCHIVAL NOTE: Archival requirement is met by sending required copies to the Texas State Publications Depository Program, TSLAC. State RSIN 4.5.003, 1.1.055, 1.1.004, 1.1.066.	

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2360		Agency/Institution Insurance Files.	Documentation for monthly report: Agency/Institution Insurance Premium Due/Premium Paid. Files include transmittals, transaction entries, adjustments, insurance account summaries, correspondence with agencies and institutions.	FE	4					Storage Approval - Paper.	
2399	4.6.000	Reconciliation Records.	Reconciliations to ledgers performed by all units, including insurance, retirement and investment. Also includes balancing records.	FE	4					Storage Approval - Paper. State RSIN 4.6.001-4.6.003.	
2417	4.7.004	Capital Asset Records.	Includes copies of purchase orders, invoices, and vouchers to document purchase, journal entries to support depreciation and disposition, and reconciliations to the Statewide Property Accounting (SPA).	LA	3			LA = End of fiscal year in which asset is disposed.			

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2427	4.7.007	Detail Chart of Accounts.	One for all accounts in use for a fiscal year. Includes maintenance and adjustments.	FE	4						
2447	4.7.012	Signature Authorizations.	Those authorized to distribute payroll warrants, to receive warrants from the State Comptroller, and to access agency bank accounts.	AC	4			AC = Signature authorization is superseded or rescinded.			
2463	5.1.013	Insurance Policies.	Includes policies for buildings, facilities, equipment, vehicles, etc.	AC	7			AC = Expiration or termination of the policy according to its terms.			TGC 441.1855.
2464	5.1.015	Tracking Records.	Records created to track items. It could be used to track incoming or outgoing correspondence, materials shipped or received, or to assign a unique number to a document. Also used to track work assignments.		1						

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2471	5.2.001	Appraisals - Building and Property.		AV					R	ARCHIVAL NOTE: At the end of the retention period, send paper only to Records Management for transfer to Archives and Information Services Division, TSLAC.	
2473	5.2.028	Building Construction Contract and Inspection Records.	Building construction contracts, surety bonds, and inspection records.	LA	10			LA = End of fiscal year in which asset is disposed.	R	See also Building Construction Project Files, AIN 2474 in OS and Building Plans and Specifications, AIN 2477 in OS. ARCHIVAL NOTE: At the end of the retention period, send paper only to Records Management for transfer to Archives and Information Services Division, Texas State Library and Archives Commission.	

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2474	5.2.002	Building Construction Project Files.	Planning, design and construction records; accepted and rejected bids; correspondence; etc.	AC	10			AC = Completion of project.	R	See also Building Construction Contract and Inspection Records, AIN 2473 in OS, and Building Plans and Specifications, AIN 2477 in OS. ARCHIVAL NOTE: At the end of the retention period, send paper only to Records Management for transfer to Archives and Information Services Division, TSLAC.	
2477	5.2.003	Building Plans and Specifications.	Includes architectural and engineering drawings, profiles and blueprints.	LA				LA = End of fiscal year in which asset is disposed.	R	See also Building Construction Contract and Inspection Records, AIN 2473 in OS and Building Construction Project Files AIN 2474 in OS. ARCHIVAL NOTE: At the end of the retention period, send paper only to Records Management for transfer to Archives and Information Services Division, TSLAC.	

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2485	5.2.012	Estimate Files.	Supply and repair cost estimates.		1						
2487	5.2.020	Supply Usage Records.	Includes inventory of supplies and equipment, used for preparation of purchase order.	FE	1						
2491	5.2.014	Inventory - Physical Annual.	Physical inventory of all capitalized equipment performed annually, including reconciliation with accounting records. Includes <i>Lost and Stolen Property Reports, Certificates of Property Destruction, Surplus Property Sale Reports, and Damage Reports.</i>	FE	3					<i>Physical Inventory</i> is submitted annually to State Comptroller of Public Accounts. <i>Lost and Stolen Property Reports</i> are filed with the Office of the Attorney General.	

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2508	5.4.001	Accident Reports and Associated Documentation.	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the TDI or maintained internally on accident frequency. Also includes reports sent to and received by SORM.	CE	5					TDI retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33.
2513	5.4.013	Disaster Preparedness and Recovery Plans.	Includes goals, objectives, tasks; staff assignments; resources; approvals and authorizations; documentation of compliance with requirements.	US							

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2514		Business Resumption Plans.	Includes information for plan administration; critical functions recovery priorities; business resumption teams; plan testing; and critical information for each division: org chart, contact list, business process review, minimum acceptable recovery configuration, vital records protection, business process calendar, and publications.	US	6			Retention is AC+6 if related to HIPAA compliance documentation (AC = date created or last date in effect, whichever is later).			45 CFR, Parts 160,162, and 164 HIPAA.
2515	5.4.002	Evacuation Plans.	Plans for evacuation of agency facilities in cases of emergency.	US							
2517		Risk Assessments.	Risk analyses of departmental and enterprise-wide objectives and activities.	FE	7						
2518	5.4.008	Hazard Communication Plans.		US	5						Texas Health and Safety Code 502.009(g)

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2519	5.4.007	Hazardous Materials Training Records.	Records of training given employees in an agency hazard communications program.		5						Texas Health and Safety Code, 502.009(g).
2522	5.4.003	Inspection Records.	Fire, safety, and other inspection records of agency facilities and equipment. Includes Fire Orders issued by Fire Marshall to correct deficiencies in complying with the fire code.	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 <i>Building Construction Contract and Inspection Records</i> , AIN 2473 in OS.	
2523	5.4.010	Material Safety Data Sheets.		AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.			
2525	5.4.012	Security Access Records.	Authorizations for access to the building and within the building and access to information resources.	AC	5			AC = Until superseded, date of expiration, or date of termination, whichever is sooner.		Retention period complies with Comptroller of Public Accounts (CPA) Confidential Tax/Vendor Information Agreement and User Agency Agreement retention policies.	

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2528	5.4.011	Visitor Control Registers.	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities. Includes temporary visitor stick-on badges issued by the Front Desk. Also, includes Data Center access log.	AC	3			AC = Visit recorded.			
2529	5.4.009	Workplace Chemical Lists.			30						Texas Health and Safety Code 502.005(d).
2538	5.6.003	Inspection Repair and Maintenance Records - Vehicles.		LA	1			LA = End of fiscal year in which asset is disposed.			
2539	5.6.004	License and Driving Record Checks.		AC				AC = Until superseded or until termination of employment.			
2540	5.6.005	Vehicle Use Reports.	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.	FE	3						

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2543	5.6.007	Vehicle Titles and Registrations.		LA				LA = End of fiscal year in which asset is disposed.			
2581		Grievance Files - Group Benefit Program.	Includes the name and type of grievance, payment of claim denials, correspondence, dates documents received, grievance paragraph letters, requests to vendor for information supporting decision, etc.	AC	1			AC = Resolution of grievance.		NOTE: At the end of the retention period, transfer to Records Management. The file is maintained with <i>Individual Benefit Records</i> , AIN 2607 in CB.	
2603	3.2.000	Forms 1099 and 1099R Reconciliation Documentation.	Includes 1099 Tax Masters, 1099 update run files, batch control sheets, update worksheets, detail sheets, payroll vouchers, and payment cancellation vouchers for annuity payroll.	AC	4			AC = Tax due date, date claim is filed, or date tax is paid, whichever is later.		Storage Approval - Paper. Storage Approval - Electronic. State RSIN 3.2.003, 3.2.008.	

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2607		Individual Benefits Records.	All documentation to establish, deny, modify, continue or end benefits provided under ERS programs, except those listed elsewhere on this schedule. Includes records such as but not limited to: affidavits, appeals, applications, approvals, authorizations, agreements, calculations, cancellations, certificates, complaints, contracts, court or legal documents, designations, correspondence, decisions, elections, employment or earnings history, envelopes, estimates, ledgers, extension of benefits requests, medical records, military service records, notes, notifications, opinions and advice, receipts, reports, requests, reviews, selections, statements, terminations, verifications, vouchers, waivers, worksheets.	AC	30			AC = Death and all benefits have ended for both the member and survivor.			
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2608		Individual Benefit Notifications.	Routine communications that are not required to provide ERS insurance and pension benefits. Examples are account balance letters, annuity verification letters, and statements of retirement benefits.	FE	5						
2609		Service Purchase Coupon Data.	Information related to a service purchase for which no payment has been received (past the due date, as long as status is not partial payment, purchased or errored).	AC		6		AC = Due date.		NOTE: Correspondence included in <i>Individual Benefit Records</i> , AIN 2607 in CB.	
2610		Retirement Canceled Data.	Information related to an application for retirement that has been canceled and no annuity payments have been paid.	AC			30	AC = Cancellation notice has been processed.		NOTE: Correspondence included in <i>Individual Benefit Records</i> , AIN 2607 in CB.	
2613		Payroll and Other Listings.	Includes error listings, bank and home mail, and direct deposit of retiree checks, etc. Other listings include addresses used for mailing and payment and does not include eligible county.	US	1					NOTE: Correspondence is included in <i>Individual Benefit Records</i> , AIN 2607 in CB.	

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2616		Requests for Warrants.	Report for each fund, listing warrants issued, amount, date, etc.	AC	3			AC = Death of member.		Storage Approval - Paper. Storage Approval - Electronic.	
2676		Deferred Compensation Program Files.	Consists of vendors that are active, on hold and removed. Contains vendor agreements; product information; correspondence; telephone transfer requests/approvals; rule violations; pass-thru certifications; FEI number and information; master product disclosures; rating information; proxy folder; letters of credit from insurance companies; notifications of changes in status and actions to be taken; and advertising and brochures.	AC	20			AC = Vendor removed from program.		Storage Approval - Paper.	

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2705		Participant Files - Deferred Compensation.	Includes agreements (participation, change, and distribution), confirmation letters, catch-up provision agreements, notes on conversations, correspondence, letters to vendors, plan transfers, financial hardship applications and decisions, calculation sheets for minimum distribution requirement review, correspondence regarding over \$100,000 insurance, product disclosures, and W-4's.	AC	20			AC = Final distribution payout is complete.		Storage Approval - Paper.	
2725	4.6.002	Reconciliation Files - Texa\$aver.	Contains documentation of reconciliation process and corrections. Reconciles data from agency, comptroller, and vendor.	CE	4					Storage Approval - Paper.	

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2741		Broker/Dealer Master Files.	Includes original contact, application, financial information, reference check, approval/denial letter, agent verifications and correspondence. Documents approval/denial process.	AC	1			AC = Broker/dealer denied or removed.			
2745		3rd Party Investment Manager Files.	Includes portfolio review, correspondence, and reports for funded or select pool advisors.	AC	7			AC = Termination of advisor.			
2752		Investment Summary.	Annual and monthly reports include market comment, asset allocation strategic plan, schedule of securities, summary of transactions, and portfolios.	FE	50						
2755		Master Universe List.	List of companies indexed by the portfolios in which they reside.		1						
2763		Investment Performance Analysis Quarterly Reports.	Reports created by an investment consultant retained by ERS to analyze and report performance on investments.	CE	10					Storage Approval - Paper.	

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2810		Domestic Equity Trading Cost Execution and Analysis Records.	Includes reports on trade details from custodian bank, cost execution studies from an outside service, and management summary reports.	CE	7						
2819		Fixed Income Program Files.	Includes Program Activity/Status Report: securities purchased and sold, revenue generated, and balance in program. Includes Purchase and Sale Information: sectors, maturity range, and available cash. Also includes Trader's Implementation/Recommendation Plan: approval form, cash allocation, analysis of companies, and supporting documentation.	FE	1						Retention period based upon potential
2839		Trade Tickets.	Includes voluntary corporate action instructions.	FE	3					Storage Approval - Paper.	

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2840		Asset Allocation and Trade Program Documentation.	Recommends asset allocation. Projects what amount of purchases/sales must be made to reach allocation targets. Trade Program/aka Buy/Sell Programs. Includes research, recommendations, memos, and approvals for trading activity for domestic and global trades. Serves as documentation for Administration and Operations compliance.	FE	3					Storage Approval-Paper.	
2850		Social Security Governmental Entity Files.	Includes Assignment of Employer ID number by SSA and IRS; Authority to Sign for Modifications; Inactivated Agreements; Official Register of State Entity Numbers; Agreements and Modifications; Status Reports of Inactive Agreements; and Terminations and Termination Waivers of Hearings.	PM						Filmed for permanent retention after agreement or modification completed. Master stored at TSLAC. Duplicate maintained in agency. Storage Approval - Microfilm.	

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2866		Administrative Exception Letters.	Includes exception requests and responses.	FE	3						
2879		Terminated Employee Health Care Account Cases.	Includes termination form, account details report, election form, correspondence, payment envelopes, and account record.	AC	4			AC = Account paid in full.			
2881		System Access Documentation.	Includes electronic files or logs documenting use of or access to agency automated systems. Includes documentation of successful and unsuccessful access attempts, internal and external, by authorized and unauthorized users. Used to evaluate system security and to identify specific problems and sources. Provides documentation of violations that may be used for corrective or legal responses.	AC				AC = Date of resolution.			

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2883		Medicare Retiree Drug Subsidy Program.	Records created and received by ERS involving Centers for Medicare and Medicaid Services (CMS) Medicare Part D Retiree Drug Subsidy payments.	AC				AC = Receipt of closure documentation from the CMS.			
2885		Medicare Secondary Payer Program.	Records created and received by ERS involving Centers for Medicare and Medicaid Services (CMS) Medicare payments.	AC				AC = Transfer of records to vendor for processing.			
2907	1.2.005	Records Retention Schedule (SLR 105).		US	10					Original is retained by the State and Local Records Management Division, TSLAC.	

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2913		Project Files.	Includes project plans, correspondence, meetings, schedules, team members, status reports, work papers, results, and other project documentation.	AC	5			AC = Completion of project. NOTE: For systems projects, AC = Until electronic records are migrated to a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read, and the system/application is no longer used. CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		Storage Approval - Paper State RSIN 2.1.009 CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. State RSIN 2.1.009	13 TAC 6.94.

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2914	1.2.011	Records Center Storage Approval Forms (RMD 106).		US							
2918		Internal Policies and Procedures.	ERS staff policies and procedures developed for users to perform job duties. Includes areas such as personnel management, accounting, information systems, investments guidelines, etc. Includes incentive compensation plans.	US	3					CAUTION: Does not include technical documentation proceures for reading or processing of electronic records. See <i>Project Files</i> , AIN 2913 in IS. State RSIN 2.2.010, 3.3.024, 4.7.001.	
2920	1.1.056	Americans With Disabilities Act (ADA) Documentation.	Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act. Includes requests from employees or prospective employees for reasonable accommodations in compliance with the ADA.		3						28 CFR §35.105(c).

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2923	1.1.023	Organization Charts.		US					A	When updated organization chart is published, send paper only of superseded organization chart to Records Management for transfer to State Archives and Information Services Division, TSLAC.	
2928	3.1.001	Applications for Employment - Not Hired.	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.		2						29 CFR §1602.31.
2929	3.1.012	Employment Opportunity Announcements.	Internal or external announcements, job postings, or advertisements of job openings, promotions, or training programs.		2						29 CFR 1602.31.

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2930	3.1.014	Employment Selection Records.	Includes notes and/or tapes of interviews with applicants; questions asked of applicants; results of qualifying tests; applicant scoring and ranking documents; documentation of reference checks; letters to executive director justifying selections and recommendations for hiring; and all other records that document the selection process.	AC	2			AC = Position filled.		CAUTION: Does not include criminal history checks. See Criminal History Checks, AIN 2104 in HR.	29 CFR 1602.31.
2931	3.1.023	Position/Job Descriptions.	Job descriptions for ERS positions.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i).
2932	3.3.001	Affirmative Action Plans.	Affirmative action plans for both regular employees and apprenticeship programs. Includes any supporting documentation.		5						29 CFR 30.8(e) for apprenticeship plans.

Retention Codes (field 7)

AC – After closed, terminated, completed, expired, settled
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

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

STATE OF TEXAS

Records Retention Schedule

1. Agency Code: 327		2. Agency Name: Employee's Retirement System of Texas									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
2934	3.3.031	EEO Reports and Supporting Documentation.	Includes documentation used to complete EEO reports. Includes complaints.		4						29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.
2936	3.3.015	Position/Job Classification Review File.	Records relating to review and monitoring of job classifications within ERS.	US	3						
2945	1.1.038	Customer Surveys	Surveys returned by ERS customers or clients and the statistical data maintained rating the agency's performance.	AC				AC = Final disposition of summary report.		NOTE: For summary reports compiled from customer surveys, see <i>Reports and Studies (Non-Fiscal)</i> , AIN 1043 in GS.	
2946		Employee Surveys.	Surveys and statistical data from the biennial Survey of Employee Engagement (SEE).	FE	6					Retention is based on maintaining three surveys for comparison.	
2997		Compliance Documentation for ERS Employee Personal Investments.	Includes signed form for pre-approved personal trades and quarterly Compliance Reports of Personal Investments.	FE	1						

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