

September 23, 2021



Martha Whitted  
Records Management Officer  
Employees Retirement System  
200 E. 18<sup>th</sup> St.  
Austin, Texas 78701

Dear Ms. Whitted,

Your agency's records retention schedule is approved for use as of **9/21/2021**, and it may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

Lorenzo de Zavala  
State Archives and  
Library Building

1201 Brazos Street  
Austin, Texas  
78701

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

[www.tsl.texas.gov](http://www.tsl.texas.gov)

*Commission Chair*  
Martha Wong

*Members*  
David C. Garza  
F. Lynwood Givens  
David Iglesias  
Arthur T. Mann  
Bradley S. Tegeler  
Darryl Tocker

*Director and Librarian*  
Gloria Meraz

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

Each agency schedule must be reviewed, updated, and submitted for recertification according to a timeline established by the Texas State Library and Archives Commission. Your next recertification is scheduled for **September 2026**.

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

Anne Poulos  
(512) 463-6627  
[apoulos@tsl.texas.gov](mailto:apoulos@tsl.texas.gov)

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

Sincerely,

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

Craig Kelso  
Director and State Records Administrator

cc: Agency head

**TSLAC**

Preserving yesterday  
Informing today  
Inspiring tomorrow



STATE OF TEXAS  
**Records Retention Schedule Certification**

SLR 105C

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

**Section 1. Agency Information**

*(Submitting agencies complete this section only)*

Agency Code 327  
 Agency Name Employees 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 *Martha Whitted*  
 Name (Print or type) Martha Whitted  
 Date 07/27/2021

**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 **Not Required at This Time**  
 Name (Print or type) \_\_\_\_\_  
 Date \_\_\_\_\_

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

Signature *Gloria Mera*  
 Name (Print or type) Gloria Mera  
 Date 9-21-2021

Cert/Recert No. 9 Amendment No. \_\_\_\_\_

---

# 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  
 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	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. See RSIN 5.4.018 and 5.4.019 for Audit Plan records.	
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.		AC = Publication or release of final audit findings.	
1006	1.1	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices. Also includes Agency Performance Measures Documentation: Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	AC	6			AC = September 1 of odd-numbered calendar years		RSIN 1.1.064, 1.1.068.	
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 GC. ARCHIVAL NOTE: Opinions and advice 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. At the end of the retention period, send to Records & Information Management for archival review to determine archival transfer requirements.	TGC 552; TGC 815.503(a); and Tex. Insurance Code, 1551.063.



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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	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				
1023	1.1.048	Litigation Files	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. 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.	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	ARCHIVAL 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. At the end of the retention period, send to Records & Information Management for archival review to determine archival transfer requirements. See RSIN 1.1.048, 1.1.020, and 1.1.021.	TSLAC. TGC 552; TGC 815.503(a); and Tex. Insurance Code, 1551.063.
1029	1.1	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.
1032	1.1	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. Also includes Executive Orders.	AC	3			AC= Until superseded, or termination of program, rules, policies, or procedures, whichever applicable.	R	ARCHIVES NOTE: Working files and related documentation used in creating the final rules, policies, and procedures, are not subject to archival requirement and may be disposed of at the expiration of the retention period. At the end of the retention period, send to Records & Information Management for archival review to determine archival transfer requirements. RSIN 1.1.011, 1.1.070.	
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 Reports on Performance Measures, AIN 1006 in FN.	
1043	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or tracking 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 and reported instances of fraud, waste and abuse from external or internal sources. NOTE: This does not include not to the investigative files.		3				R	ARCHIVES NOTE: Reports are archival when they deal with significant aspects of the agency's programs. For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. See RSIN 1.1.065 for raw data used to produce reports.	



STATE OF TEXAS  
Records Retention Schedule

SLR 105  
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	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				
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 Reports on Performance Measures, AIN 1006 in FN. See RSIN 1.1.067 for reports produced from raw data.	
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	4.9.001	Annual Operating Budget	Required by the General Appropriations Act. Includes encumbrances and documentation about budget transfers and revisions, as well as detail charts of accounts.	FE	3						
1111	4.5	Financial Reporting and Tracking Records	Includes internal, external, and special purpose reports and records used to track funds. Includes Historically Underutilized Business (HUB), Iniform Statewide Accounting System (USAS), budget and planning , etc.	FE	5					See State RSIN 4.5.002, 4.5.007, 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, class rosters, sign-in sheets, course outlines, and similar training aids used in external training programs, etc.	AC	1			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		NOTE: Does not include Training Administration Records, AIN 2255 in HR or Hazardous Materials Training Records, AIN 2519 in OS.	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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	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				
1115	5.1	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings, includes amendments and renewals. Documents include all contract related specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per CPA Procurement and 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 Bid Documentation AIN 1136a, AIN 1136b in GS. For building construction contracts see Building Construction Contract Inspection Records, AIN 2473 in OS. Also, see Contract Log, AIN 1116 in GC.	TGC 441.1855. SB20 (84th Leg.)
1116	5.1.017	Contract Log	List of agency contracts, leases, and agreements including general obligation, land lease, utilities, and construction contracts.	FE	3						
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 drawings created by vendor supported tools.	US							
1126	5.2.008	Equipment History Files/Service Agreements	Information related to maintenance service. May include service logs, operating information, system requirements, configurations, installation, moves, service, repair, etc.	LA	3					LA = End of fiscal year in which equipment is disposed. For service agreements or contracts related to equipment repairs and service, see Contracts and Leases, AIN 1115 in GS. For vehicle maintenance records, see Inspection Repair and Maintenance Records - Vehicles, AIN 2538.	
1129	5.2.011	Asset/Equipment Warranties		AC	1			AC = Expiration of warranty.			
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						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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	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				
1136a	5.3.007a	Solicitation Documentation – 9/1/2015 and After	Awarded and unawarded related information: Includes solicitation requisition/authorization, solicitation, qualified responses (defined as those passing the preliminary review phase), and response tabulation/evaluations. Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with bid.		See related Contracts and Leases, AIN 1115 in GS and Building Construction Contract and Inspection Records, AIN 2473 in OS.	TGC 441.1855. SB20 (84th Leg.)
1136b	5.3.007b	Solicitation Documentation – 8/31/2015 and Prior	Awarded and unawarded related information: Includes solicitation requisition/authorization, solicitation, qualified responses (defined as those passing the preliminary review phase), and response tabulation/evaluations. Associated with a contract executed, renewed, or amended on or before August 31, 2015.	AC	4			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with bid.		See related Contracts and Leases, AIN 1115 in GS and Building Construction Contract and Inspection Records, AIN 2473 in OS.	TGC 441.1855. SB20 (84th Leg.)
1137	5.3.007c	Solicitation Documentation - Unqualified Responses	Unqualified responses that do not meet submission requirements and are not included in 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
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 Solicitation Documentation – 9/1/2015 and After, AIN 1136a, Solicitation Documentation – 8/31/2015 and Prior, AIN 1136b, Solicitation Documentation - Unsuccessful Responses, AIN 1137 in GS.	
1159		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 Group Benefits Plan (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.
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.





STATE OF TEXAS  
Records Retention Schedule

SLR 105  
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	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				
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 Governmental Accounting Standards Board (GASB).		90						
2005	5.4.018	Annual Audit Plan	Identifies individual audits to be performed during the year. Includes working papers and agency risk assessment used to develop the plan, per Texas Internal Auditing Act requirement.	AC	7			AC= After final plan has been issued.		See RSIN 1.1.002 for individual Audit records not related to the development of the Audit Plan. External Peer Review. State RSIN 5.4.019.	Government Code, 2102.013.
2013	5.4.019	Audit Administration	Documents collected or generated as part of the process of reviewing other state agency internal audit programs (peer review). 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. Also includes auditor independence statements, charters, and annual reports.	FE	3					After final report has been issued. See Audits - External IA 1004, Audits - Internal IA 1005 for individual Audit records not related to the peer review of an Audit Plan.	Government Code, 2102.007(a)(5).
2015		Social Security Administration - Program Records	Records documenting collection of social security taxes and payment to the Social Security Administration (SSA) during the years, 1977 to 1987, when ERS managed this program for the SSA.	AV							
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.			
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 = Date of receipt, action taken, or final disposition of the complaint.		CAUTION: If a complaint becomes the subject of litigation, records transfer to Litigation Files, AIN 1023 GC.	TGC §815.508(a).



STATE OF TEXAS  
Records Retention Schedule

SLR 105  
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	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				
2024	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs, and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of ERS officials or employees. Includes electronic calendars.	CE	1				R	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds, but used by 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.	
2029	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal leadership, supervisory, managerial, executive, administrative, substantive, and other high-level correspondence in any media, including electronic communication, 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.	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 to Records & Information Management for archival review to determine archival transfer requirements.	
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 Correspondence - Administrative, AIN 2029 in GS.	



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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	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				
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 voicemail, 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.	
2034		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	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.			
2038		ERS Code of Ethics Documentation	Forms signed annually by ERS Executive Director, Deputy Executive Director, 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	1.1.076	Subpoenas	Subpoenas for production of evidence produced for litigation in which the state agency is not a party. Includes legal documents requiring recipient to appear in court to testify, or to produce records to be used in litigation. Includes member requests. Does not include PIA requests.	AC	1			AC= Date request fulfilled. Documents provided to requester.		For subpoenas related to litigation in which the state agency is a party, see Litigation Files, AIN 1023 in GC.	
2043	1.2.013	Records Control Locator Aids	Documentation used to provide and improve access to records. Includes indexes, card files, shelf lists, registers, guides, and other finding aids.	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.	



STATE OF TEXAS  
Records Retention Schedule

SLR 105  
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	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				
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.			
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. CAUTION: This records series and AIN 2070, AIN 2073, and AIN 2076, 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. ARCHIVAL NOTE: The archival requirement is met by sending copies to the Archives and Information Services Division, TSLAC. Send copies to TSLAC and LRL as soon as certified.	
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, presentation slides, 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	See caution comment ERS Board of Trustees and Committees - Meeting Agenda and Minutes AIN 2066 in EO. ARCHIVAL NOTE: At the end of the retention period, transfer to Archives and Information Services Division, TSLAC.	
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	20			AC = Official approval of written minutes of the meeting by the ERS Board of Trustees.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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	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				
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.		See caution comment ERS Board of Trustees and Committees - Meeting Agenda and Minutes AIN 2066 in EO.	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	ARCHIVAL NOTE: At the end of the retention period, send to Records & Information Management for archival review to determine archival transfer requirements.	
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							
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.	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 to Records & Information Management for archival review to determine archival transfer requirements TSLAC. Data processing planning records are not archival.	
2086	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	5						
2091		Settlement Files	Includes settlement agreement that are not considered settlement agreements associated with litigation or member records.	AV						NOTE: Records involving litigation or ERS members are not included in this records series, See Litigation Files AIN 1023 in GC or Individual Benefit Records AIN 2607 in CB	
2093		Risk Management Manual and Safety Committee Records	Risk Management manual and Safety Committee records and other records documenting risk avoidance.	FE	3						
2095		Incentive Compensation Plan Documentation	Records of 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	2			AC= End of event, until superseded, or obsolete.	R	ACHIVAL NOTE: At the end of the retention period, send to Records & Information Management for transfer to Archives and Information Services Division, TSLAC.	



STATE OF TEXAS  
Records Retention Schedule

SLR 105  
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	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				
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, meeting notes and agency self-study.	AC	15			AC = After the subsequent Sunset Review.	R	ACHIVAL NOTE: At the end of the retention period, send to Records & Information Management for transfer to Archives and Information Services Division, TSLAC.	
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.		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.	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		FE	1						
2111	1.2.003	Forms Inventory and History Files	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 Individual Benefit Records,AIN 2607 in CB.	
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.		NOTE: Transmittals from the state records center and in ERS system are eligible. Agency form ERS 6.57, Inactive Transmittal form will be maintained 2 years from transmittal number assignment.	
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. To include content used on a web or publishing server such as web pages.	AV					R	ARCHIVAL NOTE: At the end of the retention period, send to Records & Information Management for archival review to determine archival transfer requirements.	
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). To include content used on a web or publishing server such as web pages.	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 441.103-441.105. For requirements for Internet publications, see 13 TAC 3.1-3.8



STATE OF TEXAS  
Records Retention Schedule

SLR 105  
Rev. 2017-07

Retention Codes (field 7)

AC – See field 9 for specific records series definition  
 FE – Fiscal year end  
 LA – Life of Asset  
 AV – Administratively valuable  
 PM – Permanent  
 CE – Calendar year end  
 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	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				
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 and Application Data	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records and associated processing file. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Until electronic records are transferred to made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the us of the system.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency master files and application data that the files do not fall under records series listed elsewhere.	
2156	2.1	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. Includes hard drives removal documentation.	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, 2.1.009.	13 TAC 6.94
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.			



STATE OF TEXAS  
Records Retention Schedule

SLR 105  
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	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				
2184	2.2.016	Software Registrations, Warranties and License Agreements	Records documenting the registration and licensing of a software application to activate the software for legal use by the end users of a state agency, along with warranties providing that the software will perform in accordance with functional specifications.	LA	3					LA = End of fiscal year in which asset is disposed.	
2187	2.2.017	Requests for IS Services	Requests for IS services to diagnose and resolve computer problems and the documentation of problem resolution. Help Desk tickets.	AC	1			AC = Problem or error resolved.			
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			The disposal of monitoring records that are automatically overwritten need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs AIN 2040, but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).	
2197		Investigation Files	Investigations conducted by staff. Includes complaints filed with Equal Employment Opportunity Commission (EEOC) or Texas Commission on Human Rights (TCHR) and investigations of fraud.	AC				AC = Transfer of investigation to appropriate records series: EEOC or TCHR transfer to Litigation Files, AIN 1023, in GC; fraud cases transfer to Individual Benefit Records, AIN 2607 in CB.			
2200	3.1.029	Documentation or Verification of Employment Eligibility	Includes employment federal reporting form (Immigration and Naturalization Service (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.		Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. See AIN 1023.	





STATE OF TEXAS  
Records Retention Schedule

SLR 105  
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	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				
2202	3.1	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. State RSIN 3.1.002, 3.1.011, 3.1.019, 3.1.020, 3.1.021, 3.1.022, 3.1.027, 3.1.037, 3.1.038.	29 CFR 1602.31, 1620.32(c).
2212	3.2.008	Direct Deposit Applications/Authorizations (Pending Review)	Forms used to deposit employee's earnings into a specified personal account.	AC				AC = Until superseded, cancelled, or last payment deposited after termination of employment, whichever applicable.			
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	Records and documentation relating to unemployment compensation claims, including reimbursement of funds disbursed by Texas Workforce Commission (TWC). Includes Texas Workforce Commission (TWC) reports.	AC	5			AC = End of compensation.			
2220	3.2	Federal Tax Records	Record of deposits sent, date and amount. Includes 1099, W2, Federal Insurance Contributions Act (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 and Federal Tax Information (FTI) Audit Logs.	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. State RSIN 3.2.002-3.2.004 and 4.7.013.	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).



STATE OF TEXAS  
Records Retention Schedule

SLR 105  
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	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				
2244	3.2.006	Wage Rate Tables	Records defining the wage or salary rate for each position in the agency expressed in dollars, grades, or step numbers.		2						29 CFR 516.6(a)(2).
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, Health Maintenance Organization (HMO's), Consolidated Omnibus Budget Reconciliation Act (COBRA), TexFlex etc.	US	1					Until superseded or plan terminated.	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(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.	
2255	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel. Including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids.	AC	2			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		CAUTION: Does not include Hazardous Materials Training Records, AIN 2519 in OS.	
2257	3.4	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	Government Code, Section 661.152(d); 29 CFR 825.500(b). 40 TAC 815.106(i).



STATE OF TEXAS  
Records Retention Schedule

SLR 105  
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	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				
2260	4.1	Financial Transactions	Includes billing detail, canceled checks/stubs/warrants/drafts, cost files, and income earned, budget revisions, electronic fund transfers cash deposit, purchase, general journal, and expenditure vouchers. Includes general, accounts receivable, accounts payable, and payroll ledgers. Reconciliations to ledgers performed by all units, including insurance, retirement and investment. Also includes balancing records and Reimbursable Activity Records - travel and tuition. Note: To include non-contract related documents.	FE	4					State RSIN 3.3.023, 4.1.001, 4.1.009.	
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, 1.1.064, 1.1.066.	
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						
2399	4.1.006	Investment Transaction Files	Records documenting the investment of any public funds that evidence the investment of such funds, the cancellation or withdrawal of investments, and similar activities.	FE	5					See Financial Reporting and Tracking Records for reports associated with investments, AIN 1111 in GS.	
2417	4.7.004	Capital Asset Records	Documentation relating to the capital and fixed assets of a state agency, including equipment or property. Includes copies of purchase orders, invoices, and vouchers to document purchase, journal entries to support depreciation and disposition, and reconciliations to Statewide Property Accounting (SPA).	LA	3					LA = End of fiscal year in which asset is disposed.	
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	Insurance Policies	Includes policies for buildings, facilities, equipment, vehicles, etc.	AC	7			AC = Expiration or termination of the policy according to its terms.		RSIN 5.1.013a, 5.1.013b.	SB20 (84th Leg.)



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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	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				
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						
2471	5.2.001	Appraisals - Building and Property	Assessments or evaluations of the value of state-owned buildings or property.	AV					R	ARCHIVAL NOTE: At the end of the retention period, send to Records & Information Management for transfer to Archives and Information Services Division, TSLAC.	
2473	5.2	Building Construction Contract and Inspection Records	Building construction contracts, surety bonds, and inspection records. Includes architectural and engineering drawings, profiles, blueprints, As-Built, change orders, Addendums, Insurance, Hub Subcontracting Plan (HSP, ) PO's, Payment Applications (PayApps), Contract Request Forms (CRF's), Schedule, and Closeout package.	LA	10				R	LA = End of fiscal year in which asset is disposed. See also Building Construction Project Files, AIN 2474 in OS. State RSIN 5.2.003a. ARCHIVAL NOTE: At the end of the retention period, send to Records & Information Management for archival review to determine archival transfer requirements.	
2474	5.2.002	Building Construction Project Files	Planning, design and construction records; accepted and rejected bids; correspondence; agendas, minutes, submittals, reports, photos, monitoring; etc.	AC	10			AC = Completion of project.	R	See also Building Construction Contract and Inspection Records, AIN2473 in OS. ARCHIVAL NOTE: At the end of the retention period, send to Records & Information Management for archival review to determine archival transfer requirements.	
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							
2485	5.2.012	Estimate Files (Supply and Repair Cost Estimates)	Quotes for minor construction and repair projects and supplies. Includes supporting documentation, as applicable.		1						
2491	5.2.006	Inventory and Property Control Records	Physical inventory of all capitalized equipment performed annually, including reconciliation with accounting records. Includes Lost and Stolen Property Reports, Certificates of Property Destruction, Surplus Property Sale Reports, and Damage Reports. Includes supply usage: inventory of supplies and equipment, used for preparation of purchase order.	FE	3					Physical Inventory is submitted annually to State Comptroller of Public Accounts. Lost and Stolen Property Reports are filed with the Office of the Attorney General.	
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 Texas Department of Insurance (TDI) or maintained internally on accident frequency. Also includes reports sent to and received by State Office of Risk Management (SORM).	CE	5					TDI retains copies of the reports submitted to it for 50 years.	29 CFR 1904.33. 28 TAC 120.1(c).



STATE OF TEXAS  
Records Retention Schedule

SLR 105  
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	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				
2513	5.4.013	Disaster Preparedness and Recovery Plans	Includes disaster preparedness, response, and recovery plans. Includes goals, objectives, tasks; staff assignments; resources; approvals and authorizations; and documentation of compliance with requirements.	US						See RSIN 5.4.017 for records related to responding or recovering from an emergency.	
2514	5.4.013	Continuity of Operations Plans (COOP)	Business Resumption Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery 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.) See RSIN 5.4.017 for records related to responding or recovering from an emergency.	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							
2516		Incident Response Management	Includes documentation of privacy and/or security incidents.	AC	6			AC = Incident closed.			
2517		Risk Assessments	Risk analyses of departmental and enterprise-wide objectives and activities.	FE	7						
2518	5.4.008	Hazard Communication Plans	Plan that provides information to employees about the hazardous chemicals to which they may be exposed to in their workplace.	US	5						Texas Health and Safety Code 502.009(g).
2519	5.4.007	Hazardous Materials Training Records	Records of training given employees in an agency hazard communications program.		5					See Individual Employee Personnel Records, AIN 2202 for individual employee training records.	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 Building Construction Contract and Inspection Records, AIN 2473 in OS.	
2523	5.4.010	Safety Data Sheets	Safety Data Sheets (SDS) that list information relating to occupational safety and health for the use of various substances and products.	AC				AC = After sheets are updated or hazardous chemical no longer stored by agency, as applicable.			29 CFR 1910.1020(d)(1)(ii)(B).



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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	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				
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.	
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	List of each hazardous chemical normally present in the workplace.		30					Texas Health and Safety Code 502.005(d).	
2538	5.6.003	Inspection, Repair, and Maintenance Records - Vehicles	Records and documentation related to inspections, repairs, and maintenance for state vehicles.	LA	1					LA = End of fiscal year in which asset is disposed. See RSIN 5.2.008 for non-vehicle equipment maintenance records.	
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						
2543	5.6.007	Vehicle Titles and Registrations	Vehicle titles, registration information, and owner manuals for state vehicles.	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 Individual Benefit Records, AIN 2607 in CB.	
2603	3.2	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.		State RSIN 3.2.003, 3.2.008.	26 CFR 31.6001 - 1(e)(2).



STATE OF TEXAS  
Records Retention Schedule

SLR 105  
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	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				
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.			
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 Individual Benefit Records, 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 Individual Benefit Records, 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 Individual Benefit Records, AIN 2607 in CB.	
2616		Requests for Warrants	Report for each fund, listing warrants issued, amount, date, etc.	AC	3			AC = Death of member.			



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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	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				
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	10			AC = Vendor removed from program.			
2705	3.2.009	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.			
2725		Reconciliation Files - Texa\$aver	Contains documentation of reconciliation process and corrections. Reconciles data from agency, comptroller, and vendor.	CE	4						
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. Does not included monthly or quarterly billing invoices from external advisors or managers. (Files related to formal RFP procurements of managers are covered under OPCO requirements.)	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	Master Universe List. List of companies indexed by the portfolios in which they reside.		1						





**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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	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				
	2763	Investment Performance Reports	Quarterly Board reports created by an investment consultant retained by ERS to analyze and report performance on investments. Also includes monthly reports prepared by ERS custodian. (Inception to date data held by the custodian for purposes of preparing the monthly report shall be held by the custodian indefinitely or until they have transferred the historical data to a new custodian.)	CE	10						
	2778	Monthly Asset Allocation Documentation	Recommends 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						
	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						
	2839	Trade Tickets	Includes voluntary corporate action instructions. Also includes Private Markets Capital Call and Distribution notices.	FE	3						
	2840	Trade Program Files	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						
	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							Filed for permanent retention after agreement or modification completed. Master stored at TSLAC. Duplicate maintained in agency. Storage Approval - Microfilm.
	2866	Administrative Exception Letters	Includes exception requests and responses.	FE	3						



STATE OF TEXAS  
Records Retention Schedule

SLR 105  
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	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				
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.			
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 Centers for Medicare and Medicaid (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)	Provides the minimum timeframes the records must be retained, and includes instructions for their disposition	US	10					Original is retained for 50 years by the State and Local Records Management Division, TSLAC.	
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 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 2.1.009	13 TAC 6.94
2914		Records Storage Information		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, investment guidelines, etc. Includes incentive compensation plans.	US	3					CAUTION: Does not include technical documentation procedures for reading or processing of electronic records. See Project Files, AIN 2913 in GS. State RSIN 2.2.010, 3.3.024, 4.7.001	



STATE OF TEXAS  
Records Retention Schedule

SLR 105  
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	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				
2920	1.1	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.	AC	3			AC= For requests: for employees, termination of employment; for job applicants who were not selected, date of application.		State RSIN 3.1.042. 1.1.056.	28 CFR 35.105(c). 29 CFR 1602.31.
2923	1.1.023	Organization Charts	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	US					A	ARCHIVES NOTE: Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival. When updated organization chart is published, send superseded organization charts to Records & Information Management for transfer to 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.	AC	2			AC= Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include ADA Accommodation Requests. See Americans With Disabilities Act (ADA) Documentation AIN 2920 in OS.	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.
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).



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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	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				
2932	3.3	Affirmative Action Plans	Affirmative action plans for both regular employees and apprenticeship programs. Includes any supporting documentation.		5					See RSIN 3.3.001a, 3.3.001b	29 CFR 30.12(d). 41 CFR 60-1.12(a) for apprentice.
2934	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports. Includes complaints.		4						29 CFR 1602.32, 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 Reports and Studies (Non-Fiscal), 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						
3001		Investment Data Warehouse	Includes Investment reference and transaction data. Excludes Investment performance data.	FE	14					See Master Files and Application Data, AIN 2152 in IS for non-investment files.	
3002	3.3.033	Recruitment Plans	Diversity and recruitment plans and related workforce analyses.		3						Texas Labor Code, 21.501 and 502.
3003	5.3.010	Vendor Records/W-9	W-9 IRS Form used to request a taxpayer identification number (TIN) for reporting information to the Internal Revenue Service (IRS). This includes W-9 forms received by a state agency from vendors.	AC	3			AC= Date account is opened or date instrument purchased.			26 CFR 31.3406(h)-3(g).