

June 13, 2024



Jeffrey D. Kyle  
Clerk of the Court  
Texas Court of Appeals – 3<sup>rd</sup> Court of Appeals District  
209 W. 14<sup>th</sup> Street, Room 101  
Austin, TX 78701

Dear Mr. Kyle,

The 11th recertification of your agency's records retention schedule is approved for use as of **6/11/2024**, and it may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please ensure that all old copies of the schedule are superseded with this certified copy.

Lorenzo de Zavala  
State Archives and  
Library Building

1201 Brazos Street  
Austin, Texas  
78701

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

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

*Commission Chair*  
Martha Wong

*Members*

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

*Director and Librarian*  
Gloria Meraz

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

Each agency schedule must be reviewed, updated, and submitted for recertification according to a timeline established by the Texas State Library and Archives Commission. Your next recertification is scheduled for **June 2029**.

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

Raul Gonzalez  
512-463-6623  
[rgonzalez@tsl.texas.gov](mailto:rgonzalez@tsl.texas.gov)

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

Sincerely,

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

Craig Kelso  
Director and State Records Administrator

cc: Agency head

**TSLAC**

*Preserving yesterday  
Informing today  
Inspiring tomorrow*



STATE OF TEXAS
Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 223

Agency Name Third Court of Appeals

(Check one)

- Initial Certification - Form SLR 105
Recertification - Form SLR 105
Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
Records Management Officer

Signature

[Handwritten signature]

Name (Print or type) Jeffrey D. Kyle

Date February 26, 2024

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature

Not Required at This Time

Name (Print or type)

Date

Texas State Library and Archives Commission

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

Signature

[Handwritten signature]

Name (Print or type)

Gloria Mera

Date

6/11/24

Cert/Recert No.

R11

Amendment No.

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# CAUTION

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

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

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

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





# STATE OF TEXAS Records Retention Schedule

SLR 105  
Rev. 2021-07

### Retention Codes (field 7)

AC – See field 9 for specific records series definition  
 AV – Administratively valuable  
 CE – Calendar year end

FE – Fiscal year end  
 LA – Life of Asset  
 PM – Permanent  
 US – Until Superseded

### Archival Codes (Field 10)

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 E – Exempt from archival review and transfer

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					Years	Months	Days				
200	1.1.002	Audits	Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release of final audit findings.		The State Auditor's Office (SAO) retains any copies of its audits performed on Texas state agencies. See RSIN 5.4.018 and 5.4.019 for Audit Plan records.	
210	1.1.004	Legislative Appropriation Requests (LAR)	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Legislative Appropriation Requests must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(3)(A). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period.	
220	1.1.006	Complaint and Feedback Records	Complaints and other unsolicited feedback received by an agency from the public concerning the agency and records pertaining to the resolution of complaints.	AC	2			AC = Date of receipt, action taken, or final disposition of the complaint, whichever later.		CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of RSIN 1.1.048.	



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230	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal leadership, supervisory, managerial, executive, administrative, substantive, and other high-level correspondence in any media, including electronic communication, pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and RSIN 1.1.008 should be used only for correspondence that is not included in or directly related to another records series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by RSIN 1.1.004; a letter concerning an audit for that prescribed by RSIN 1.1.002, etc.	



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240	1.1.008	Correspondence - General	Non-administrative incoming/outgoing and internal correspondence, in any media, including electronic communication, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.		2					See comment to RSIN 1.1.007. See also RSIN 1.1.010.	
250	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
260	1.1.013	Calendars, Appointment, and Itinerary Records	Calendars, appointment books or programs and scheduling, or itinerary records maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE	1				R	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, agency heads, and board or commission members require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: A record of this type purchased with personal funds but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.	



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270	1.1.014	Legal Opinions and Advice	From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV					R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation, or opinions rendered for Public Information Act Requests. See RSIN 1.1.048, 1.1.020, and 1.1.021.  ARCHIVES NOTE: Opinions and advice that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation. See page ix of the State Records Retention Schedule for additional guidelines.	
280	1.1.020	Public Information Requests - Not Excepted	Includes all correspondence and documentation relating to requests for records that are furnished to the public under the Public Information Act (Chapter 552, Government Code). Also includes withdrawn requests.	AC	1			AC = Date request fulfilled or withdrawn.			



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					Years	Months	Days				
290	1.1.021	Public Information Requests -Excepted	Includes all correspondence and documentation relating to requests for records that are excepted under the Public Information Act (Chapter 552, Government Code), including records provided to the legislature under section 552.008.	AC	2			AC = Date of notification that records are exempt.			
300	1.1.023	Organization Charts	Charts or diagrams that show the structure of an agency and the relationships and relative ranks of its departments and job positions.	US					A	ARCHIVES NOTE: Only charts showing the overall arrangement and administrative structure of the state agency need to be transferred to the Archives and Information Services Division, Texas State Library and Archives Commission. Organizational charts showing division/department level detail are not considered archival.	
310	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with agency work.	AC	2			AC = End of event, until superseded, or obsolete.	R	ARCHIVES NOTE: Only speeches, papers, and presentations given by or on behalf of executive staff, board or commission members, division directors and program heads require archival review.	





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320	1.1.043	Training Materials	Instructional materials and other records developed by an agency associated with training the entities or non-personnel individuals it regulates or serves, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in external training programs.	AC	1			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN 3.3.030 for internal personnel training materials.	
330	1.1.048	Litigation Files	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC	1			AC = As applicable, decision of an agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation. See page ix of the State Record Retention Schedule for more information.	
340	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self-evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3						28 CFR 35.105(c).



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					Years	Months	Days				
350	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. See page xii of the State Record Retention Schedule for examples.	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should make certain records are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction signoffs (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).	
360	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1						



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370	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					See RSIN 1.1.068 for reports on agency performance measures. CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.	
380	1.1.065	Reports and Studies (Non-Fiscal) – Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						See RSIN 1.1.067 for reports produced from raw data. CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. See RSIN 1.1.064.	
390	1.1.067	Reports and Studies (Non-Fiscal)	Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				R	ARCHIVES NOTE: Reports are archival when they deal with significant aspects of the agency's programs. For agencies that have had an archival appraisal, separate this records series by each type of archival coding, A, R, or E. See page ix of the State Record Retention Schedule for more information.	



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					Years	Months	Days				
400	1.1.068	Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.		See RSIN 1.1.064 for documentation used to produce reports on agency performance measures.	
410	1.1.070	Agency Rules, Policies, and Procedures	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects. Includes working files and related documentation used in creating rules, policies, and procedures.	AC	3			AC = Until superseded, or termination of program, rules, policies, or procedures, whichever applicable.	R	ARCHIVES NOTE: Working files and related documentation used in creating the final rules, policies, and procedures, are not subject to archival requirement and may be disposed of at the expiration of the retention period.	
420	1.1	Case File Indexes		PM					A	Records may be maintained in an electronic storage format.	Tex. Gov't Code § 51.204(d)(3); Tex. Gov't Code § 51.205(a)
430	1.1	Minutes of the Court	Proceedings of the Court, except opinions and orders on motions.	PM					A	Judgments & Orders-Agency of origin retains permanent record copy. The archival requirement will be met by sending a copy to the State Archives. Records may be maintained in an electronic storage format.	Tex. Gov't Code § 51.204(d)(3); Tex. Gov't Code § 51.205(a)



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					Years	Months	Days				
440	1.1	Case Files, Civil Cases not successfully appealed to a higher court.		AC	6			AC = After final disposition of the case but not sooner than 90 days; "the clerk provides notice to the district or county clerk."	R	Records may be maintained in an electronic storage format.	Tex. Gov't Code § 51.204(d); Tex. Gov't Code § 51.205(a)
450	1.1	Case Files, Criminal (Sentence of 20 years or less)	Cases not successfully appealed to a higher court.	AC	25			AC = After final disposition of the case, where the sentence is "...20 years or less."	R	Records may be maintained in an electronic storage format.	Tex. Gov't Code § 51.204(e); Tex. Gov't Code § 51.205(a)
460	1.1	Case Files, Criminal (Sentence of more than 20 years)		PM					A	Records may be maintained in an electronic storage format.	Tex. Gov't Code § 51.204(e); Tex. Gov't Code § 51.205(a)
470	1.1	Exhibits, Civil		AC	3			AC = After final disposition of the case or at an earlier date if ordered by the court.		Records may be maintained in an electronic storage format.	Tex. Gov't Code § 51.204(b)(2); Tex. Gov't Code § 51.205(a)
480	1.1	Opinions		PM					A	CAUTION: Does not include legal opinions or advice rendered on a case in litigation or with regard to pending litigation. Records may be maintained in an electronic storage format.	Tex. Gov't Code § 51.204(d)(3); Tex. Gov't Code § 51.205(a)
490	1.1	Docket Sheets		PM					A	Records may be maintained in an electronic storage format.	Tex. Gov't Code § 51.204(d)(3); Tex. Gov't Code § 51.205(a)



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500	1.1	Motion Dockets		PM					A	Records may be maintained in an electronic storage format.	Tex Gov't Code § 51.204(d)(3); Tex. Gov't Code § 51.205(a)
510	1.1	Fee Books	Fees collected for cases on appeal pursuant to Texas Rules of Appellate Procedure 5.	FE	3						Tex. Gov't Code § 51.207(b), (c), as amended by Tex. S.B. 1534, 75th Leg.; Tex. R. App. P. Appendix.
520	1.2.001	Destruction Authorizations	Documents authorizing final disposition of records under a certified records retention schedule. Records may also include destruction authorizations (e.g., form RMD 102) approved by Texas State Library and Archives Commission.		3					CAUTION: If destruction authorizations are maintained as part of RSIN 1.2.010 (Records Disposition Logs), then longer retention period applies.	
530	1.2.005	Records Retention Schedule	A records retention schedule (i.e., form SLR 105) that identifies the records that are created and maintained by an agency, provides the minimum timeframes the records must be retained, and includes instructions for their disposition. This series may include working files and documentation of certification and approval by the Texas State Library and Archives Commission.	US						Original is retained for 50 years by the State and Local Records Management Division, Texas State Library and Archives Commission.	



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					Years	Months	Days				
540	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	Agency copy.	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
550	1.2.010	Records Disposition Logs	Logs or similar records listing records disposed of by an agency, which might include records series title, dates of records, and date of disposition.		10					CAUTION: Disposition can mean destroyed or transferred.	
560	1.2.006	Records Transmittal Forms	Forms used to track the transmittal of records to/from onsite and offsite storage areas or a transfer of physical custody.	AV							
570	1.2.012	Records Inventory	Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a records series.	US							
580	2.1.002	Master Files and Application Data	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications or computer programs.	AC				AC = Until electronic records are transferred to and made usable in a new system environment, or there are no electronic records being retained to meet an approved retention period established in this schedule that require the use of the system.		CAUTION: Records management officers must be certain before assigning the retention period of AC to agency master files and application data that the files do not fall under records series listed elsewhere.	



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					Years	Months	Days				
590	2.1.007	Computer Software Programs	Agency-developed automated software applications, operating system files, and associated processing files, including job control language, programs, applications, scripts, source code, etc.	AC				AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.
600	2.2.014	Internet Browser Files	A record of web pages visited during an internet session, including data files of user-specific information created by the webserver, that allows users to access previously visited pages more quickly or to generate a record of usage of a state-owned computer.	AV						The disposal of internet history records need not be documented through destruction authorizations (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (RSIN 1.2.014).	
610	2.2.016	Software Registrations, Warranties, and License Agreements	Records documenting the registration and licensing of a software application to activate the software for legal use by the end users of a state agency, along with warranties providing that the software will perform in accordance with functional specifications.	LA	3						





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620	3.1.001	Applications for Employment -- Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include ADA Accommodation Requests. See RSIN 3.1.042.	29 CFR 1602.31
630	3.1.002	Applications for Employment -- Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			AC = Termination of employment.			
640	3.1.011	Employee Benefits	Agency copies of information relating to the selection by employees of life, disability, health, vision, dental, and other types of insurance or benefits offered by the State of Texas to its employees.	AC				AC = Until superseded or termination of employment.		CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for RSIN 3.2.001.	
650	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.31
660	3.1.013a	Employment Contracts – 9/1/2015 and After	Includes a contract or agreement regarding the terms and conditions of employment of an individual and a contract with a vendor for temporary staffing services.	AC	7			AC = Expiration or termination of the contract according to its terms.			Tex. Gov't Code § 441.1855



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670	3.1.014	Employment Selection Records	Includes notes of interviews with candidates; questions asked of applicants; audio and videotapes of job interviews; driving record and previous injury checks; pre-employment physical examinations; and all other records that document the selection process, except for those noted in Remarks.	AC	2			AC = Date of the making of the record or the personnel action involved, whichever occurs later.		CAUTION: Does not include criminal history checks; see RSIN 3.1.026. Does not include drug screening test results; see RSIN 3.1.040a/b/c. Does not include pre-employment skills tests; see RSIN 3.3.027 and 3.3.028. Does not include pre-employment polygraph examinations; see RSIN 3.1.043.	29 CFR 1602.31
680	3.1.018	Grievance Records	Records relating to the review of employee grievances or complaints against personnel policies, working conditions, etc.	AC	2			AC = Final decision on the grievance.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor (DOL). See RSIN 1.1.048.	
690	3.1.019	Performance Appraisals	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.		2						29 CFR 1620.32(c).



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700	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance.	AC	5			AC = Termination of corrective action.		CAUTION: If, during the retention period of this records series, any part of this series is used to document and support personnel disciplinary action under RSIN 3.1.021, all documentation from this series used to support disciplinary action must be retained for the minimum retention period described by RSIN 3.1.021.	
710	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of employment.			



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720	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.		2						29 CFR 1602.31
730	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.			40 TAC 815.106(i).
740	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, certifications, licenses, transcripts, test scores, or similar records documenting the training, testing, certification, licensing, or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			
750	3.1.029	Employment Eligibility, Documentatio	Federal reporting form (Form I-9).	AC				AC = 3 years after date of hire or 1 year after termination of employment, whichever later.			8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
760	3.1.034	Resumes -- Unsolicited	Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV						See RSIN 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	



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770	3.1.041	Employee Acknowledgement and Agreement Forms	Agreements between employee and agency authorizing certain actions, including acknowledgement forms, telecommuting agreements, outside/secondary employment authorizations, or other documentation that show proof of receipt and awareness of and adherence to agency policies and procedures.	AC	2			AC = Until superseded, obsolete, or date of separation, as applicable.			
780	3.1.042	ADA Accommodation Requests	Employee or applicant requests for reasonable accommodation under the ADA (Americans with Disabilities Act).	AC	2			AC = For employees, termination of employment; for job applicants who were not selected, date of application.			29 CFR 1602.31.
790	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.			
800	3.2.002	Employee Earnings Records	Payroll records and registers documenting employee earnings, wages, and pay. This may include but is not limited to payroll input records, summary statements, payroll vouchers, payroll detail sheets, and payroll history.		4						40 TAC 815.106(i).



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810	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid, whichever is later.			26 CFR 31.6001-1(e)(2).
820	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).
830	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1(e)(2).
840	3.2.006	Wage Rate Tables	Records defining the wage or salary rate for each position in the agency expressed in dollars, grades, or step numbers.		2						29 CFR 516.6(a)(2).
850	3.2.007	Unemployment Compensation Records	Records and documentation relating to unemployment compensation claims, including reimbursement of funds	AC	5			AC = Resolution of the claim.			
860	3.2.008	Direct Deposit Application/Authorizations	Forms used to deposit employee's earnings into a specified personal account.	AC				AC = Until superseded, cancelled, or last payment deposited after termination of employment, whichever applicable.			
870	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.		4						
880	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	AC	1			AC = Until superseded or plan terminated.			29 CFR 1627.3(b)(2).



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890	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						
900	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment. Includes: name; social security number; exact dates of employment; last known address; and most recent public access authorization.	AC	75			AC = Termination of employment.		See RSIN 3.1.038.	
910	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
920	3.3.020	Work Schedules/Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.	AV							
930	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						
940	3.3.023	Reimbursable Activity Records	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE	3						
950	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3						



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960	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						
970	3.3.027	Aptitude and Skills Tests	Aptitude, competency, or skills tests and checklists required of job applicants or of current personnel to qualify for promotion or transfer, including validation records.	AC	2			AC = Until superseded or no longer used by agency.		CAUTION: One copy of each different master test (different in terms of either questions or administration procedures) should be retained for the period indicated.	29 CFR 1602.31
980	3.3.028	Aptitude and Skills Tests (Test Papers)	Completed aptitude, competency, or skills test papers and checklists of job applicants or of current personnel taking a test to qualify for promotion or transfer.		2						29 CFR 1602.31
990	3.3.030	Internal Training Administration Records	Records documenting the planning, development, implementation, administration, and evaluation of in-house training programs, including but not limited to training manuals, course registration, class rosters, sign-in sheets, syllabuses, course outlines, and similar training aids used in in-house training programs.	AC	2			AC = Close of training session, after training materials superseded, or termination of training program, as applicable.		See RSIN 1.1.043 for external training records. See RSIN 3.1.027 for individual employee training records. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	





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1000	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO (Equal Employment Opportunity) reports.		3						29 CFR 1602.32, 1602.48, and 1602.50.
1010	3.3.033	Recruitment Plans	Diversity and recruitment plans and related workforce analyses.		3						Texas Labor Code, 21.501 and 502.
1020	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances at end of fiscal year, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
1030	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
1040	3.4.004	Overtime Schedules and Authorizations	Records created to schedule time worked by employees outside of or in addition to their regular working hours, including approval authorizations.		2					CAUTION: Only includes overtime schedules and authorizations. See RSIN 3.4.006 for timekeeping records.	
1050	3.4.006	Time and Attendance Records	Records documenting individual employee's hours worked, including work schedules and documentation evidencing adherence to or deviation from normal hours for those employees working on fixed schedules.		4						40 TAC 815.106(i).



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1060	3.4.007	Time Off and/or Sick Leave Requests	Requests and authorizations for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), sick pool leave, and other types of authorized leave, and supporting documentation.	FE	3						Government Code, Section 661.152(d); 29 CFR 825.500(b).
1070	3.4.008	Sick Leave Pool Documentation	Records documenting number of hours transferred in and out of comprehensive sick leave pool.	FE	3						
1080	4.1.001	Accounts Payable Information	Claims; invoices; statements; copies of checks and purchase orders; expenditure authorizations; ledgers; encumbrance, purchase, general journal, expenditure, and special vouchers; and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other expenses.	FE	3						
1090	4.1.009	Accounts Receivable Information	Bill copies or stubs, statements, billing registers, account cards, deposit warrants, cash receipts, credit card receipts, receipts books, cash transfers, daily cash reports, reconciliations, general journal vouchers, special vouchers, and similar records that serve to document money owed to or received by a state agency and its collection or receipt.	FE	3						



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1100	4.5.002	Internal Fiscal Management Reports	Internal and external periodic fiscal management reports and associated worksheets, including federal financial reports, salary reports, HUB reports, investment performance reports, etc.	FE	5					CAUTION: This series does not include fiscal reports created to fulfill grant requirements. See RSIN 4.7.008.	
1110	4.5.003	Annual Financial Reports	Annual Financial Reports (AFR) required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Annual Financial Reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(a). Working files and related documentation used in creating the final plan are not subject to archival review and may be disposed of at the expiration of the retention period. CAUTION: If an agency does not produce a biennial or annual narrative report as described in RSIN 1.1.066, then the archival requirement is met by sending the required copies of this annual financial report to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	



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1120	4.5.007	USAS Reports – Daily/Monthly	Periodic reports compiled from information entered into the Uniform Statewide Accounting System (USAS).	AC				AC = Receipt and reconciliation of annual report.			
1130	4.5.009	USAS Reports -- Annual	Yearly report compiled from information entered into the Uniform Statewide Accounting System (USAS).	FE	3						
1140	4.7.001	Accounting Policies and Procedures Manual	Records documenting the internal and external procedural requirements with respect to the accounting department of a state agency.	US	3						
1150	4.7.003	Uncollectible Accounts	Records of accounts deemed uncollectible, including write-off	AC	3			AC = Date account deemed uncollectable.			
1160	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	4			AC = Until superseded, date of expiration, or termination of employee, whichever sooner.			
1170	4.8.001	Banking Records	Bank statements, credit card statements, cancelled checks, check registers, deposit slips, debit and credit notices, reconciliations, and other banking related records.	FE	3						
1180	4.9.001	Annual Operating Budgets	Required by the General Appropriations	FE	3						



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1190	5.1.001a	Contract Administration Files – 9/1/2015 and After	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide. Executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms.		See related RSIN 5.3.007a/b/c for bid documentation. See RSIN 5.2.028 for building construction contracts. See RSIN 5.1.017 for contract logs.	Tex. Gov't Code § 441.1855
1200	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						
1210	5.1.011	Photocopier and Telefax Usage Logs & Reports	Registers or logs of print copies and fax transmissions made by user or in total.	AV							
1220	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency, e.g., agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1						



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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
1230	5.1.018	Surveillance Videos	Surveillance videos of buildings, facilities, vehicles, or other state property.	AV						See RSIN 5.4.001 or 5.4.014 if video is needed for an accident investigation or RSIN 1.1.048 if the video is needed as evidence in litigation. The disposal of surveillance videos need not be documented through destruction signoffs (RSIN 1.2.001) or in records disposition logs (RSIN 1.2.010).	
1240	5.2.002	Building Construction Project Files	Project records related to planning, design, construction, conversion, or modernization of state facilities, structures, infrastructure, and systems, including feasibility, screening, and implementation studies; topographical and soil surveys and reports; as-builts; laboratory test reports; environmental impact statements; correspondence; successful and unsuccessful bid documentation and other related documentation.	AC	10			AC = Completion of project.	R	See RSIN 5.2.003a/b and 5.2.028 for further retention of completed building documentation. See RSIN 5.3.007a/b for additional bid documentation retention periods, including RSIN 5.3.007c for invalid bids that do not meet agency submission requirements. ARCHIVES NOTE: Archival review designation is for state-owned buildings only.	
1250	5.2.003a	Building Plans and Specifications – State Owned	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of state-owned facilities, structures, infrastructure, and systems.	LA					R	See RSIN 5.2.002 and 5.2.028.	



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### Retention Codes (field 7)

AC – See field 9 for specific records series definition  
 AV – Administratively valuable  
 CE – Calendar year end

FE – Fiscal year end  
 LA – Life of Asset  
 PM – Permanent  
 US – Until Superseded

### Archival Codes (Field 10)

A/I – Transfer to State/University Archivist  
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1260	5.2.006	Inventory and Property	Records documenting the inventorying,	FE	3					See RSIN 5.2.008 for the	
1270	5.2.008	Inspection, Repair, and Maintenance Records – Equipment	Equipment history file, which may include logbooks and requests for installation, moves, service, repair, etc.	LA	3					For service agreements or contracts related to equipment repairs and service, retain in	
1280	5.2.010	Equipment Manuals		LA							
1290	5.2.011	Equipment Warranties		AC	1			AC = Expiration of warranty			
1300	5.2.027	Space Utilization Reports	Reports summarizing efficiency of facility space utilization, which may include data on room usage, demand, allocation, and capacity.	AV							
1310	5.3.004	Shipping Information	Shipping information, including order acknowledgements, packing slips, and related documentation.	AV						CAUTION: Some shipping information may require longer retention period. State agencies must determine if longer retention period is required based on the type of materials shipped to or from their agency.	
1320	5.3.007a	Bid Documentation – 9/1/2015 and After	Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, awarded and unawarded bids, and bid tabulation /evaluations. Associated with a contract executed, renewed, or amended on or after September 1, 2015.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			Government Code, 441.1855.



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1330	5.3.007c	Bid Documentation – Invalid Bids	Invalid bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g., withdrawn, missed submission deadline, incomplete submission, etc.)	AC	2			AC = Date of notification of denial or date of withdrawal, as applicable.			
1340	5.3.010	Vendor Records/W-9	W-9 IRS Form used to request a taxpayer identification number (TIN) for reporting information to the Internal Revenue Service (IRS). This includes W-9 forms received by a state agency from vendors.	AC	3			AC = Date account is opened or date instrument purchased.			26 CFR 31.3406(h)-3(g).
1350	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							
1360	5.4.003	Safety, Drill, and Inspection Records	Fire, safety, emergency drill, alarm, and other inspection records of agency facilities and equipment, including orders issued by inspectors to correct deficiencies in compliance with any code or regulations.	AC	3			AC = Date of drill, alarm, inspection, or date of the correction of deficiency, whichever applicable.		CAUTION: Does not include inspection reports of building construction. See RSIN 5.2.028.	
1370	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		3						
1380	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever sooner.			





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1390	5.4.013	Continuity of Operations Plans (COOP)	Plans developed (per Texas Labor Code, 412.054) to mitigate the damage of potential events that could endanger an agency's ability to function. Includes disaster preparedness, response, and recovery plans.	US						See RSIN 5.4.017 for records related to responding or recovering from an emergency.	
1400	5.4.018	Annual Audit Plan	Includes working papers and agency risk assessment used to develop the plan, per Texas Internal Auditing Act requirement.	AC	7			AC = After final plan has been issued.		See RSIN 1.1.002 for individual Audit records not related to the development of the Audit Plan.	Government Code, 2102.013.
1410	5.4.019	Audit Peer Review – Working Papers	Documents collected or generated as part of the process of reviewing other state agency internal audit programs. Includes but is not limited to: self-assessments, worksheets, surveys or questionnaires, evaluations, and other documents as described in the State Agency Internal Audit Forum (SAIAF) Peer Review Manual.	AC	1			AC = After final report has been issued.		See RSIN 1.1.002 for individual Audit records not related to the peer review of an Audit Plan.	Government Code, 2102.007(a)(5).
1420	5.5.002	Telephone Activity Records	Telephone logs created for internal documentation purposes; station activity reports of internal listings of incoming/outgoing telephone activity to individual telephone stations; operator call transfers; summary detail reports; and system activity reports of internal listings of all incoming/outgoing agency telephone activity.	AV						See RSIN 4.1.001 for telephone bills.	



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1430	5.6.009	Parking Permits or Assignments	Records documenting issuance of parking permits and assignments.	US						See RSIN 4.1.009 for payment of permit fees.	