

Records Retention Schedule

RRS Code	Record Class Title	Record Class Description
ACC1000	Accounting General Accounting	Records related to general accounting activities.
<p>Examples: Reconciliations, Deferred Revenue, Adjustments, Balance Sheets, Supporting Analysis/Schedules, Technical Research, Amortization, Depreciation Schedules, Monthly Close Binders, Monthly Close Package, Reserves Analysis, Unclaimed Property.</p> <p>Retention Requirement: 7 Years</p>		
ACC2000	Accounting Accounts Payable/Accounts Receivable	Records related to the payment of financial obligations and receipt of revenues. Includes some Employer Services records.
<p>Examples: Invoices, Expense Reports including travel and training, Checks and Remittance Advices, Autopay Forms, Credits and Collections, Billing Records, Reconciliations, Adjustments, Bill Backs, Vendor Invoices, Vendor Payments, Cash Receipts, Purchase Card Receipts, Employer Statements, Foundation Deduction Notices.</p> <p>Retention Requirement: 8 Years</p>		
ACC3000	Accounting Fixed Assets	Records related to the purchase, sale, and improvement of real property and equipment, as well as depreciation and amortization. Does not include contracts related to the purchase and sale of real property. Does not include authorization for expenditures related to contracts.
<p>Examples: All records and supporting documents related to the management of long-term owned SERS assets such as property and equipment. Capital project records, project approvals, project spend, basis records, amortization records, asset management records, authorization for capital expenditures, capital asset management files, capital changes, depreciation records, fixed asset files, fixed asset ledgers, net asset value sheets, property transfer records, documents related to real property owned by SERS. Improvements made to properties that SERS leases.</p> <p>Retention Requirement: Life of Asset + 7 Years</p>		

ACC4000	Accounting General Ledger	Records used to transfer charges between accounts and summarize accounts and summarize account information.
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Examples:

General Ledgers, Chart of Accounts, General Ledger Reviews/Changes, Daily Balancing Ledger Postings, Account Reconciliations, Trial Balances.

Retention Requirement: Permanent

ACC5000	Accounting Journal Entries	Records used to document transactions, transfer charges between accounts and summarize account information.
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Examples:

Journal Entries/Support, Trade Account, Month-End Activities, Recording of Payroll Fees, etc. - Including Backup Documents

Retention Requirement: 7 Years

ACC6000	Accounting Escheat	Records that document unclaimed property such as monies or property, the inability to locate the recipient of such unclaimed property, and associated compliance with relevant escheat laws.
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Examples:

Escheat Reports, Unclaimed Property Reports, Official Unclaimed Property Filings, Supporting Financial Records (Invoices, Checks, Banking Records, Unclaimed Payroll).

Retention Requirement: Filing + 10 Years

ADM1000	Administrative and General General Subject/ Correspondence	Records kept in all departments to monitor and perform ongoing department/function activities.
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Examples:

Routine Correspondence, Draft Documents (when a final document exists), Internal Meeting Notices, Agendas, and Minutes, General Organizational Announcements, Department Planning, Analysis, and Operational Reports (Reports compiled to detail financial, statistical, and/or operational data), Call Logs, Call Recordings, Meeting Transcriptions and Recordings, Public Records Requests and Responses.

Retention Requirement: No longer than 3 Years

ADM2000	Administrative and General Policies, Procedures, and Guidelines	Records documenting SERS-approved methods or processes for performing activities to ensure uniformity and compliance with SERS and legal requirements.
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Examples:

Corporate and Departmental Policies, Procedures, and Guidelines: e.g. Internal Audit Operations Manual, How-Tos, Emergency Evacuation Procedures, Tenant Manual, Vehicle Reference Guide, Tenant Key Report, etc.

Retention Requirement: Superseded + 6 Years

ADM3000	Administrative and General Training	Records related to the development and operation of general SERS-sponsored and department-level training programs and seminars.
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Examples:

Final Training Content, Templates, Attendee Lists, Leadership Training, Online training documentation and attendance (KnowBe4 software); employee records of continuing education & training certificates.

Retention Requirement: 3 Years

ADM4000	Administrative and General Project Files	Working Files kept in all departments which relate to ongoing projects. Note: Does not include Corporate level initiative Project Artifacts.
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Examples:

Project Plans, Business requirements and Documentation, Forecasts, Roadmaps, Functional Specifications, Production Documentation, Project Test Documentation, Project Scoping, Project Schedules, Project Status Reports, Project Dashboards, Change Management Documentation, Print Shop jobs.

Retention Requirement: Close of Project + 3 Years

AUD1000	Audit Audit Reports	Records of internal audits and external audits of SERS and its business including ISO certifications. Includes audit workpapers and supporting documentation.
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Examples:

Audit programs, workpapers/testing documentation (e.g., walkthroughs, risk and control matrices), final audit reports and memos (e.g., Investment Conflicts of Interest - Compliance Review, Undue Influence Certification Report – Compliance Review, Investment Incentive Compensation Plan - Compliance Review, Member Refunds Audit Report), Remediation Actions.

Retention Requirement: Close of Audit + 7 Years

COM1000	Communications Historical Library	Records documenting historical and long-term importance within SERS.
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Examples:

Video clips, interviews, hardcopy and electronic handouts, talking points, publications (service retirement guide, health care guide, new member handout, eSERS guide, employer handbook, How To's, fact sheets, Employer Bulletins, Special Notices, and eSERS Hot Lines, Focus, Future Matters, etc.), Form templates, pension research file, market research surveys and studies, photos.

Retention Requirement: Permanent

COM2000	Communications Communication Campaigns	Records relating to communication campaigns and programs conducted by SERS.
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Examples:

Includes Creative Projects, Communication Plans, Job Briefs, Plans and Schedules, Creative Briefs, Promotions, Project Budgets and Supporting Documents, Displays, Posters, Giveaways, News Releases, Video and Media Clips, Contests, TV commercials, Campaign recaps and analysis (post-campaign), Media Authorizations, Audience files, analytics, campaign emails, text messaging, completed campaign request forms, Board Election Campaign.

Retention Requirement: Completion of Campaign + 7 Years

COM2100	Communications Creative Assets	Records relating to development and production of customer-facing advertising materials.
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Examples:

Design files, Artwork files, Proofs, Copy Decks, Design Toolkits, Photos, Fonts, TV Spots, Videos, Email HTML code, Audience files, analytics, campaign emails, text messaging, completed campaign request forms.

Retention Requirement: Completion of Campaign + 5 Years

COM3000	Communications Market Research and Strategy	Records related to research conducted on current, new and emerging campaigns and product/services.
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Examples:

Includes Primary Research, Competitive Research, Secondary Research/Analysis, Interviews and Focus Group inputs (recordings), Questionnaires, Customer Data (raw data), Study Data, Final Research Reports, Customer analytics, market data and competitive research.

Retention Requirement: Review after 15 Years

COM4000	Communications Sensitive Communications	Records related to issues, changes or other sensitive matters.
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Examples:

Media statements.

Retention Requirement: Review after 10 Years

COM4100	Communications Non-critical Communications	Records relating to official internal and external communications distributed by SERS, non-critical in nature.
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Examples:

Internal communications, presentations and videos, org changes, personnel changes, media statement, Public statements and responses on Social Media.

Retention Requirement: 3 Years

EXE1000	Executive / Board Corporate Governance - Corporate Entity Documentation	Records related to the creation, organization and governance of SERS.
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Examples:

LLC Creation Documents and Resolutions.

Retention Requirement: Permanent

EXE1100	Executive / Board Board of Trustees	Records related to formal proceedings of the Board including board-level committees.
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Examples:

Board and Committee Meeting Agendas, Public Notices, Roll Calls, Minutes, Reports, Memos, and Presentations submitted to the Board as part of the Board Book prepared for a Board or Committee meeting, Oath of Office, Board Resolutions, and Board Committee Charters.

Retention Requirement: Permanent

EXE3000	Executive / Board Corporate Initiatives and Programs	Records pertaining to long-term strategy and direction, goals, and objectives. Includes organization action of Strategic Plans and key performance indicator reporting and records related to major organizational-wide initiatives and
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programs developed for long-term benefit and viability of SERS.

Examples:

Strategic Plan, Strategy Development, Strategic Initiatives, Reporting and Tracking, Pension Sustainability, Health Care Sustainability, records related to major Corporate Initiatives and their administration (e.g. Corporate Compliance, Ethics, Privacy and Information Governance Programs) information Governance Records Retention Schedules, Certifications of Destruction (destruction Certificates, destruction eligibility reports, and inventories of destroyed records)

Retention Requirement: Review after 7 Years

FAC1000	Facilities and Property Management Facilities - Design, Construction and Maintenance	Records related to the design, construction, and layout of facilities or equipment. Includes records that provide a history of any maintenance, alterations, repairs, etc. performed for specific facilities or equipment.
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Examples:

Elevator Repairs, Generator Repair, Backflow Repair, Chiller/Trane Repair, Boiler Repair, Pro-Bel Roof Anchor Repair, Fire Extinguisher Repair, Sprinkler System Repair, Building Blueprints, Equipment Repair Records, Floor Plans and Square Footage.

Retention Requirement: Until Disposition of Equipment / Facility + 6 Years

FAC1100	Facilities and Property Management Facilities - Monitoring and Reporting	Records related to the routine environmental testing, monitoring, and assessment of property and facilities.
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Examples:

Water Analysis, Alarm Monitoring Services, Boiler Checks, Pest Control, Energy Monitoring, Facility-related Audits, Non-Hazardous Waste Records.

Retention Requirement: 10 Years

FAC1200	Facilities and Property Management Internal HazMat Monitoring, Notification and Exposure - Employee	Records related to hazardous materials and occurrences (the testing and monitoring of employee exposure, injuries and medical conditions, includes notifications to employees, employee medical information, etc.)
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Examples:

Personal and area monitoring (employee exposure potential), Injury and illness logs, Letters of monitoring results notifications, List of employees/tenants with exposure to hazardous

materials, Employee/Tenant HAZMAT Incident Forms, Audiometric Tests, Hazard Assessments, Hazard Reports, Lists of Hazardous Chemicals used.

Retention Requirement: Employee/Tenant Separation + 30 Years

FAC2000	Facilities and Property Management Facilities - Permits and Certificates	Records related to licenses or permits specific to a facility.
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Examples:

Fire Permits, Occupancy Permits, Building Work Permits, Elevator Permits.

Retention Requirement: Expiration of Permit + 1 Year

FAC3000	Facilities and Property Management Emergency Planning and Life Safety	Records related to emergency planning and safety for SERS/Tenants.
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Examples:

Emergency plans for each location, Evacuation Plans, Fire Drills, Sprinkler Tests, Training, Fire Alarm Inspections Safety Performance Statistics. May also include training documents and certifications.

Retention Requirement: 5 Years

FAC4000	Facilities and Property Management Security - General	Records related to protecting employees, equipment, buildings and records and information resources. This includes records related to the investigation of specific crimes or security related incidents.
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Examples:

Security clearances, records related to managing the ID Badging System, Parking Garage System, Security Cameras System, Restraining Orders, Protection Orders, Police Reports, Investigation Files, Threats of violence, Supporting documentation, Security Incident Reports (Accident).

Retention Requirement: Review after 3 Years

FAC5300	Facilities and Property Management Security - Logs, Surveillance, and Reporting	Records related to routine monitoring and access to SERS facilities, including Videos taken of building and grounds to ensure security, including lobby camera recordings.
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Examples:

Visitor sign-in sheets, Visitor Badges, Identification credentials, Special Duty sign in-sheet, building and parking access reporting, Surveillance Video Footage, Camera Recordings.

Retention Requirement: No Longer than 6 Months

FIN1000	Accounting Banking & Treasury	Records related to banking and cash management activities.
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Examples:

Lock Box records, Cash Flow Models, Cash Management, Bank Statements, Check Registers, Bank Account Analysis, Invoices/Payments Authorizations, Trading Records, Capital Calls, Settlement Instructions, Wire Records, Checks, Remittances, Reconciliations, SAS 70 documentation.

Retention Requirement: 7 Years

FIN2000	Accounting Financial Planning & Analysis	Records related to the compilation and analysis of financial results in order to forecast SERS's long-term financial strategy.
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Examples:

Budget and Forecasting Data and Reports, Business Plans, Board Project Files, Ad Hoc Financial Planning Analysis, Finance Project Files, Monthly Headcount Forecast, Monthly Reporting Packages, Subsidiary Reports, Quarterly Earnings Book.

Retention Requirement: 7 Years

FIN3000	Accounting Financial Statements	Financial statements, reports, and background information submitted to federal agencies such as the IRS, state agencies and other similar records.
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Examples:

Certified Annual Financial Report (CAFR), Quarterly and Annual Financial Statements, Annual Audited Financial Statements, Annual Management Reporting Package.

Retention Requirement: Permanent

FIN4000	Accounting Loans and Credit	Records related to loans taken out by or credit granted to SERS.
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Examples:

Credit/Loan Documents, Letters of Credit, Credit Facilities, Line of Credit Reports

Retention Requirement: Life of Credit/Loan + 4 Years

FIN5000	Accounting Bad Debts and Collections	Records related to the monitoring, collecting, and writing off of bad debts.
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Examples:

Allowance for Doubtful Accounts Reconciliations, Charge-Off Records, Collection Records, Uncollectible Accounts, Write-Off Documentation.

Retention Requirement: 7 Years

FIN6000	Accounting SOX Documentation	Records related to SOX Compliance.
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Examples:

SOX Controls, SOX Documentation, Compliance Reports and Workpapers, SOX Inventory List/Narratives, Whistleblower Documentation.

Retention Requirement: 7 Years

GOV1000	Accounting Community Relations, Industry Relations and Advocacy Associations	Records related to the relationships developed with communities in which SERS operates, and relationships with other organizations and agencies.
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Examples:

General correspondence between SERS and state or federal agencies such as Ohio's Treasurer, Attorney General, legislators and staff, General Assembly, Advocacy organizations and retirement systems regarding discussions of legislative issues, updates, and exchanges of information on various Government Relations topics.

Retention Requirement: 5 Years

GOV2000	Accounting Legislation	Records related to state and federal legislation and regulations that affects SERS processes and interests.
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Examples:

Includes correspondence between SERS and state or federal agencies such as Ohio's Treasurer, Attorney General, legislators and staff, General Assembly, and retirement systems regarding discussions of legislative and regulatory topics, bill drafts, versions of legislation, 3rd party analyses (e.g. LSC), reports from public sources on legislative/regulatory topics, internal memoranda and bill analyses (internal legal counsel), correspondence authored by legislators on SERS' behalf, resolutions to SERS from the General Assembly's House and Senate or the Governor; correspondence to Senate, Assembly or Congress; comment letters

to federal/state agencies on pending regulations; testimony on federal/state legislation; presentations or other material on legislation/regulations affecting the system.

Retention Requirement: 10 Years

HUM1000	Accounting SERS-sponsored Benefit Plans	Records related to SERS employees-sponsored benefit plans
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Examples:

Includes insurance, pension, disability, medical, wellness, rewards and recognition, paid leave programs, savings plans, correspondence explaining benefits. Also includes plan administration records related to contributions made and benefits distributed under SERS-sponsored benefit plans.

Retention Requirement: Life of Plan + 6 Years

HUM1100	Accounting Employee Benefit Records	Employee Benefit Records related to elections, contributions, wellness programming etc.
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Examples:

Includes benefit election forms, wellness participation forms, SERS retiree life insurance forms, etc.

Retention Requirement: Expiration of Benefits + 6 Years

HUM2000	Accounting Employee Personnel Files	Records that document the work history of individual employees.
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Examples:

Includes applications for employment, resumes, records documenting changes in job title, status, position, location, and wages or salary; general training, educational or developmental records, including attendance records and internal resumes; certifications/acknowledgements verifying receipt of Company policies and procedures; performance records, including appraisal forms and corrective action plans; and notices of award, commendation, warning, discipline or termination. Also includes employment contracts, non-competition agreements, and separation packages.

Retention Requirement: Termination of Employment + 3 Years

HUM2100	Accounting Employee Medical Records - Accidents/Injuries	Employee Medical Records related to on-the-job accidents and injuries. Includes Worker's Compensation records.
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Examples:

Includes employee medical records, OSHA documentation, injury report; Includes

investigation report and related supporting documentation specific to an injury; inquiries related to the work injury and all associated correspondence.

Retention Requirement: Termination of Employment + 30 Years

HUM2200	Accounting Employee Leave Records	Records relating to Short-Term Disability, Long-Term Disability, Family Medical Leave, and Personal Leave.
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Examples:

Includes records of leave request and approval; start and end dates of leave periods; and records of any disputes, including resolution.

Retention Requirement: Conclusion of Leave (and Resolution of Any Dispute) + 3 Years

HUM2300	Accounting Immigration Papers / Work Permits	Records establishing the proof of identity, proof of nationality, proof of residence, and proof of financial responsibility of SERS employees.
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Examples:

Includes I-9s, E-Verify Reports, Visas, Immigration Documentation, Government Documentation and Correspondence, Work Permits

Retention Requirement: Termination of Employment + 3 Years

HUM3000	Accounting Employee Relations Records	Records relating to investigations and inquiries regarding employee behavior.
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Examples:

Includes final investigation report and related supporting documentation, inquiries and all associated correspondence

Retention Requirement: Termination of Employment + 3 Years

HUM4000	Accounting Payroll	Routine and detailed records related to the payment of salaries and wages, including payroll forms, deductions for benefits, taxes, etc.
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Examples:

Payroll forms, lists, ledgers, taxes, registers and reports, payroll checks, reconciliations, payroll classifications, garnishments, W-2s, W-4s, IRS Quarterly 941, State Tax Withholding IT-4 Form, timesheets, SAS 70 documentation

Retention Requirement: 7 Years

HUM5000	Accounting Salary Administration Records	Records related to determining and monitoring salary.
<p>Examples: Includes salary studies, surveys, and market analyses.</p> <p>Retention Requirement: 6 Years</p>		
HUM5100	Accounting Job Descriptions	Records related to formal SERS job descriptions.
<p>Examples: Includes correspondence and other records relating to development of the description, as well as the final job description.</p> <p>Retention Requirement: Until Superseded + 6 Years</p>		
HUM5200	Accounting Compensation Plans	Records related to the development and administration of SERS compensation plans and schedules.
<p>Examples: Investment incentive compensation and other employee compensation plans and schedules.</p> <p>Retention Requirement: Until Superseded + 6 Years</p>		
HUM6000	Accounting Talent Management - Recruitment and Selection	Records related to the recruitment and hiring of SERS employees.
<p>Examples: Includes personnel requisitions, position advertising, job applications, and other records documenting the employee selection process. Records pertaining to the applicant ultimately hired will become part of the Personnel File.</p> <p>Retention Requirement: 3 Years</p>		
HUM7000	Accounting Employment and Other Government Reporting	Records demonstrating SERS compliance with employment-related and other government regulations.
<p>Examples: Includes program and regulatory documentation citing SERS compliance with Equal Employment Opportunity and Affirmative Action programs and regulations. Other regulatory reports, Form 5500, BWC Annual Reporting, etc.</p>		

Retention Requirement: 5 Years

HUM8000	Accounting Organization Charts	Records documenting SERS organization charts.
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Examples:
Organization charts

Retention Requirement: Review every 3 years

INV1000	Accounting Custodian/Trustee Bank	Documents supporting the appointment and on-going relationship management with the custodian/trustee bank.
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Examples:
Records include custody/trust agreements, authorized signature certificates, fee agreements, and other supporting documentation.

Retention Requirement: Expiration/Termination of Contract/Relationship + 7 Years

INV2000	Accounting Portfolio Reviews and Reporting	Records related to short-term portfolio reviews and reporting.
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Examples:
Annual Portfolio Reviews, monthly, quarterly, annual manager reporting.

Retention Requirement: 6 Years

INV3000	Accounting Portfolio Management	Documents and information from investment consultants that monitor investment management performance at the manager and fund level, provides benchmarking data, and assists in identifying new investment opportunities in accordance with approved investment guidelines.
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Examples:
Annual Investment Plan, Annual Investment Department Incentive Program, Monthly Investment Report (Bluebook), Monthly Transactions and memo, Quarterly Investment Consultant Performance Report.

Retention Requirement: Permanent

ITS1000	Accounting General Infrastructure, Hardware and Software	Records related to Infrastructure, Hardware and Software.
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Examples:

Infrastructure and System Diagrams, Systems Maintenance Records, System Specifications, Configurations and Settings, System Documentation, Product Manuals.

Retention Requirement: Life of System/Software + 5 Years

ITS2000	Accounting Disaster Recovery Plans and Tests	Documentation of plans which would be implemented in the event of a disaster, systems failure or other business interruption.
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Examples:

Backup sites and instructions, disaster or systems failure planning records, business continuity plans, contingency plans, disaster test plans and test results, desktop and disaster recovery testing exercises, penetration testing (contractor).

Retention Requirement: Life of Plan + 2 Years

ITS3000	Accounting IT Security Program Administration	Records related to measures and technologies to protect the confidentiality, integrity and availability of data and systems.
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Examples:

Data monitoring reports, patch management reports, vulnerability scans, corrective / remedial actions, forensic info, information security reporting, process controls, risk assessments, cyber security assessments, security incident reports and notifications, threat intelligence, event data, systems access reports, user access review, Contractor/Employee Systems Access Requests and Approvals, periodic process reviews, Gate Zero security requirements, automated tool reports.

Retention Requirement: 7 Years

ITS3100	Accounting Routine System Logs	Records related to routine system/network monitoring.
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Examples:

System Logs, Access Logs, Monitoring Logs.

Retention Requirement: 1 Year

ITS4000	Accounting	Records related to support of internal information systems.
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Help Desk Documentation

Examples:

Service Request Tickets, Notes on Resolution/Issues, Work Order Document, Test results, data fix documentation.

Retention Requirement: Ticket Close + 3 Years

ITS4100	Accounting Analytics and Service Call Metrics and Reporting	Records related specifically to call analytics and reporting for service center performance.
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Examples:

Analytics, reporting, other metrics.

Retention Requirement: 5 Years

LEG1000	Legal Contracts and Agreements	Records related to obligations under contracts, licenses, leases, and other agreements between SERS and outside parties as well as internal agreements, including documentation on related disputes.
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Examples:

Contracts and Agreements, Amendments, Addendums, SOW, Fee Schedules, Rate Sheets, and successful RFP response. Agreements with investment managers (includes all due diligence materials, any other documents received by the manager related to that fund), and Annual Disclosure form, Business Associate Agreement, Licensing Agreements, Labor Contracts, Partner Contracts, Service Provider Agreements, Confidentiality and Non-Disclosure Agreements, Property Owner Agreements, Settlement Agreements, Special Counsel, Vendor Contracts, Tenant Leases (and Tenant Income Statements), Parking License Agreements, LPA Agreement, Side Letters, Subscription Agreement, Public Records Request involving confidential contract information

Retention Requirement: Expiration/Termination of Agreement + 8 Years

LEG2000	Legal Litigation	Records related to threatened or asserted litigation or government investigations filed against the Company.
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Examples:

Pleadings, Deposition Transcripts, Case Documents, Case Research, Correspondence, Opinions, Subpoenas.

Retention Requirement: Close of Matter + 7 Years

LEG2100 Legal Records representing the formal resolution of disputed
Litigation/Dispute Resolution matters.

Examples:

Final determination of case, executed settlement agreements.

Retention Requirement: Permanent

LEG3000 Legal Legal work completed for or advice given to business
Legal Projects and Opinions functions within SERS.

Examples:

Opinions, Contests, Chron Files, Working Files, and Legislation Analysis Memoranda, Assignment Tracking.

Retention Requirement: Completion of Project + 10 Years

LEG4000 Legal Records relating to Copyrights, Trademarks, Patents, and
Intellectual Property other intellectual property owned by SERS.

Examples:

Applications, Copyright Questionnaires, Correspondence For Copyright and Trademark Registrations, IP Enforcement, Cease and Desist Documents.

Retention Requirement: Permanent

LEG5000 Legal Records related to licensing and permits in order to
Business Permits and Licenses conduct business operations.

Examples:

Licenses/Permits (Federal, State, Local), Registrations of Business Activities and Services, Domain Names Registrations, Renewals, Payments.

Retention Requirement: Expiration of Permit/License + 3 Years

MBR1000 Accounting Pension and health insurance records related to individual
Member Records SERS' members, dependents, and beneficiaries. This
excludes SERS' disability program medical records. See
MBR1100.

Examples:

Address, electronic mail address, phone number, social security number, record of contributions, correspondence with the system, account status, service credit, deductions, estimates, processed transactions and benefits paid to any person (e.g. Refunds, Retirements, Survivor Benefits, etc.), health insurance enrollment, cancelation, and waiver

forms, documents submitted by or on behalf of benefit recipients, disability program determinations and appeals.

Retention Requirement: Permanent

MBR1100	Accounting Disability Program Medical Records	Individual medical records submitted to SERS for the purpose of participation in the SERS Member Disability Program.
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Examples:

Medical reports, evaluations, exam notes, treatment information, diagnostic test results, prescription history, MAC reviews, job duties form and capabilities checklist. This does not include correspondence relating to the member's application determination or appeal.

Retention Requirement: Member death, conversion to age/service retirement, or disability benefit disapproval or termination + 7 Years.

MBR2000	Accounting Member Operational Reports and Queries	Reports and related records generated to monitor, track, analyze member operations, including standard and ad hoc reports, lists, data queries, and system extracts.
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Examples:

Operational tracking reports that do not fall under ADM1000, including but not limited to special project reports, Proof of Life (query and spreadsheet), RMD spreadsheets/queries, Student form queries and spreadsheets, Legal process queries/spreadsheets, Subpoenas affiliated with a request for member information, and member/employer transaction-based survey results.

Retention Requirement: 5 Years

MBR3000	Accounting Plan Design and Administration - Valuations, Rates and Calculation Factors, and Plan Management Documentation	Records relating to financial risk assessments conducted in order to develop insurance rates, and plan management decisions.
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Examples:

Actuarial Memoranda, Actuarial experience studies; actuarial factors development; special actuarial studies; rules, policies and methods needed to calculate contribution rates and provisions of SERS benefit plans.

Retention Requirement: 20 Years

MBR3200 Accounting Records related to SERS Health Care Plan Administration
Health Care Plan
Administration

Examples:

Retiree Health Insurance Premiums, HC Premium Surcharge Rates, Rate Development Spreadsheets, Early Medicare Disability Compliance Reports, Plan Enrollment and Performance Reports and materials supporting the oversight and administration of health care programs offered by SERS.

Retention Requirement: 11 Years

MBR4100 Accounting Records related to outreach and engagement with
Member and Employer Members and Employers (School Districts).
Outreach Program

Examples:

Outreach event registration, conference and webinar tracking, event-related materials (e.g. presentations and handouts not under COMM1000), and post event surveys.

Retention Requirement: 7 Years

MBR5000 Accounting Records related to onboarding and ongoing support for
Employer Activities Employers to SERS.

Examples:

EWA form, New Employer set-up forms, Welcome letter, contact information, contractor information, Member enrollment, SSA-1945 form, Pick-up plans, Pick-up supporting documentation, Pick-up confirmation letters, Early Retirement Incentive (ERI) plans, Alternative Retirement Plan (ARP) elections, Pay Schedules.

Retention Requirement: Permanent

MBR5100 Accounting Records related to the decision-making process for
Determinations Membership Determinations.

Examples:

Completed Membership Determination Form, Job description and/or contract, initial determination, final membership determination.

Retention Requirement: Permanent

PRO1100 Accounting Records related to document the Request for Information
Unsuccessful Competitive (RFI) process and document the unsuccessful request for

Bidding

purchase (RFP) of a product or service.

Examples:

Includes RFIs, Price Quotes for unpurchased goods or services, unsuccessful RFPs or stalled/postponed RFPs, including correspondence related to manager searches or inquiries.

Retention Requirement: 3 Years

PRO1200

Accounting
Sourcing and Contracting

Records related to the request, authorization, and procurement of goods and services. These records are used to document the successful request and purchase of product or service. Does not include vendor contracts or payment for products or services.

Examples:

Includes Purchase Orders, Successful RFP supporting documents (including, but not limited to Scoring document, Cover Sheets, Exhibits, Supplier Quotes, Pricing,) Request for Quote, Executive Summaries, Vendor/Supplier Qualifications (e.g. CVs for Disability Medical Examiners, etc.), Annual Experience Reports, Vendor implementations, etc.

Retention Requirement: 8 Years

PRO2000

Accounting
Vendor / Supplier Relations
and Performance
Management

Records related to communications and relationships with vendors and suppliers. Includes monitoring and managing vendor performance, and corrective action.

Examples:

Includes Vendor Correspondence, Vendor Request for Change Documentation, Vendor Response Form, Vendor Performance Reviews, Vendor Score Cards, Business/Performance Reviews, Vendor Financial Reports, Annual Benefit, Vendor implementations, etc.

Retention Requirement: 10 Years

REG1000

Regulatory, Risk and
Compliance
Risk Management Activities

Records related to the ongoing administration and activities of the Risk Management Program

Examples:

Process documents of risk and control repository, process maps/narratives, risk assessment ratings, risk program reports/memos and support info, control self-assessments, risk ratings, observations and support materials for executive, board and internal/ external committee meetings; third-party inventory list, vendor risk assessment documents, client risk questionnaires, audit report (SOC) review and follow-up, vendor transition/ offboard certification statements (data removal) and control validation.

Retention Requirement: 7 Years

REG1100	Regulatory, Risk and Compliance Business Resiliency	Records relating to incident response, business continuity, or disaster recovery.
<p>Examples: Emergency Response Plan (ERP) document, incident response plan, business impact analysis.</p>		
Retention Requirement: 7 Years		
REG2000	Regulatory, Risk and Compliance Risk Management - G/L, Excess and Umbrella Insurance Policies	Records related to insurance coverage for General Liability, Umbrella and Excess.
<p>Examples: Employment Practices Liability Insurance (EPLI), Fiduciary Liability, General Liability and Umbrella Liability Insurance; these policies are occurrence based, director and officer (D&O), cybercrime, Stop loss.</p>		
Retention Requirement: Permanent		
REG2100	Regulatory, Risk and Compliance Risk Management - Certificates of Insurance and Submission Materials	Records reflecting evidence of insurance coverage.
<p>Examples: Certificates of Insurance, Insurance Policies, Binders, Submission Materials.</p>		
Retention Requirement: Expiration of Coverage + 1 Year		
REG2200	Regulatory, Risk and Compliance Risk Management - Claims and Adjustments	Records relating to claims made against SERS. Includes tenant claims.
<p>Examples: Includes Property Claims, Liability Claims, Workers Comp Claims, Accident/Incident Reports, Photos, Release/Settlements, Claims Supporting Documentation, Insurance Releases, Insurance Settlements, Adjustments.</p>		

Retention Requirement: Resolution of Claim + 7 Years

REG3000	Regulatory, Risk and Compliance Regulatory Reporting and Compliance	Records created, managed, and/or submitted to governmental agencies to comply with local, state, and federal requirements. Records related to SERS status, includes working and submission documents.
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Examples:

Federal and State Registrations, Certificate of Licensing and Inspection; Filings, QEBA documents, Iran/Sudan Divestment Report, Compliance Reports, etc., working administrative rules.

Retention Requirement: 10 Years

REG4100	Regulatory, Risk and Compliance Investment Compliance	Records Documenting/Showing Compliance with Investment Practices and Requirements.
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Examples:

Exception Compliance Reports, Monthly Compliance Letter, MSCI and Iran/Sudan Reporting and Correspondence, Annual Disclosure Summary Report, and Supporting Materials, Proxy Voting Records (Custom Proxy Policy and Correspondence, Quarterly Proxy Voting Confirmations, and Quarterly Proxy Voting Reports).

Retention Requirement: 6 Years

TAX1000	Tax Tax Returns & Supporting Documentation and Special Issues	Records of all federal, state and local tax requirements. Records generated in support of tax return preparation.
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Examples:

Routine IRS notices and letters, State and Federal Tax Reporting, Applications, Form 941, Tax Memoranda, Income Returns, Property Tax Records, Excise Tax Records, State Unemployment Tax, IRS 1099 for contractors, IRS 1099-R tax reporting for System member refunds and retirements, etc. Includes Tax Work-Paper Packages, Tax Bills, Tax Receipts, Tax Statements, Closing Entries/Postings, Tax Reconciliations, Tax Calendar, Tax Certificates, Property Tax Basis, Depreciation Schedules, Amortization Schedules, Form 1099.

Retention Requirement: 10 Years

TAX2000	Tax IRS Compliance Documents	Records regarding SERS' qualified plan status and special tax situations.
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Examples:

Qualified Plan documents, IRS opinions, notices, and SERS responses relating to SERS' status as a qualified plan,, IRS judgements, internal or external interpretations or assessments of IRS rules or regulations.

Retention Requirement: Permanent
