



March 20, 2012

Mr. Keith Hottle
Clerk of the Court
Texas Court of Appeals - 04th Court of Appeals District
300 Dolorosa, #3200
San Antonio, TX 78205-3037

RE: Texas Court of Appeals - 04th Court of Appeals District
Retention schedule approved for use.

State and Local
Records Management

Dear Mr. Hottle:

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

Enclosed is a copy of your recertified records retention schedule. Please ensure all old copies of the schedule are superseded with this recertified copy.

4400 Shoal Creek Blvd.
Austin, Texas
78756

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

www.tsl.state.tx.us

During a certification period, state regulations (13 TAC §6.4) also require 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, contact the government information analyst assigned to your agency.

Commission Chairman
Sandra J. Pickett

Your efforts in maintaining an up-to-date 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. Your schedule will be due for recertification on the last working day of March 2015. If you have any questions, call the information analyst assigned to your agency, Angela Ossar, at 512-463-6623.

Members
Sharon T. Carr
Martha Doty Freeman
Larry G. Holt
Wm. Scott McAfee
Sally Reynolds
Michael C. Waters

Director and Librarian
Peggy D. Rudd

Assistant State Librarian
Edward Seidenberg

Sincerely,

Sarah Jacobson
Manager, Records Management Assistance

*Making
information
work
for all
Texans*

Enclosure
cc: State Auditor, State Archivist
cc: (without enclosure) Catherine Stone

R01-224/224



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 224
Agency Name Fourth Court of Appeals - San Antonio

(Check one)

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

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

(Check one)

- Agency Head
X Records Management Officer

Signature Keith E. Hottle
Name (Print or type) Clerk of the Court
Date January 3, 2011

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature
Name (Print or type)
Date
Not Required at This Time

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

Signature Peggy D. Rudd
Name (Print or type) Peggy D. Rudd
Date 3/15/12

Recertification No. 5th Amendment No.

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 1 of 32

2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

Records Series Item No.	Agency Item No.	Record Series Title	Agency	Storage	Total	Archival	Remarks	106 No.	TSLAC ONLY Amend. No.
		Category I: Administration Records Section 1.1 - General					Judgments and Opinions		
1.1	5	Minutes of the Court Proceedings of the Court, except opinions and orders on motions.	PM		PM	A	Tex. Gov't Code, Section 51.204 (d) (3)		
1.1.002	11	Audits Audits and reviews performed by an agency on external entities, on the agency by other entities, or on the agency by internal auditors.	AC+7		AC+7		AC = Publication or release of final audit findings. The record copy of any audit performed by the State Auditor's Office is retained by that agency.		
1.1.004	2	Legislative Appropriation Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency. NOTE: Only copies of supporting documentation submitted to the LBB are archival.	AC + 6		AC + 6	A	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		

Retention Codes (Field 7) AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded	Archival Codes (Field 8) A – Transfer to State Archives R – Review by State Archivist
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Records Retention Schedule

SLR 105
 Form SLR 105C must accompany this form.

1. Page **2** of **32**

2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

1.1.007	3	Correspondence, Administrative Incoming/outgoing and internal correspondence, in any format, 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.	3		3	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 item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series in this schedule. For example, a memoranda that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004. SEE ALSO item 1.1.011.		
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Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	R – Review by State Archivist
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded		



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Records Retention Schedule

SLR 105
 Form SLR 105C must accompany this form.

1. Page **3** of **32**

2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
1.1.008	4	Correspondence – General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	1		1		SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		
1.1.010	10	Directives Any document that officially initiates rescinds or amends general office procedures.	US+1		US+1				

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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



Texas
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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **4** of **32**

2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

1.1.013	80	Desk Calendars/Appointment Books Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE + 1		CE + 1	R	ARCHIVES NOTE: Only the calendars, appointment, and itinerary records 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: 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.		
1.1.014	81	Legal Opinions and Advice From agency legal counsel or the Attorney General, including any requests eliciting the opinions.	AV		AV	R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	A – Transfer to State Archives R – Review by State Archivist
CE – Calendar Year End FE – Fiscal Year End	
LA – Life of Asset MO – Months	
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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **5** of **32**

2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

1.1.020	82	Public Information Requests – Not Exempted 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).	AC + 1		AC + 1		AC = Date request fulfilled.		
1.1.021	83	Public Information Requests – Exempted Includes all correspondence and documentation relating to requests that are exempt under the Public Information Act (Chapter 552, Government Code).	AC + 2		AC + 2		AC = Date of notice that records are exempt.		
1.1.023	84	Organization Charts	US		US	A			
1.1.043	9	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US + 1		US + 1				
1.1.055	13	Strategic Plans Information resources and operational strategic plans prepared in accordance with Section 2054.095 Govt. Code.	AC+6		AC+6	A	AC = September 1 of odd-numbered calendar years. The archival requirement is met by sending the required copies of the plans to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded	A – Transfer to State Archives R – Review by State Archivist



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Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page **6** of **32**

2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			
1.1.056	14	ADA (Americans with Disability Act) Documentation Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.	3		3		28 CFR 35.105(c)		

Retention Codes (<i>Field 7</i>)						Archival Codes (<i>Field 8</i>)				
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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **7** of **32**

2. Agency Code		224		3. Agency Name							FOURTH COURT OF APPEALS – SAN ANTONIO		
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
					Agency	Storage	Total	9. Remarks					

1.1.057	8	<p>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.</p> <p>Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; telephone message notifications; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.</p>	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they 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.</p> <p>The disposal of transitory information need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).</p>		
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Retention Codes (Field 7)						Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	AV – Administrative Value	CE – Calendar Year End	FE – Fiscal Year End	LA – Life of Asset	MO – Months	PM – Permanent	US – Until Superseded	A – Transfer to State Archives	R – Review by State Archivist



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Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page **8** of **32**

2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1	15a	a. Case Files – Civil	AC+6		AC+6	R	Tex. Gov't Code, §51.204(d); SB469 AC=After Mandate Issued Records may be maintained in an electronic storage format. Tex. Gov't Code, Section 51.205(a)		
1.1	15b	b. Case Files – Criminal & Juvenile (Defendant's sentence is 20 years or less)	AC+25		AC+25	R	Texas Gov't Code 51.204 AC=After the final disposition of the case. Records may be maintained in an electronic storage format. Tex. Gov't Code, Section 51.205(a)		
1.1	15c	c. Case Files – Criminal & Juvenile (Defendant's sentence is greater than 20 years)	PM		PM	A	Texas Gov't Code 51.204 Records may be maintained in an electronic storage format. Tex. Gov't Code, Section 51.205(a)		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	R – Review by State Archivist
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded		



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **9** of **32**

2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

1.1	15d.	d. Exhibits	AC+3		AC+3		Tex. Gov't Code, Section 51.204(d) (3) AC=After final disposition of the case or at an earlier date if ordered by the court. Exhibits submitted to the court by a party may be withdrawn by that party or the party's attorney of record and exhibits on file with the court will be destroyed three years 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, Section 51.205(a)		
1.1	16	Opinions	PM		PM	A	Tex. Gov't Code, Section 51.204(d) (3) Records may be maintained in an electronic storage format. Tex. Gov't Code, Section 51.205(a)		

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset
MO – Months

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

A – Transfer to State Archives
R – Review by State Archivist



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **10** of **32**

2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

1.1	17	Docket Sheets	PM		PM	A	Tex. Gov't Code, Section 51.204(d) (3) Records may be maintained in an electronic storage format. Tex. Gov't Code, Section 51.205(a)		
1.1	18	Motion Dockets	PM		PM	A	Tex. Gov't Code, Section 51.204(d) (3) Records may be maintained in an electronic storage format. Tex. Gov't Code, Section 51.205(a)		
1.1	19	Indexes to Cases – Civil and Criminal	PM		PM	A	Tex. Gov't Code, Section 51.204(d) (3) Records may be maintained in an electronic storage format. Tex Gov't Code, Section 51.205(a)		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
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Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

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2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

1.1.064	85	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		FE + 3		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.		
1.1.066	87	Reports – Biennial or Annual Agency (Narrative) Biennial Narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC+6		AC+6	A	AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		

Retention Codes (Field 7)						Archival Codes (Field 8)				
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives		AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist



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Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page **12** of **32**

2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

1.1.067	7	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 noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3		3	R			
1.1.068	12	Reports – Reports on Performance Measures Quarterly and annual reports on agency performance measures submitted to the executive and legislative budget offices.	AC+6		AC+6		AC = September 1 of odd-numbered calendar years.		
1.1.069	86	Reports – Activity Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities.	1		1		CAUTION: See item 1.1.064		

Retention Codes (<i>Field 7</i>)	Archival Codes (<i>Field 8</i>)
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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page **13** of **32**

2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

1.1.070	75	Agency Rules, Policies, and Procedures – Final 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.	AC+3		AC+3	R	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Agency Rules, Policies, and Procedures – Working Files, 1.1.071.		
1.1.071	76	Agency Rules, Policies, and Procedures – Working Files Working Files used in the development of 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.	AC+3		AC+3	R	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Records Series Item Number 1.1.070.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
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1.2.005	20	Section 1.2 Records Management Records Retention Schedule (SLR 105) Agency copy. Formerly RMD 105. Includes documentation of certification and approval – forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US		US		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
1.2.010	21	Records Disposition Logs Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, TX State Library, showing records series title, date of records, and date destroyed or transferred.	10		10		Records may be maintained in an electronic storage format. Tex. Gov't Code, section 51.205(a)		
2.1	22	Category 2: Electronic Data Processing Records Section 2.1 – Automated Applications Accounting Systems (System Programs)	US		US		The Comptroller creates our automated accounting programming (USAS, USPS, SPA) and keeps us advised as to all updates.		
2.1	23	Payroll System (System Programs)	US		US				

Retention Codes (Field 7)

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Archival Codes (Field 8)

A – Transfer to State Archives
 R – Review by State Archivist



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SLR 105
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2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
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2.1	24	Case Management System (System Programs)	US		US	The Office of Court Administration creates our case management system and keeps us advised as to all updates.		
2.1.002	88	Master Files Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records.	AC		AC	AC = Completion of 3 rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. CAUTION: RMO must be certain before assigning the retention period of AC to agency automated master files that the files do not fall under records series listed elsewhere.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
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			Agency	Storage	Total	9. Remarks			

2.1.007	89	Software Programs Automated software applications and operating system files including job control language, program/listing source code, etc.	AC		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. 13 TAC 6.94. CAUTION: If an electronic record is scheduled for permanent retention, software needed for access to the record must also be retained permanently.		
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Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	



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2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

2.1.008	90	Hardware Documentation Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC		AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94. CAUTION: If an electronic record is scheduled for permanent retention, hardware documentation needed for access to the record must also be retained permanently.		
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Retention Codes (Field 7)				Archival Codes (Field 8)			
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives			
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist			



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2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

2.1.009	91	Technical Documentation Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts, program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modification to computer programs, and data documentation necessary to access, retrieve, manipulate and interpret data in an automated system such as a 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.	AC		AC	AC = Until electronic records are transferred to and made usable in a new hardware or software environment or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read. 13 TAC 6.94 CAUTION: If an electronic record is scheduled for permanent retention, technical documentation needed for access to the record must also be retained permanently.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded	A – Transfer to State Archives R – Review by State Archivist



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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
3.1.001	25	Category 3: Personnel Records Section 3.1 - Employee Application for Employment – Not Hired Applications, resumes, transcripts, letters of references, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	2		2		29 CFR 1602.31		
3.1.002	26	Application for Employment – Hired	AC+5		AC+5		AC = Termination of Employment		
3.1.011	28	Employee Insurance Records Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC		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 item number 3.2.001.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded	A – Transfer to State Archives R – Review by State Archivist



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2. Agency Code 224		3. Agency Name FOURTH COURT OF APPEALS – SAN ANTONIO							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

3.1.012	29	Employment Opportunity Announcements Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2		2		29 CFR 1602.31		
3.1.014	25A	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 and all other records that document the selection process.	2		2		29 CFR 1602.31 CAUTION: Does not include criminal history checks. SEE item number 3.1.026		
3.1.018	111	Grievance Records Records relating to the review of employee grievances against personnel policies, working conditions, etc.	AC+2		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.		
3.1.019	59	Performance Appraisals	2		2		29 CFR 1620.32(c).		

Retention Codes (Field 7)	Archival Codes (Field 8)
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

3.1.022	92	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		2		29 CFR 1602.31		
3.1.023	45	Position/Job Description Position/Job Description	AC+4		AC+4		40 TAC 815.106(i) AC=Until superseded or job eliminated.		
3.1.026	30	Criminal History Checks Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC		AC		AC = The criminal history record has served the immediate purpose for which it was obtained. CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks			

3.1.029	32	Employment Eligibility, Documentation or Verification of Federal Reporting form (INS I-9).	AC+1		AC+1	AC = Termination of employment CAUTION: Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later Agencies should make certain that the INS I-9 forms for employees who terminate from any agency less than 3 years from date of hire are kept for the 3 year retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).		
3.1.031	43	Employee Benefits – Other than Insurance Agency copies of information relating to the selection of available benefit options other than insurance.	AC+2		AC+2	AC = Until superseded or termination of employment CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total				

3.1.034	33	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		AV	See item 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		
3.1.035	31	Performance Bonds Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency.	AC+4		AC+4	AC = Expiration or termination of the bond according to its terms. CAUTION: Does not include construction or architectural surety bonds.		
3.2.001	34	Section 3.2 – Payroll Employee Deduction Authorization	AC+4		AC+4	AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		
3.2.002	35	Employee Earnings Records	4		4	40 TAC 815.106(i)		
3.2.003	36	Federal Tax Records Includes 1099, W2, FICA, and other tax records.	AC+4		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)		
3.2.004	37	Income Adjustment Authorizations Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2		2	29 CFR 516.6(c)		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks			

3.2.005	38	W-4 Forms Employer's copy of "Employee's Withholding Exemption Certificate."	AC+4		AC+4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001 – 1(e)(2).		
3.2.006	39	Wage Rate Tables	2		2	29 CFR 516.6(a)(2)		
3.2.008	93	Direct Deposit Application/Authorizations	US		US			
3.2.009	40	State Deferred Compensation Records	AC+5		AC+5	AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas.		
3.2.010	41	Human Resource Information System (HRIS) Reports Includes supporting documentation	AC+4		AC+4	AC = Termination of Employment		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks			

3.3.004	42	Section 3.3 – Personnel Administration	US+1	US+1	29 CFR 1627.3(b)(2)		
		Benefit Plans Employee benefit plans such as pension, life, health and disability insurance, deferred compensation, etc., including amendments.					
		Labor Statistics Reports Reports providing statistical information on labor force.	3	3			
		Former Employee Verification Records Minimum information needed to verify employment, includes name, social security number, exact dates of employment, and last known address and most recent public access option form.	AC+75	AC+75	AC = Termination of employment SEE item number 3.1.038.		
		Texas Workforce Commission Reports Reports to the agency from TWC or its predecessor pertaining to employees.	3	3			
		Reimbursable Activities, Requests and Authorizations to Engage in 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	FE+3			

Retention Codes (Field 7) AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded	Archival Codes (Field 8) A – Transfer to State Archives R – Review by State Archivist
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			Agency	Storage	Total	9. Remarks			

3.3.024	96	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		US+3			
3.3.026	46	Agency Staffing Reports (FTE report) 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, analysis of turnover rates and seasonality of employment, etc.	US+3		US+3			
3.3.031	27	EEO Reports and Supporting Documentation Includes documentation used to complete EEO reports.	3		3		29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.	
3.4.002	97	Section 3.4 – Time and Leave Leave Status Reports Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE+3		FE+3			
3.4.004	58	Overtime Authorizations	2		2			
3.4.006	48	Time Cards and Time Sheets	4		4		40 TAC 815.106(i)	

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
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			Agency	Storage	Total	9. Remarks			

3.4.007	49	Time Off and/or Sick Leave Requests	FE+3		FE+3			
3.4.008	50	Sick Leave Pool Documentation Requests submitted, approvals, number of hours transferred in and out, etc.	FE+3		FE+3			
		Category 4: Fiscal Records Section 4.1 – Worksheets, Detail Information on Financial Event or Transaction						
4.1.001	98	Accounts Payable Information	FE+3		FE+3			
4.1.003	51	Cancelled Check/Stubs/Warrants/Drafts	FE+3		FE+3			
4.1.005	60	Inventory and Other Cost Files	FE+3		FE+3			
		Section 4.2 – Documents of Original Entry						
4.2.001	52	Cash Deposit Vouchers (Cash deposit slips)	FE+3		FE+3			
4.2.003	53	Daily Cash Receipts Logs	FE+3		FE+3			
4.2.005	54	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE+3		FE+3			
4.2.006	99	General Journal Vouchers	FE+3		FE+3			
4.2.007	100	Expenditure Vouchers Travel, payroll, etc.	FE+3		FE+3			

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks			

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
4.3	56	Category 4.3: Journals or Registers							
		Fee Books (Fees collected pursuant to Tex. R. App. P. 5)	FE+3		FE+3				
4.3.002	101	Receipts Journals or Registers	FE+3		FE+3				
4.3.003	102	Expenditures Journals or Registers	FE+3		FE+3				
		Section 4.4 – Ledgers							
4.4.001	57	General and Subsidiary Ledgers	FE+3		FE+3				
4.4.002	65	Accounts Receivable Ledgers	FE+3		FE+3				
4.4.003	68	Accounts Payable Ledgers	FE+3		FE+3				
4.5.001	69	Worksheets for Preparing Fiscal Reports	FE+3		FE+3				
		Section 4.5 – Reports							
4.5.002	61	Internal Fiscal Management Reports Includes agency monthly budget reports	FE+3		FE+3				

Retention Codes (Field 7)				Archival Codes (Field 8)	
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4.5.003	62	Agency Financial Reports Required by the General Appropriations Act (100 Day Report)	AC+6		AC+6	A	AC = September 1 of odd-numbered calendar years. CAUTION: If an agency does not produce a biennial or annual narrative report as described in item Number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
4.5.006	103	Annual Operating Budgets Required by the General Appropriations Act	FE+3		FE+3				
4.5.007	77	USAS Reports- Daily	AC		AC		AC = Receipt and reconciliation of monthly report.		
4.5.008	78	USAS Reports – Monthly	AC		AC		AC = Receipt and reconciliation of annual report.		
4.5.009	79	USAS Reports – Annual	FE+3		FE+3				

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks			

4.6.001	63	Section 4.6 – Documents Showing Compliance with System of Internal Control	FE+3	FE+3				
		Balancing Records						
4.6.002	104	Reconciliations	FE+3	FE+3				
		Section 4.7 – Other Fiscal						
4.7.001	105	Accounting Policies and Procedures Manual	US+3	US+3				
4.7.002	64	Bank Statements	FE+3	FE+3				
4.7.004	106	Capital Asset Records	LA+3	LA+3				
4.7.011	55	Texas Facilities Commission (TFC) Charge or bill statements received by agencies from the TFC for services provided.	FE+3	FE+3				
4.7.012	113	Signature Authorizations Signature cards or similar records establishing authority of any agency employee to initiate or authorize financial transactions on behalf of an agency.	US+FE +3	US+FE +3				

Retention Codes (Field 7) AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End	Archival Codes (Field 8) A – Transfer to State Archives R – Review by State Archivist
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			Agency	Storage	Total	9. Remarks			

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
		Category 5: Support Services Records Section 5.1 – General							
5.1.001	66	Contracts and Leases Contracts, leases and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publications of calls for bids, accepted and rejected bids, performance bonds, contracts, purchase orders, inspection reports and correspondence.	AC+4		AC+4		AC = Expiration or termination of the instrument according to its terms.		
5.1.004	1	Mail and Telecommunications Listings Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US		US				
5.1.005	67	Postage Records Records and reports of postage expenses, including postal meter usage.	FE+3		FE+3				
5.1.012	107	Charge Schedules/Price Lists Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US+3		US+3				

Retention Codes (Field 7) AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded	Archival Codes (Field 8) A – Transfer to State Archives R – Review by State Archivist
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			Agency	Storage	Total	9. Remarks			

Records Series Item No.	Agency Item No.	Record Series Title	Agency	Storage	Total	Archival	Remarks	106 No.	TSLAC ONLY Amend. No.
5.2.003	108	Section 5.2 – Facility Management Building Plans and Specifications Includes architectural and engineering drawings, profiles and blueprints.	LA		LA	R	ARCHIVES NOTE: Archival review designation is for state-owned buildings only.		
5.2.008	70	Equipment History File, Equipment Service Agreements Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Include requests for installation, moves, services, etc. and service/repair logbooks, etc.	LA+3		LA+3				
5.2.009	71	Equipment Inventory Detail Report Forms Updates agency position of the inventory listing and adds, changes, transfers or deletes items from inventory.	FE+3		FE+3				
5.2.010	109	Equipment Manuals	LA		LA				
5.2.011	110	Equipment Warranties	AC+1		AC+1		AC = Expiration of warranty.		
5.2.014	72	Inventory – Annual Physical Property, equipment, supply verification	FE+3		FE+3				
5.2.017	73	Lost and Stolen Property Reports	FE+3		FE+3				
5.2.021	74	Surplus Property Sale Reports	FE+3		FE+3				

Retention Codes (Field 7)

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Archival Codes (Field 8)

A – Transfer to State Archives
R – Review by State Archivist