



New York State Teachers' Retirement System

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New York State Teachers' Retirement System

Subject Matter List

Introduction

NYSTRS' subject matter list provides a reference of subjects or file categories under which records are maintained by the System. This list is not a compilation of every record used by the System to conduct daily business functions.

Updated March 10, 2008

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EXECUTIVE DEPARTMENT

EX-01	Board Member Minutes/Financial Committee Records Description: Agenda, Board Meeting Minutes, Reports, Action Items and associated documents/materials including the Board Financial Committee records/reports generated for the Board meetings. Retention: 20 years in office after end of calendar year. Final Disposition: Transfer to Archives.
EX-02	Special Studies Description: Background material, data and information and the final reports related to special studies, surveys or analysis of retirement plans, payout distributions, actuarial analysis and other matters/issues concerning the Teachers' Retirement System. Retention: 30 years in office after the end of the year of completion of study/survey/analysis. Final Disposition: Transfer to Archives.
EX-03	Subject and Correspondence Files Description: Records, correspondence, memos, reports and associated material concerning various subjects/topics related to the Administration of the Teachers' Retirement System. Retention: 15 years in office. Final Disposition: Transfer to Archives.

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EX-04	<p>Chronological Files</p> <p><u>Description:</u> Copies of correspondence/letters sent from the Executive Director's office.</p> <p><u>Retention:</u> 5 years in office.</p> <p><u>Final Disposition:</u> Transfer to Archives</p>
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HUMAN RESOURCES

HR-01	Personnel History File <u>Retention:</u> 6 years after employee's separation from agency.
HR-02	Employee Summary Service Records <u>Description:</u> Cards for Teachers' Retirement System employees, containing summary data and information on service to the agency. <u>Retention:</u> 10 years after employee's separation from agency. <u>Final Disposition:</u> Transfer to Archives.
HR-03	Employee Time Records <u>Retention:</u> 3 years after date of last entry.
HR-04	Summary Reports Regarding Personnel/Payroll Action <u>Description:</u> Statistical/narrative reports used for operational/planning purposes, including reports for vacancy, nonpermanent positions, payroll additions/separations, probation and performance evaluations. <u>Retention:</u> Destroy after updated/suspended or no longer needed.
HR-05	Human Resource Subject and Correspondence Files <u>Retention:</u> Destroy when obsolete or suspended.

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<p>HR-06</p>	<p>Employment Inquiry Files</p> <p>Description: Applications, resumes and other records for employment consideration.</p> <p>Retention: 3 years from specific personnel action or vacancy.</p>
<p>HR-07</p>	<p>Employment Eligibility Verification Forms</p> <p>Description: Immigration/Naturalization Service form I-9 for all employees hired <u>after</u> November 6, 1986 verifying U.S. citizenship or legally authorized to work in U.S.</p> <p>Retention: Destroy 3 years after the date of hire or 1 year after employment is terminated, whichever is later.</p>
<p>HR-08a</p>	<p>Classification Files</p> <p>Description: Records of position classification and allocations for all Teachers' Retirement System job titles. Documents generally include correspondence, background material, and request to set up new or reclassify positions; duty statements and associated material.</p> <p>Retention: 10 years until records are determined to be superseded or obsolete.</p> <p>Note: Review periodically and purge material no longer needed.</p>
<p>HR-08b</p>	<p>Salary History and Title Folder Files</p> <p>Description: Salary history records and information for active and abolished titles, including title establishment, reclassification, reallocation, elimination and other connected actions. Included are all titles used by the agency, examination announcements, standards, qualifications and associated material.</p>

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	<p><u>Retention:</u> Destroy after the title is abolished.</p> <p><u>Note:</u> Non-essential material can be destroyed when title is revised.</p> <p><u>Final Disposition:</u> Transfer to Archive.</p>
HR-09	<p>Centralized Eligible List Certification Files</p> <p><u>Description:</u> Copies of DCS certified eligible lists, canvass letters, responses to canvasses, and other records related to availability canvasses for appointment. Usually for job titles common to more than one agency.</p> <p><u>Retention:</u> 3 years after personnel action completed.</p>
HR-10	<p>Decentralized Eligible List Certification Files</p> <p><u>Description:</u> Agency certified eligible lists, canvass letters, responses to canvass letters, and other records related to availability canvasses for appointment. Usually for job titles unique to an agency.</p> <p><u>Retention:</u> 3 years after expiration of decentralized eligible list.</p>
HR-11	<p>Examination Development Files</p> <p><u>Retention:</u> 1 year after the subsequent examination is developed or the title is eliminated, whichever comes first.</p>
HR-12	<p>Health Insurance Files</p> <p><u>Retention:</u> 7 years after employee insurance eligibility ceases or employee separates from agency.</p>

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HR-13	<p>Retirement Benefits File</p> <p><u>Retention:</u> 1 year after the completion of retirement processing or upon separation from agency.</p>
HR-14a	<p>Workers' Compensation Files (Allowed)</p> <p><u>Retention:</u> 18 years after the injury or illness (including basic records).</p> <p><u>Other:</u> Or 8 years after the final payment of the award, whichever occurs later.</p>
HR-14b	<p>Workers' Compensation Files (Disallowed)</p> <p><u>Retention:</u> 7 years after the injury or illness (in office)</p> <p><u>Other:</u> Destroy injury/illness records after 18 years.</p>
HR-14c	<p>Injury and Illness Records</p> <p><u>Retention:</u> 18 years after the injury or illness.</p>
HR-15	<p>Bi-weekly Payroll Processing Records</p> <p><u>Retention:</u> 3 years after the end of the fiscal years after accurate payroll update.</p>
HR-16	<p>Tuition Reimbursement Program Records</p> <p><u>Description:</u> Records include applications, coursework related to determinations, reimbursement computation forms, and all other associated records.</p> <p><u>Retention:</u> 3 years after reimbursement is paid to employee or</p>

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	application is rejected.
HR-17	<p>Budget Request Files</p> <p><u>Description:</u> Records created and used by managers to develop budget requests including cost statements, estimates, justifications, narrative statements, spread sheets, background material for submission to agency budget office.</p> <p><u>Retention:</u> 1 year after the end of the fiscal year covered by the budget request.</p>
HR-18a	<p>Affirmative Action Subject Files</p> <p><u>Description:</u> Correspondence, memoranda, copies of reports, articles, policies and procedures, copies of regulations and related materials arranged by subject used to administer an agency Affirmative Action program on topics of recruitment, career planning, community relations, discrimination and sexual harassment, cultural diversity and reasonable accommodations.</p> <p><u>Retention:</u> 3 years after the end of the creation or when superseded, whichever comes first.</p>
HR-18b	<p>Affirmative Action Grievance/Complaint Files</p> <p><u>Description:</u> Agency copies of grievances by employees that generally include complaints, agency responses, and decisions.</p> <p><u>Retention:</u> 3 years after final resolution of grievance and execution of any stipulation.</p>

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<p>HR-18c</p>	<p>Affirmative Action Training Records</p> <p>Description: Records and documentation of training provided employees on affirmative action, equal opportunity, sexual harassment, and related human rights policies. These records document content of training course and participation of agency staff.</p> <p>Retention: 6 years after completion of training session or discontinuance of specific course.</p>
<p>HR-19</p>	<p>Employee Grievance Case Records</p> <p>Description: Agency copies of contract and noncontract grievances made by employees.</p> <p>Retention: 10 years after final resolution of grievance.</p>
<p>HR-20</p>	<p>Disciplinary Action Records</p> <p>Description: Records of disciplinary actions brought by agencies against their employees and of disciplinary grievances files by employees in response to such actions.</p> <p>Retention: 10 years after final resolution of the disciplinary action.</p> <p>Other: Or 6 years after employee terminates, whichever comes first.</p>
<p>HR-21</p>	<p>Contract Negotiation Files</p> <p>Description: Correspondence, negotiation notes, draft proposals, sign off language/signature pages, union and management demands, research material, original contracts and other associated materials.</p> <p>Retention: 4 years after settlement of successor agreement/contract.</p>

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HR-22	Injury and Illness Incident Logs and Summary Records <u>Retention:</u> 5 years after incident occurs.
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REAL ESTATE

RE-01	Mortgage and Property Fund Files Description: Records concerning the acquisition, sale, and administration of agency property owned for investment or agency use. Documents include initial analysis material, transaction information/legal documents (drafts/finals) mortgage notes, deeds, purchase sale agreements; also records of properties leased from the agency. Retention: Mortgage records: 10 years after mortgage paid. Lease records: 6 years after expiration of lease or final payment, whichever is later.
RE-02	Declined Property Acquisition Proposal Files Description: Records related to Real Estate or Investment Property proposals that the agency declines. Documents include offerings, appraisal material/information, application/registration forms and associated records/information. Retention: 10 years after offer rejected/not accepted.
RE-03	General Subject and Correspondence Description: Records normally maintained by subject/topic related to the general administrative activities of the office. Documents include correspondence, memos, various internal administrative reports and records concerning daily routine matters. Retention: 2 years after the end of the year the document was created in.

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RESEARCH AND VALUATION

RV-01	Bond Swaps <u>Description:</u> Research material used to calculate projected member benefits. <u>Retention:</u> 10 years.
RV-02	Option Factors/Domestic Relations Orders <u>Description:</u> Calculations of options for any benefit payments that are other than a maximum benefit payment. <u>Retention:</u> 10 years.
RV-03	Fiscal Notes for Legislative Proposals <u>Description:</u> Research material used to calculate the potential cost of the new legislation and the cost to administer or fund the proposed legislation. <u>Retention:</u> 10 years.
RV-04	Legislative Changes <u>Description:</u> Reference materials regarding legislative changes. <u>Retention:</u> 10 years.
RV-05	Actuarial Valuations for Employer Contribution Rates <u>Description:</u> Actuarial valuations that result in the Employer Contribution Rate.

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	<p><u>Retention:</u> 10 years.</p>
RV-06	<p>Application Development Project File</p> <p><u>Description:</u> Records created and used in the development, redesign, or modification of an automated system or application.</p> <p><u>Retention:</u> 3 years after completion of the project.</p>
RV-07	<p>Audit Information</p> <p><u>Description:</u> Audit information by year of audit, accountants report, pre-audit reporting systems, and insurance department quinquennial reviews.</p> <p><u>Retention:</u> 10 years.</p>
RV-08	<p>Actuarial Assumptions</p> <p><u>Description:</u> Record series consists of change in assumptions by year/rate.</p> <p><u>Retention:</u> 10 years.</p>
RV-09	<p>Reports, Requests for Information, Correspondence</p> <p><u>Description:</u> Reports by, or about, New York State Teachers' Retirement System, copies of RFPs (requests for proposals), misc. reports and studies, request for information, GASB (Government Accounting Standard Board) materials, questionnaires and surveys, correspondence by year,</p> <p><u>Retention:</u> 10 years.</p>

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<p>RV-10</p>	<p>Administrative Records</p> <p>Description: Record series is related to departmental issues such as personnel folders, resumes, supervisory information, periodicals, newsletters, budget information/business plans, rules, regulations, bylaws, board meeting presentations, Finance Committee notes, constitutional tax limitations, loans, Retired Teachers' Association, tax sheltered annuities, stock index and financial futures, stock valuation methods, comparison of retirement systems, quarterly reporting, Social Security, IDC files, yield rates and analysis of NYSTRS.</p> <p>Retention: 10 years.</p>
<p>RV-11</p>	<p>Data System Specification</p> <p>Description: User and operational documentation describing how an application system operates from a functional user and data processing point of view. This includes documentation of data entry, manipulation, output and retrieval, records necessary for using the system including user guides, system flowcharts, program descriptions and documentation, system specifications and work flow records.</p> <p>Retention: 3 years after discontinuance of system, but not before system data is destroyed or transferred to new operating system.</p>
<p>RV-12</p>	<p>Data Documentation</p> <p>Description: Records generally created during development or modification and necessary to access, retrieve, manipulate, and interpret data in an automated system. This includes data elementary dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, and origin of the data elements.</p> <p>Retention: 3 years after discontinuance of system or application, but not before system or application data are destroyed or transferred to a new structure or format.</p>

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INTERNAL AUDIT

<p>IA-01</p>	<p>Audit Reports and Work Papers</p> <p>Description: Records series consists of account investments and administrative functions such as school district annual audits, refund work papers, expense analysis, petty cash work papers, inventory sheets and related papers, vault counts, certificate listings, summary of annuitant payrolls and withholdings, annuitant accounts, fiscal accounts, performance audits, and other types of supporting materials.</p> <p>Retention: Destroy 7 years after completion of audit.</p>
<p>IA-02</p>	<p>Administrative Reference Material</p> <p>Description: Includes copies of board minutes, copies of contracts, copies of reports from investment managers, and general correspondence.</p> <p>Retention: Destroy 7 years after documents are superseded or become obsolete.</p>

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FACILITY SERVICES

FS-01	Supplies, Commodities and Part Inventories <u>Retention:</u> After the file is superseded or becomes obsolete.
FS-02	Supplies, Commodities and Parts Disbursement Records <u>Retention:</u> 3 years after fiscal year after disbursement.
FS-03	Equipment Maintenance Records <u>Retention:</u> 3 years after equipment is sold, transferred or otherwise disposed.
FS-04	Motor Vehicle Maintenance Records <u>Retention:</u> 3 years after vehicle is sold, transferred or otherwise disposed.
FS-05	Facility Maintenance Work Order Files and Logs <u>Retention:</u> 3 years after completion of work.
FS-06	Maintenance/Operations Reference Drawings and Files <u>Retention:</u> 3 years after the material is superseded by new drawings/manual or made obsolete by replacement or disposal of equipment.

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FS-07	<p>Systems Monitoring and Inspection Records</p> <p><u>Retention:</u> 3 years after creation.</p>
FS-08	<p>Facility Management Subject File</p> <p><u>Description:</u> Records used to support agency facility management programs, consisting of correspondence, memos, manuals, copies of policies and procedures, and related records pertaining to maintenance and use of facilities.</p> <p><u>Retention:</u> Destroy after obsolete or superseded.</p>
FS-09	<p>Form History Files</p> <p><u>Description:</u> Records created and maintained to control the creation, design, printing, use, and revision of agency forms and documentation of the form review and approval process.</p> <p><u>Retention:</u> 2 years after form is to be discontinued.</p>
FS-10	<p>Form Inventory Records</p> <p><u>Retention:</u> After forms are superseded by an updated inventory.</p>
FS-11	<p>Forms Management Program Subject Files</p> <p><u>Retention:</u> Destroy when superseded or obsolete.</p>
FS-12	<p>Toxic Substance Workplace Notification/Information Files</p> <p><u>Description:</u> Records documenting notification by agencies to employees of the existence of toxic substances in the workplace and the potential effects of exposure to these substances. This may include</p>

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	<p>correspondence and memoranda, Material Safety Data Sheets, or related records.</p> <p><u>Retention:</u> 40 years.</p>
<p>FS-13</p>	<p>Annual Occupational Injuries and Illness Surveys</p> <p><u>Description:</u> Agency copies of incident reports and annual statistical reports submitted to the new York State Department of Labor.</p> <p><u>Retention:</u> 1 year after submission to Department of Labor.</p>
<p>FS-14</p>	<p>Facility Health and Safety Inspection Records</p> <p><u>Description:</u> Notices of inspection, inspection reports, description of violations, remedial action plans, correspondence, and memoranda documenting agency cooperation with the New York State Department of Labor and agency efforts to comply with Department of Labor findings and determinations.</p> <p><u>Retention:</u> 3 years after completion of inspection or any violations are remedied, whichever is longer.</p>
<p>FS-15</p>	<p>Fire Code Compliance Records</p> <p><u>Retention:</u> 3 years or until all violations are corrected, whichever occurs later.</p> <p><u>Other:</u> Destroy code compliance certificates 3 years after they expire.</p>

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<p>FS-16</p>	<p>Fire Safety Program Records</p> <p>Description: Records concerning the establishment and administration of a network of fire wardens, marshals, and searchers, including lists of individuals serving in these capacities, building diagrams, assignments, evacuation procedures, and meeting records.</p> <p>Retention: 3 years after records are superseded or obsolete.</p>
<p>FS-17</p>	<p>Building Admittance and Visitor Logs</p> <p>Retention: 3 years</p>
<p>FS-18</p>	<p>Building Pass Records</p> <p>Retention: 3 years after passes are cancelled or become invalid.</p>
<p>FS-19</p>	<p>Incident and Investigation Records</p> <p>Description: Agency copy of records documenting security-related incidents and investigations by agency staff and external investigators. These records include but are not limited to complaints, incident reports, accident reports, reports of stolen property, investigation-related records, emergency response-related records, and correspondence and memoranda.</p> <p>Retention: 5 years after investigation closed or dropped.</p>
<p>FS-20</p>	<p>Building Security Subject Files</p> <p>Description: Reports, memoranda, correspondence, copies of policies and procedures, background materials and related records used by agencies to support administration of building security programs, arranged by subject.</p>

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	<p><u>Retention:</u> Destroy after records are obsolete or superseded.</p>
FS-21	<p>Mail Pick-up and Delivery Records</p> <p><u>Retention:</u> 1 year after creation</p>
FS-22	<p>Mail Services Subject File</p> <p><u>Retention:</u> Destroy after records are obsolete or superseded.</p>
FS-23	<p>Telephone and Fax Installation and Service Job Files</p> <p><u>Retention:</u> 1 year after request is filled or repairs are made.</p>
FS-24	<p>Telecommunications Use Logs and Reports</p> <p><u>Retention:</u> Destroy after records are obsolete or superseded.</p>
FS-25	<p>Telecommunications Planning Records</p> <p><u>Description:</u> Correspondence, reports, studies, plans, notes, working diagrams of proposed networks, and related records used by agencies to plan and implement telecommunications systems.</p> <p><u>Retention:</u> 1 year after completion of planned activities or projects.</p>
FS-26	<p>Telephone Wiring Schematics and Diagrams</p> <p><u>Retention:</u> Destroy after records are superseded by new network documentation or when network installation is dismantled.</p>

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FS-27	Telephone and Fax Directories <u>Retention:</u> Destroy after superseded by updated directory or listings.
FS-28	Telephone Services Subject Files <u>Retention:</u> Destroy after records are obsolete or superseded.
FS-29	Insurance Portfolio Files <u>Description:</u> Records related to insurance activity and coverage (casualty, liability, and property insurance as well as workers' compensation). <u>Retention:</u> 6 years after expiration of policy.
FS-30	Equipment and Furniture Inventories <u>Retention:</u> Destroy after inventories are superseded or obsolete.

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MEMBER RELATIONS

<p>MS-01</p>	<p>Deceased Member Records</p> <p>Description: Records of Teachers’ Retirement System Membership terminated by death of member or annuitant in which no further benefit is payable.</p> <p>Retention: 7 years after the end of the fiscal year of final payment.</p>																		
<p>MS-02</p>	<p>Ceased/Terminated Member Records</p> <p>Description: Records of members in the Teachers’ Retirement System terminated for reasons other than death or retirement, on which no refund or other benefit is payable.</p> <p>Retention: 40 years after the end of the fiscal year membership ceased/terminated.</p>																		
<p>MS-03</p>	<p>Member Relations Departmental Forms</p> <p>NOTE: There are many forms related to specific subjects that are used by the following units within the Member Relations Division:</p> <table border="0" style="width: 100%;"> <tr> <td>New Entrant</td> <td>Employee Reporting</td> </tr> <tr> <td>Loans</td> <td>Subsequent Service</td> </tr> <tr> <td>Transfer-In</td> <td>Termination of Employee</td> </tr> <tr> <td>Transfer-Out</td> <td>Estimate/Refunds</td> </tr> <tr> <td>Tier Reinstatement</td> <td>Service Retirements</td> </tr> <tr> <td>Name/Address Change</td> <td>Death/Disability</td> </tr> <tr> <td>Direct Deposit</td> <td>Retired Death</td> </tr> <tr> <td>Prior Service/Military</td> <td>Pivot Unit</td> </tr> <tr> <td>Retired Member Service</td> <td></td> </tr> </table> <p>Retention: Indefinite</p>	New Entrant	Employee Reporting	Loans	Subsequent Service	Transfer-In	Termination of Employee	Transfer-Out	Estimate/Refunds	Tier Reinstatement	Service Retirements	Name/Address Change	Death/Disability	Direct Deposit	Retired Death	Prior Service/Military	Pivot Unit	Retired Member Service	
New Entrant	Employee Reporting																		
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Retired Member Service																			

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PUBLIC INFORMATION OFFICE

PIO-01	Information Inquiries and Requests for Records Description: Letters, memoranda, telephone logs, copies of responses, and related records that document requests for information from the public, organizations, and other agencies, excluding formal requests filed under the Freedom of information Law. Retention: 1 year
PIO-02	Freedom of Information Law (FOIL) Subject Matter Lists Description: Agency copies of subject matter lists, lists of record systems, or file categories prepared pursuant to the Freedom of Information Law. Retention: 1 year
PIO-03	Freedom of Information Law Requests and Appeals Retention: 2 years
PIO-04	Personal Privacy Impact Statements Description: Copies of privacy impact statements and notices filed by agencies with the Committee on Open Government in compliance with the Personal Privacy Protection Law listing records and systems which contain personally identifiable information and indicating their impact on personal privacy. Retention: 6 months after new one is issued.

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PIO-05	Press Release/Publication Files <u>Retention:</u> Keep a minimum of 100 for 1 year; then transfer 1 copy of each to the State Archives.
PIO-06	Annual Reports Development File <u>Description:</u> Narrative reports on agency and program unit activities, statistical data and summaries, drafts, charts, graphs, photographs, and related records used to prepare agency Annual Reports, but excluding the reports themselves. <u>Retention:</u> 3 years after publication of report.
PIO-07	Agency Annual Reports <u>Description:</u> Annual Reports prepared by agency describing functions, activities, and events of the past year. <u>Retention:</u> Transfer 1 copy of each report to the State Archives annually. Maintain 100 copies for 1 year and forward 30 copies to the State Library upon publication.
PIO-08	Camera-Ready Copies, Printing Masters and Mechanicals <u>Description:</u> Documents prepared specifically for use as the final printing master. <u>Retention:</u> 1 year after publication.

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INFORMATION SERVICES

<p>IS-01</p>	<p>Subject and Correspondence Files</p> <p><u>Retention:</u> Destroy when obsolete or superseded.</p>
<p>IS-02</p>	<p>Information Resources Management and Data Processing Services Plans</p> <p><u>Description:</u> Agency IRM plans submitted to the Division of the Budget, data processing services plans, strategic plans, and related records used to plan for information systems development, technology acquisitions, data processing services provisions or related areas.</p> <p><u>Retention:</u> 10 years after plan (Master Copy) is completed, superseded, or revised. Destroy copies, drafts and routine material when no longer needed.</p>
<p>IS-03</p>	<p>Product/Vendor and State Contract Reference Files</p> <p><u>Description:</u> Information on data processing equipment, software, and other products and their vendors.</p> <p><u>Retention:</u> 3 years after the end of the fiscal year or when no longer needed.</p>
<p>IS-04</p>	<p>OGS Data Center Time Billing Records</p> <p><u>Retention:</u> 3 years after the end of the fiscal year.</p> <p><u>Other:</u> (Justification) Records may be needed for audits, disputed charges, or planning.</p>

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<p>IS-05</p>	<p>Copies of Purchase Requisitions, Orders, and Billing Record</p> <p><u>Retention:</u> 5 years after final payment or lapse of funds or expiration of contract, whichever is later.</p>
<p>IS-06</p>	<p>Records of Chargebacks</p> <p><u>Description:</u> Electronic and manual records used to document, calculate costs and bill program units for computer usage and data processing service. Records are also used for cost recovery, budgeting, or administrative purposes.</p> <p><u>Retention:</u> 3 fiscal years after creation.</p>
<p>IS-07</p>	<p>Application Development Project Files</p> <p><u>Description:</u> Records created and used in the development, redesign, or modification of an automated system or application including project management records, status reports, draft system or subsystem specification,, draft user requirements and specification.</p> <p><u>Retention:</u> 3 years after completion of files.</p>
<p>IS-08</p>	<p>Data System Specification</p> <p><u>Description:</u> User and operational documentation describing how an application system operates from a functional user and data processing point of view including records of documenting data entry, manipulation, output and retrieval records necessary for using the system, including user guides, system or sub-system definitions, system flowcharts, program descriptions and documentation.</p> <p><u>Retention:</u> 3 years after discontinuance of system, but not before system data is destroyed or transferred to new operating environment.</p>

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<p>IS-09</p>	<p>Automated Program Listing/Source Code</p> <p>Description: Automated program code which generates the machine-language instructions used to operate an automated information system.</p> <p>Retention: 3 system update cycles after code is superseded or replaced.</p>
<p>IS-10</p>	<p>Data Documentation</p> <p>Description: Records generally created during development or modification and necessary to access, retrieve, manipulate and interpret data in an automated system including data element dictionary, file layout, code book or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.</p> <p>Retention: 3 years after discontinuance of system or application but not before system or application's data is destroyed or transferred to a new structure or format.</p>
<p>IS-11</p>	<p>Technical Program Documentation</p> <p>Description: Paper copy of program code, program flowcharts, program maintenance log, system change notices, and other records that document modifications to computer programs.</p> <p>Retention: 1 year after replacement, modification, or related programs cease to be used.</p>
<p>IS-12</p>	<p>IS Procurement Documentation</p> <p>Retention: 6 years after expiration of contract. All other records: 3 years after completion of purchase.</p>

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<p>IS-13</p>	<p>Test Database File</p> <p>Description: Routine or benchmark data sets, related documentation and test results constructed or used to test or develop a system.</p> <p>Retention: Destroy when no longer needed, but not before user accepts and management reviews and approves test results.</p>
<p>IS-14</p>	<p>IS Operating Procedures</p> <p>Description: Records of procedure for data entry, the operation of computer equipment, production control, tape library, system backup, and other aspects of data processing operation.</p> <p>Retention: 3 years after procedure is withdrawn, revised, updated, or superseded.</p>
<p>IS-15</p>	<p>IS Hardware Documentation</p> <p>Description: Records documenting the use, operation, and maintenance of an agency's data processing equipment including operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.</p> <p>Retention: Destroy after 5 years or the agency no longer uses related hardware and all the data is transferred to and made useable in new hardware environment, whichever is later.</p>
<p>IS-16</p>	<p>Maintenance Contracts Files</p> <p>Retention: Destroy after 10 years or 6 years after expiration of contract or final payment, whichever is later.</p>

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<p>IS-17</p>	<p>Operating Systems and Hardware Conversion Plans</p> <p><u>Description:</u> Records relating to the replacement of equipment or computer operating system.</p> <p><u>Retention:</u> 1 year after successful conversion.</p>
<p>IS-18</p>	<p>Disaster Preparedness and Recovery Plans</p> <p><u>Description:</u> Records related to the protection and re-establishment of data processing services and equipment in case of a disaster.</p> <p><u>Retention:</u> Destroy after superseded by revised plan.</p>
<p>IS-19</p>	<p>System Backup Files</p> <p><u>Description:</u> Copies of master files or databases, application software, logs, directories, and other records needed to restore a system in case of disaster or inadvertent destruction.</p> <p><u>Retention:</u> Destroy after 3 system backup cycles.</p>
<p>IS-20</p>	<p>Computer Usage File</p> <p><u>Description:</u> Electronic files or automated logs created to monitor computer system usage including but not limited to log-in files, system usage files, chargeback files, data entry logs, and records of individual computer program usage.</p> <p><u>Retention:</u> Destroy after 3 system backup cycles or 5 years, whichever is later.</p>

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<p>IS-21</p>	<p>Summary Computer Usage Reports</p> <p><u>Description:</u> Summary reports and other paper records created to document computer usage for reporting or cost recovery purposes.</p> <p><u>Retention:</u> Destroy 5 years after creation.</p>
<p>IS-22</p>	<p>Computer Run Scheduling Records</p> <p><u>Description:</u> Records used to schedule computer runs including daily schedules, run reports, run requests, and other records documenting the successful completion of a run.</p> <p><u>Retention:</u> Destroy 5 years after obsolete.</p>
<p>IS-23</p>	<p>Work/Intermediate Files</p> <p><u>Description:</u> Records used to facilitate the processing of a specific job/run or to create, update, modify, transfer, manipulate, or sort data within an automated system when all transactions are captured in a master file, central file, valid transaction file, or database, and the file is not retained to provide an audit trail.</p> <p><u>Retention:</u> Destroy 5 years after the transaction is completed.</p>
<p>IS-24</p>	<p>Audit Trail Files</p> <p><u>Description:</u> Data generated during the creation of a master file or database used to validate a master file or database during a processing cycle.</p> <p><u>Retention:</u> Destroy after 3 database/master file backup cycles or 5 years, whichever is later.</p>
<p>IS-25</p>	<p>Automated Tape Library System File</p> <p><u>Retention:</u> Destroy after related records or media are destroyed or</p>

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	withdrawn from tape library (mainframe 10 days/NT 1 month).
IS-26	<p>Tape Library Control Records</p> <p><u>Retention:</u> Destroy after superseded (Database 10 days).</p>
IS-27	<p>Data/Database Dictionary Records</p> <p><u>Description:</u> Usually in an automated system, used to manage data in an agency's information systems including information on data element definitions, data structure or file layout, code tables, and other data attribute information or records that explain the meaning, purpose, logical relationships, ownership, use, or origin of data.</p> <p><u>Retention:</u> Destroy after discontinuance or modifications of the related applications but not before the application's data is destroyed or transferred to a new structure or format.</p>
IS-28	<p>Data/Database Dictionary Report</p> <p><u>Description:</u> Periodic printouts from a data/database dictionary system including data element attribute reports, database schema, and related records used for reference purposes.</p> <p><u>Retention:</u> Destroy when superseded or no longer used by agency.</p>
IS-29	<p>Site/Equipment Support Files</p> <p><u>Description:</u> Records documenting support services provided to specific data processing equipment or installations including site visit reports, program and equipment service reports, service histories, and correspondence and memoranda.</p> <p><u>Retention:</u> Destroy site visit reports, problem and equipment service reports, and routine correspondence and memoranda 3 years after creation. Destroy service history and other summary records after the related equipment is no longer in use.</p>

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<p>IS-30</p>	<p>Help Desk Logs and Reports</p> <p><u>Retention:</u> 1 year after creation or when no longer needed, whichever is later.</p>
<p>IS-31</p>	<p>Network Site/Equipment Support Files</p> <p><u>Description:</u> Records documenting support services provided to specific sites and computer to computer interfaces on a network including site visit reports, trouble reports, service histories, and correspondence and memoranda.</p> <p><u>Retention:</u> Destroy site visit reports, trouble reports, and routine correspondence 3 years after creation. Destroy service histories and other summary records after the related equipment or site is no longer in use.</p>
<p>IS-32</p>	<p>Network Implementation Project Files</p> <p><u>Description:</u> Agency records used to plan and implement a network including reports, justifications, working diagrams of proposed network, wiring schematics, and diagrams.</p> <p><u>Retention:</u> Destroy after superseded.</p>
<p>IS-33</p>	<p>Employee Internet Use Logs</p> <p><u>Retention:</u> Destroy after 3 backup cycles or 3 months, whichever is later.</p>

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FINANCE

<p>FN-01</p>	<p>General Subject and Correspondence Files</p> <p><u>Retention:</u> 3 years after the end of the fiscal year.</p>
<p>FN-02</p>	<p>State Fiscal Policies and Procedures Records</p> <p><u>Description:</u> Memoranda, rules, orders, directives, procedural instructions, regulations, bulletins, notices, and any other instructions issued by the Office of the State Comptroller, Division of Budget, Office of General Services, or other control agencies which are directive in nature or explain policies or procedures relating to the fiscal and administrative responsibilities of an agency’s fiscal office.</p> <p><u>Retention:</u> Destroy after superseded or obsolete.</p>
<p>FN-03</p>	<p>Routine Internal Status and Activity Reports</p> <p><u>Description:</u> Internal statistical and narrative reports created by an agency on the routine operations and functions of a fiscal office, including weekly, monthly, and quarterly reports used for operations, management analysis, and planning.</p> <p><u>Retention:</u> Destroy after report is updated, superseded, or obsolete.</p>
<p>FN-04</p>	<p>Non-Routine Financial Reports and Studies</p> <p><u>Description:</u> Reports and studies created for fiscal, accounting, and administrative review or analysis by the agency, another State agency, a Federal agency, or an external party including equity and escrow reports, fringe benefit studies, facility usage reports, cost comparison studies, sales reports, investment practice studies, and other special reports or studies.</p>

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	<p><u>Retention:</u> 3 years after end of fiscal year.</p>
FN-05	<p>Audit Reports and Responses</p> <p><u>Description:</u> Agency copies of audit reports created by the Office of the State Comptroller, agency internal auditors, and other State, Federal, or private agencies that monitor, examine and verify the accounts and fiscal affairs of an agency, and agency responses.</p> <p><u>Retention:</u> 3 years after end of fiscal year.</p>
FN-06	<p>Reconciliation Work Papers</p> <p><u>Retention:</u> 3 years after end of fiscal year.</p>
FN-07	<p>Purchase/Accounts Payable Related to Contracts</p> <p><u>Description:</u> Records related to the purchase of goods and services which require a contract.</p> <p><u>Retention:</u> 7 years after expiration of contract or final payment, whichever is later.</p>
FN-08	<p>Purchase/Accounts Payable <u>Not</u> Related to Contracts</p> <p><u>Description:</u> Records related to the purchase of goods and services which do not require a contract.</p> <p><u>Retention:</u> 7 years after completion of program or purchase or final payment.</p>
FN-09	<p>Employee's Federal Withholding Allowance Cert. (W-4)</p> <p><u>Retention:</u> 4 years after due date of last tax return to which the certificate applied.</p>

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<p>FN-10</p>	<p>Payroll Preprocessing Reports</p> <p>Description: Reports generated by payroll office to ascertain accuracy of payroll information before the payroll is sent to OSC/DCS.</p> <p>Retention: Destroy after payroll is generated.</p>
<p>FN-11</p>	<p>Bi-Weekly Payroll Processing Records</p> <p>Description: Records concerning detail bi-weekly payroll data by employee.</p> <p>Retention: 50 years after the end of fiscal year after accurate payroll.</p>
<p>FN-12</p>	<p>Employee Payroll Warrants/Registers</p> <p>Description: Detailed year-to-date accounting information and transactions by mortgage.</p> <p>Retention: 50 years after end of fiscal year after end of payroll period.</p>
<p>FN-13</p>	<p>Employee Payroll Deduction/Direct Deposit Records</p> <p>Retention: 3 years after deduction/direct deposit no longer in effect.</p>
<p>FN-14</p>	<p>Revenue Accounting (Billing and Accounts Receivable)Records</p> <p>Description: Revenue accounting records of billing, receipt, and subsequent disposition of monies including bills, invoices, cash receipt records, cash disbursement records, cashier's reports, refunds of appropriations, report of monies received, reports of revenue transfers, transmittals, master control records, journal vouchers, and other related records.</p> <p>Retention: 3 years after receipt of funds.</p>

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<p>FN-15</p>	<p>Revenue Bank Account Files</p> <p>Description: Records of bank transactions for revenue or income accounts.</p> <p>Retention: 3 years after end of fiscal year.</p>
<p>FN-16</p>	<p>Payment Bank Account Files</p> <p>Description: Records of bank transactions for payment.</p> <p>Retention: 3 years after end of the fiscal year, after payment.</p>
<p>FN-17</p>	<p>Fixed Assets Inventory Files</p> <p>Description: Agency copies of records documenting purchase and ownership of property meeting criteria for fixed assets as defined by the Statewide Fixed Asset Accounting System under section 33 of the State Finance Law. Fixed assets include:</p> <ul style="list-style-type: none"> - all land - land improvements costing over \$100,000 - all buildings - all building renovations costing over \$100,000 - equipment costing over \$15,000 <p>This series typically includes all input forms supplied by agencies to the Office of General Services, or, when data is supplied in electronic form, copies of data input documents, as well as copies of purchase orders, vouchers, surplus property forms, or other records related to purchase and disposition of the property.</p> <p>Retention: 3 years after end of fiscal year in which associated property was dispersed.</p>
<p>FN-18</p>	<p>Fixed Assets Update Reports</p> <p>Description: Agency copies of computer-generated reports sent by the</p>

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	<p>Office of General Services to agencies documenting changes to assess under the Statewide Fixed Asset Accounting System.</p> <p><u>Retention:</u> Destroy after receipt of updated Fixed Asset Report from the Office of General Services.</p>
FN-19	<p>Fixed Assets Reinventory Printouts</p> <p><u>Description:</u> Reports issued by the Office of General Services to agencies every 2 years detailing all agency fixed assets currently documented in the Statewide Fixed Asset Accounting System.</p> <p><u>Retention:</u> 3 years after report is superseded by new report.</p>
FN-20	<p>Mortgage Accumulated Transaction Report</p> <p><u>Description:</u> Detailed year-to-date accounting information and transactions by mortgage.</p> <p><u>Retention:</u> 10 years after end of fiscal year.</p>
FN-21	<p>Mortgage History</p> <p><u>Description:</u> Detailed monthly accounting information by mortgage.</p> <p><u>Retention:</u> 7 years after end of fiscal year.</p>
FN-22	<p>Mortgage Journals</p> <p><u>Description:</u> Detailed system output from cash receipts, disbursements and adjustments to mortgages.</p> <p><u>Retention:</u> 2 years after end of fiscal year.</p>

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<p>FN-23</p>	<p>Investment Sales letters</p> <p><u>Description:</u> Letters authorizing the sale of stocks, bonds, and options.</p> <p><u>Retention:</u> 7 years after end of fiscal year.</p>
<p>FN-24</p>	<p>Daily Cash Worksheet</p> <p><u>Description:</u> Worksheets detailing all cash receipts and disbursements for a given day.</p> <p><u>Retention:</u> 7 years after the end of fiscal year.</p>
<p>FN-25</p>	<p>Long/Short Term Bond and Stock Records</p> <p><u>Description:</u> Documents of monthly end inventories and monthly transaction reports as well as purchase and sell tickets related to stock and bond investments.</p> <p><u>Retention:</u> 10 years after the end of fiscal year.</p>
<p>FN-26</p>	<p>Mortgage Pass-Thru Reports</p> <p><u>Description:</u> Monthly reports detailing the payments made, ending balances and other information concerning the system's investments in mortgage pass-thru bonds.</p> <p><u>Retention:</u> 7 years after the end of fiscal year.</p>
<p>FN-27</p>	<p>Securities Lending</p> <p><u>Description:</u> Daily detail and summary reports of security activity, as well as monthly income report and associated documents.</p> <p><u>Retention:</u> 7 years after the end of fiscal year.</p>

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<p>FN-28</p>	<p>Real Estate Investments</p> <p>Description: Commingled separate accounts (quarterly financial reports) monthly financial reports as well as monthly spreadsheets.</p> <p>Retention: 10 years after end of fiscal year, other purge, monthly spreadsheets after 7 years.</p>
<p>FN-29</p>	<p>Venture Capital and Investments</p> <p>Description: Quarterly financial reports related to venture capital activity and monthly reports from fund managers concerning international equities as well as monthly reports and reports from custodial bank reconciliation to custodian bank from manager.</p> <p>Retention: 10 years after end of fiscal year.</p>
<p>FN-30</p>	<p>Commission Recapture</p> <p>Description: Frank Russell Investment Company, fund manager and broker reports, worksheets, income reconciliation, monthly summary and compliance reports related to commission recapture.</p> <p>Retention: 7 years after end of fiscal year.</p>
<p>FN-31</p>	<p>Class Action Suits</p> <p>Description: Records related to class action suits that involve the agency joining other investors in suits against funds or companies.</p> <p>Retention: 7 years after end of fiscal year.</p>
<p>FN-32</p>	<p>Custodial Bank Reconciliation and Reports</p> <p>Description: Monthly reconciliation related to NYSTRS stock and</p>

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	<p>bond holdings to the custodial bank inventory, as well as detail reports of daily custodial activity, trade settlements, investment income, etc.</p> <p><u>Retention:</u> 7 years after end of fiscal year.</p>
FN-33	<p>Corporate Actions and Spin-off/Merger Sheets</p> <p><u>Description:</u> Instructions from fund managers on stock tenders/offers as well as information, data, and computations related to corporate spin-offs, mergers and other activities.</p> <p><u>Retention:</u> 7 years after end of fiscal year.</p>
FN-34	<p>Journals/Journal Entries and Ledgers</p> <p><u>Description:</u> Accounting journals, ledgers and trial balances, accounting entries (manual and system generated) and associated accounting/fiscal reports reflecting the status of appropriations/segregations, expenditures, disbursements and receipts.</p> <p><u>Retention:</u> 10 years after end of fiscal year.</p>
FN-35	<p>Loan Non-Cash Slips and Trial Balance</p> <p><u>Description:</u> Manual Adjustments to members' loans and report of loan balances by member.</p> <p><u>Retention:</u> 7 years after end of fiscal year.</p>
FN-36	<p>Warrants</p> <p><u>Description:</u> Schedules authorizing disbursements to specific payees.</p> <p><u>Retention:</u> 10 years after end of fiscal year.</p>

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<p>FN-37</p>	<p>Member Information System (MIS) Records</p> <p><u>Description:</u> Payments and adjustments detail output of salary, service and contributions, posted to members, including final posting and year-end interest credited trial balance.</p> <p><u>Retention:</u> 7 years after end of fiscal year.</p>
<p>FN-38</p>	<p>Cash and Loan Suspense Files</p> <p><u>Description:</u> Additions, deletions and listings of payments received from members, not yet credited to their member account and/or to their loan.</p> <p><u>Retention:</u> 7 years after end of fiscal year.</p>
<p>FN-39</p>	<p>Retiree Receivable</p> <p><u>Description:</u> Detail of receivable activity resulting from overpayments to retirees.</p> <p><u>Retention:</u> 7 years after end of fiscal year.</p>
<p>FN-40</p>	<p>Abandoned Accounts and Account 2515, 16, and 17</p> <p><u>Description:</u> Listings by member of monies abandoned, additions and deletions, as well as listings of uncashed checks, additions and deletions.</p> <p><u>Retention:</u> 10 years after end of fiscal year.</p>
<p>FN-41</p>	<p>Wage and Tax Statements (W-2's and 1099's)</p> <p><u>Retention:</u> 4 years after end of related tax year taxes paid.</p>

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<p>FN-42</p>	<p>Retired Member Information System Payroll Files</p> <p>Description: Retired payroll warrant back-up payrolls, total output for warrant verification, Medicare lists, NYSTRS payroll, list of retiree Medicare deductions, federal list from Social Security.</p> <p>Retention: 10 years after the end of fiscal year.</p>
<p>FN-43</p>	<p>Retired Member Payroll Adjustments, Tax Calculations and Backup</p> <p>Description: Adjustments to retirement payrolls, output of federal income tax calculated for retirement payrolls and backup for retirement payroll percentage payments.</p> <p>Retention: 7 years after end of fiscal year.</p>
<p>FN-44</p>	<p>Health Insurance Premiums (HIP) Reports</p> <p>Retention: 7 years after end of fiscal year.</p>
<p>FN-45</p>	<p>Union and Other Payroll Deductions/Adjustments</p> <p>Retention: 7 years after end of fiscal year.</p>
<p>FN-46</p>	<p>Payroll Operation Records</p> <p>Description: Input sheets, output totals for monthly retirement payroll direct deposit prenotes, input sheets/output totals of letters to direct deposit retirees notifying them of changes to net payment, form FIN-149 input sheets for retired payroll balance run, input sheets/output totals of retirement payroll merge jobs, output totals updating benefit payment history, retired payroll trial balance, totals of other deductions and federal taxes, other deduction compare-monthly reports showing change.</p>

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	<u>Retention:</u> 2 years after end of fiscal year.
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LEGAL

LG-01	Litigation Files <u>Description:</u> Legal Decision and all correspondence relevant to the particular case. Chronological record of history for the NYSTRS litigation. <u>Retention:</u> 10 years after case closure.
LG-02	Chronological Files <u>Description:</u> Dated record of correspondence sent from the Legal Department. <u>Retention:</u> 10 years after documents are superseded or obsolete.