

June 28, 2023



Michael A. Cruz  
Clerk of the Court  
Texas Court of Appeals – 4<sup>th</sup> Court of Appeals District – 224  
300 Dolorosa St. Suite 3200  
Austin, Texas 78205

Dear Mr. Cruz,

The 10th recertification of your agency's records retention schedule is approved for use as of **6/21/2023**, 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 Please ensure that all old copies of the schedule are superseded with this certified copy.

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 2028**.

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

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)

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**TSLAC**

*Preserving yesterday  
Informing today  
Inspiring tomorrow*

SLR 105C

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



TEXAS STATE  
**LIBRARY  
ARCHIVES**  
COMMISSION

STATE OF TEXAS

**Records Retention Schedule Certification**

**Section 1. Agency Information**

*(Submitting agencies complete this section only)*

Agency Code 224

Agency Name Fourth 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

Name (Print or type) Michael A. Cruz

Date 11/9/2022

**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)*

**Not Required at This Time**

Signature \_\_\_\_\_

Name (Print or type) \_\_\_\_\_

Date \_\_\_\_\_

**Texas State Library and Archives Commission**

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

Signature

Name (Print or type) Gloria Meroz

Date 6-21-2023

Cert/Recert No. 10 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 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)**

A/I – Transfer to State/University Archivist  
 R/O – Review by State/University Archivist  
 E – Exempt from archival review and transfer

1. Agency Code: 224		2. Agency Name: Texas Court of Appeals - 04th Court of Appeals District									
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				
		<b>Section 1.1 - General</b>	<b>Category I: Administration Records</b>								
5	1.1	General Minutes of the Court	Proceedings of the Court, except opinions and orders on motions.	PM					A		Tex. Gov't Code, Section 51.204 (d) (3)
11	1.1.002	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= Publication or release of final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	
2	1.1.004	Legislative Appropriations Requests	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 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. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.	



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					Years	Months	Days				
3	1.1.007	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.		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 record series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another record 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 item number 1.1.004; a letter concerning an audit that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.	



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4	1.1.008	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.		2					See comment to item number 1.1.007 SEE ALSO item number 1.1.010.	
10	1.1.010	Directives	Any document that officially initiates rescinds or amends general office procedures.	US	1						
80	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	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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81	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 for additional guidelines.	
82	1.1.020	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 = Date request fulfilled.			
83	1.1.021	Public Information Requests - Exempted	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act (Chapter 552, Government Code).	AC	2			AC= Date of notice that records are exempt.			



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					Years	Months	Days				
84	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.	
115	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.	
9	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. CAUTION: Does not include hazardous material training records. See RSIN 5.4.007.	





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114	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 <a href="#">page ix</a> on the State Records Retention Schedule for more information.	
13	1.1.055	Strategic Plans	Operational strategic plans, which include descriptions of information resources programs, prepared in accordance with Government Code, 2054.095 and 2056.002. Includes working files and related documentation used in creating the final plan.	AC	6			AC= September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of Strategic Plans must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3(a)(2)(C). 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.	
14	1.1.056	ADA (Americans with Disability 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				
8	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. 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.	AC				AC=Purpose of record has been fulfilled.		CAUTION: Records management officers should use caution in assigning this record 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. The disposal of transitory information need not be documented through destruction signoffs (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)	
158	1.1.058	Meetings Agendas and Minutes of Open	There is a monthly judges' meeting that is confidential and its records are exempt from public disclosure by Texas Rule of Judicial Administration 12.	PM					A	Records may be maintained in electronic storage format.	Texas Rule of Judicial Administration 12



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					Years	Months	Days				
159	1.1.062	Meetings Supporting Documentation	There is a monthly judges' meeting that is confidential and its records are exempt from public disclosure by Texas Rule of Judicial Administration 12.	PM					A	Records may be maintained in electronic storage format.	Texas Rule of Judicial Administration 12
15a	1.1	a. Case Files - Civil	All filings for civil appeals from notice of appeals to issuance of mandate by court.	AC	6			AC= After Mandate Issued	R	Records may be maintained in an electronic storage format.	Texas Gov't Code 51.204 (d); SB469; Tex. Gov't Code, Section 51.205(a)
15b	1.1	b. Case Files - Criminal & Juvenile	(Defendant's sentence is 20 years or less)	AC	25			AC= After the final disposition of the case.	R	Records may be maintained in an electronic storage format.	Texas Gov't Code 51.204; Tex. Gov't Code, Section 51.205(a)
15c	1.1	c. Case Files - Criminal & Juvenile	(Defendant's sentence is greater than 20 years)	PM					A	Records may be maintained in an electronic storage format.	Tex. Gov't Code, Section 51.204; Tex. Gov't Code, Section 51.205(a)
15d	1.1	d. Exhibits	All documents filed separately or in conjunction with briefs, per the Texas Rules of Appellate Procedure.	AC	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 51.204(d) (3); Tex. Gov't Code, Section 51.205(a)



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					Years	Months	Days				
16	1.1	Opinions	Opinions are issued for each case, civil and criminal, at the end of the intermediate appellate process.	PM					A	Records may be maintained in an electronic storage format.	Tex. Gov't Code, Section 51.204(d) (3); Tex. Gov't Code, Section 51.205(a)
17	1.1	Docket Sheets	Docket Sheets are kept for every case, civil and criminal, and permanently available online or in archival records.	PM					A	Records may be maintained in an electronic storage format.	Tex. Gov't Code, Section 51.204(d) (3); Tex. Gov't Code, Section 51.205(a)
18	1.1	Motion Dockets	Motion dockets are part of the main docket sheets, kept permanently by the Court.	PM					A	Records may be maintained in an electronic storage format.	Tex. Gov't Code, Section 51.204(d) (3); Tex. Gov't Code, Section 51.205(a)
19	1.1	Indexes to Cases - Civil and Criminal	Indexes are part of the main docket sheets, kept permanently by the Court.	PM					A	Records may be maintained in an electronic storage format.	Tex. Gov't Code, Section 51.204(d) (3); Tex. Gov't Code, Section 51.205(a)
85	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 <u>1.1.068</u> 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.	



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87	1.1.066	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= September 1 of odd-numbered calendar years.		ARCHIVES NOTE: The final version of these agency reports must be submitted to the Texas State Publications Depository Program per 13 TAC 3.3. The requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Working files and related documentation used in creating the final report may be disposed of at the expiration of the retention period.	
7	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 noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.		3				R	See RSIN <a href="#">1.1.065</a> for raw data used to produce reports. 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 for more information.	



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					Years	Months	Days				
12	1.1.068	Reports - Reports on Performance Measures	Quarterly and annual reports on agency performance measures submitted to the executive and legislative offices.	AC	6			AC= September 1 of odd-numbered calendar years.		See RSIN <u>1.1.064</u> for documentation used to produce reports on agency performance measures.	
86	1.1.069	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					CAUTION: If reports are used to document performance measures, see RSIN <u>1.1.064</u> .	
75	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.	
		<b>Section 1.2 Records Management</b>									
116	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.	FE	3					CAUTION: If destruction authorizations are maintained as part of RSIN 1.2.010 (Records Disposition Logs), then longer retention period applies.	



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117	1.2.003	Forms History and Maintenance	Master versions of all forms used internally and externally by the agency, including subsequent revisions to an agency form or any associated design or design modification requests.	AC	2			AC = Until superseded or use of form is discontinued.			
20	1.2.005	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						Original is maintained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
118	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							
21	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.	
119	1.2.012	Records Inventories	Worksheets or working papers used to capture records inventory information, including location tracking and to document existence and requirements of a records series.	US							
120	1.2.014	Records Management Policies and Procedures	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1						



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					Years	Months	Days				
		<b>Section 2.1 Automated Applications</b>	<b>Category 2: Information Technology Records</b>								
22	2.1	Accounting Systems (System Programs)	Copies of comptroller records are kept at the agency level for reconciliation and expenditure tracking.	US						The comptroller creates our automated accounting programming (USAS, USPS, SPA, CAPPs) and keeps us advised as to all updates.	
23	2.1	Payroll System (System Programs)	Copies of payroll records are kept at the agency level for reconciliation and expenditure tracking.	US						The comptroller controls the payroll system through which all state agencies produce payroll (USAS, USPS, SPA, CAPPs).	
24	2.1	Case Management System (System Programs)	The case management system for all Texas Courts is TAMES, which is controlled by the Office of Court administration.	US						The Office of Court Administration creates our case management system and keeps us advised as to all updates.	
88	2.1.002	Master Files and Application Data	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records and associated processing files. 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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89	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 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.
90	2.1.008	Computer Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, equipment control systems, and associated processing files.	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.		CAUTION: Hardware needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94







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25A	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 <u>3.1.040a/b/c</u> . Does not include pre-employments skills tests; see RSIN <u>3.3.027</u> and <u>3.3.028</u> . Does not include pre-employment polygraph examinations; see <u>RSIN 3.1.043</u> .	29 CFR 1602.31
111	3.1.018	Grievance Records	Records relating to the review of employee grievances 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	
59	3.1.019	Performance Appraisals	Job evaluations, performance appraisals, or other similar documents used to evaluate the performance of an employee.		2						29 CFR 1602.32 (c)



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123	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.	
124	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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92	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
45	3.1.023	Position/Job Description	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or termination of employment.			40 TAC 815.106(i)
30	3.1.026	Criminal History Checks	Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).	AC				AC = 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.	
125	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.			
32	3.1.029	Employment Eligibility, Documentation	Federal reporting form (Form I-9).	AC	3			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).



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33	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 <u>3.1.014</u> for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.	
126	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC = Termination of employment.			
127	3.1.038	Public Access Option Records	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code 552.024.	US						CAUTION: Most recent public access election information must be kept as long as the former employee verification records. See RSIN <u>3.3.011</u> .	
128	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.
<b>Section 3.2 Payroll</b>											
34	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.			



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35	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)
36	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)
37	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)
38	3.2.005	W-4 Forms	Employer's copy of "Employee's Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or termination of employment.			26 CFR 31.6001 - 1(e)(2).
39	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)
93	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.			
40	3.2.009	State Deferred Compensation Records	Records documenting the amount of pension or deferred compensation earned by individual employees.		4						





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		<b>Section 3.3 Personnel Administration</b>									
42	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)
94	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3						
44	3.3.011	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 = Termination of employment		See RSIN 3.1.038	
129	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
130	3.3.020	Work Schedules/ Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments.	AV							
47	3.3.022	Texas Workforce Commission Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						
95	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						



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					Years	Months	Days				
96	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						
46	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, analysis of turnover rates and seasonality of employment, etc.	US	3						
27	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.
		<b>Section 3.4 Time and Leave</b>									
131	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						
97	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						





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98	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						
132	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						
		<b>Section 4.5 Fiscal and Financial Reports</b>									
61	4.5.002	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 <u>4.7.008</u> .	



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62	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 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, TSLAC.	
77	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.			



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79	4.5.009	USAS Reports - Annual	Yearly report compiled from information entered into the Uniform Statewide Accounting System (USAS).	FE	3						
<b>Section 4.7 Other Fiscal</b>											
105	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						
106	4.7.004	Capital Asset Records	Documentation relating to the capital and fixed assets of a state agency, including equipment or property history cards containing data on initial cost, depreciation schedules or summaries used for capital outlay budgeting, and property sale, auction, or disposal records of agency owned equipment and property.	LA	3						
133	4.7.010	Long-Term Liability Records	Records documenting financial obligations of a state agency that are not payable within one year of the date of the balance sheet, including debentures, loans, deferred tax liabilities, bonds, and pension obligations.	AC	3			AC = Retirement of debt.			
113	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of any 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.			





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137	5.1.001 a	Contracts 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 publications 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	Government Code, 441.1855
138	5.1.003	Delivery Reports	Records documenting incoming or outgoing deliveries, including through private courier services.		2						
1	5.1.004	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							
67	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						







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					Years	Months	Days				
142a	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		
142b	5.2.003b	Building Plans and Specifications – Leased	Includes architectural and engineering drawings, profiles, and blueprints of planning, design, construction, conversion, or modernization of leased facilities, structures, infrastructure, and systems.	AC	2			AC = Termination or cancellation of lease according to its terms.			
143	5.2.006	Inventory and Property Control Records	Records documenting the inventorying, maintenance, usage, checkout, and disposal of supplies, equipment, and property of a state agency. Includes lost, stolen, and damage reports.	FE	3					See RSIN <a href="#">5.2.008</a> for the maintenance logs of individual pieces of equipment.	
108	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 accordance with RSIN 5.1.001. For vehicle maintenance records, see RSIN 5.6.003.	
71	5.2.010	Equipment Manuals		LA							
109	5.2.011	Equipment Warranties		AC	1			AC = Expiration of warranty.			



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 LA – Life of Asset  
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 US – Until Superseded

**Archival Codes (Field 10)**

A/I – Transfer to State/University Archivist  
 R/O – Review by State/University Archivist  
 E – Exempt from archival review and transfer

1. Agency Code: 224		2. Agency Name: Texas Court of Appeals - 04th Court of Appeals District									
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				
144	5.2.029	Returned Mail	Documentation of mail returned by the postal or other mail delivery services as undeliverable.	AC	1			AC = Date returned.		CAUTION: If corrected address provided and mail rerouted, maintain address update documentation for prescribed retention period.	
<b>Section 5.3 Purchasing</b>											
145	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.	
146a	5.3.007 a	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.	
146c	5.3.007 c	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.			



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147	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3						
148	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC				AC = Decision not to proceed with the procurement.		See RSIN 1.1.020 and 1.1.021 for public information requests. CAUTION: If the request for information leads to request for proposal or bid, the request for information documentation should be retained in accordance with RSIN 5.3.007a/b/c.	
149	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).
		<b>Section 5.4 Risk Management</b>									
150	5.4.001	Occupational Accident Reports and Associated Documentation	Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the State Office of Risk Management (SORM) or its predecessors or maintained internally on accident frequency.	CE	5					See RSIN <u>5.4.014a/b</u> for non-employee accidents.	29 CFR 1904.33; 28 TAC 120.1(c).
151	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US							



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152	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 <u>5.2.028</u> .	
153	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.			
154	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 <u>5.4.017</u> for records related to responding or recovering from an emergency	
155a	5.4.014 a	Accident Reports – Adults	Reports of accidents to adults on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC = Date of report, or if a claim is filed, after settlement or denial of claim, whichever applicable.			
155b	5.4.014 b	Accident Reports – Minors	Reports of accidents to minors on state property or in any other situation in which the state agency could be a party to a lawsuit.	AC	3			AC = Date minor reaches the age of majority, or if a claim filed, after settlement or denial, whichever applicable.			



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156	5.4.017	Emergency Response and Recovery Records	This series documents the events and damages to institutional property due to storms, riots, fires, droughts, floods, and other events affecting citizens and facilities within the jurisdiction of the institution. This series may include but is not limited to: diaries; logs; reports; photographs; notes which indicate or document what happened, when, and where; and related documentation and correspondence.		3				R	See RSIN <a href="#">5.4.013</a> for Continuity of Operations Plans (COOP). CAUTION: If grant monies are received to assist with the response or recovery, the retention requirements for this series may vary depending on the specific funding agency.	
		<b>Section 5.6 Vehicles</b>									
157	5.6.009	Parking Permits or Assignments	Records documenting issuance of parking permits and assignments.	US						See RSIN <a href="#">4.1.009</a> for payment of permit fees.	