

March 16, 2020



Katrina McClenny  
Clerk of the Court  
1517 W. Front St., #354  
Tyler, TX 75702

Dear Ms. Katrina McClenny,

Your agency's records retention schedule is approved for use as of **3/12/2020**, and 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 Please ensure that all old copies of the schedule are superseded with this certified copy.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 annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **March/2025**

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:

Lorenzo de Zavala  
State Archives and  
Library Building

1201 Brazos Street  
Austin, Texas  
78701

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

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

*Commission Chair*  
Martha Wong

*Members*  
David C. Garza  
F. Lynwood Givens  
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Mark Smith

*Assistant State Librarian*  
Gloria Meraz

Joslyn Ceasar  
512-463-5477  
[jceasar@tsl.texas.gov](mailto:jceasar@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 be "C Kelso".

Craig Kelso  
Director and State Records Administrator

cc: Agency head

**TSLAC**

*Preserving yesterday  
Informing today  
Inspiring tomorrow*



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 232

Agency Name Twelfth 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 Katrina McClenny

Name (Print or type) Katrina McClenny

Date October 17, 2019

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 Gloria Meraz

Name (Print or type) Gloria Meraz

Date 3-12-2020

Cert/Recert No. 11 Amendment No. \_\_\_\_\_

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## 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  
 Rev. 2017-07

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

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
CM-1	1.1	Docket Sheets		PM					A	Records may be maintained in an electronic storage format.	Texas Government Code Ann. §51.204 (d)(3). Texas Government Code Ann. §51.205(a).
CM-2	1.1.	Opinions of the Court		PM					A	CAUTION: Does not include legal opinions or advice rendered on a case in litigation or regard to pending litigation. Records may be maintained in an electronic storage format.	Texas Government Code Ann. §51.204 (d)(3). Texas Government Code Ann. §51.205(a).
CM-3	1.1	Minutes of the Court - Judgements and Orders	Proceedings of the Court, except opinions and orders on motions.	PM					A	Judgments & Orders – Agency of origin retains permanent record copy. The Archival requirements will be met by sending a copy to the State Archives. Records may be maintained in an electronic storage format.	Texas Government Code Ann. §51.204 (d)(3). Texas Government Code Ann. §51.205(a).
CM-4	1.1	Motion Dockets		PM					A	Records may be maintained in an electronic storage format.	Texas Government Code Ann. §51.204 (d). Texas Government Code Ann. §51.205(a).
CM-5	1.1	Case Files - Civil Cases not successfully appealed to a higher Court		AC	6			AC = After final disposition of the case, but not sooner than 90 days after the date the clerk provides notice to the District or County clerk.		Records may be maintained in an electronic storage format.	Texas Government Code Ann. §51.204 (d). Texas Government Code Ann. §51.205(a).



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CM-6	1.1	Case Files - Criminal	Sentence of 20 years or less (Cases not successfully appealed to a higher court.)	AC	25			AC = After final disposition of the case with a sentence, suspended sentence, term of community supervision, combined sentence and term of community supervision, cumulative sentences or term of community supervision, or the longest sentence or term of community supervision of 2 or more sentences or terms of community supervision to be served concurrently is "20 years or less."		Records may be maintained and electronic storage format.	Texas Government Code Ann. §51.204(e). Texas Government Code Ann. §51.205(a).
CM-7	1.1	Case Files – Criminal	Sentence of more than 20 years.	PM						Records may be maintained in an electronic storage format.	Texas Government Code Ann. §51.204 (e). Texas Government Code Ann. §51.205(a).



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CM-8	1.1	Exhibits – Civil and Criminal	Use of Original Exhibits by Appellate Court. If the trial court determines that original exhibits should be inspected by the appellate court were sent to that court in lieu of copies, the trial court must make in order for the safekeeping, transportation, and return of those exhibits. The order must list exhibits and briefly describe them. To the extent practicable, all exhibits must be arranged in their listed order and bound firmly together before being sent to the appellate court. On any parties motion or its own initiative, the appellate court may direct the trial court clerk to send it any original exhibit.	AC				AC = After the mandate has been issued, ORIGINAL exhibits in Criminal cases are returned to the trial court.		And Civil cases, a letter is issued informing the parties that the original exhibit will be destroyed if not received within a set number of days from the date of the letter, or an earlier date of ordered by the Court. Records may be maintained in an electronic storage format.	Texas Government Code Ann. §51.204(b)(2) and Texas Rules of App. Proc. 34.6(g)(2). Texas Government Code Ann. §51.205(a).
ADMIN-1	1.1.002	Audits	Audits and reviews performed by or on behalf of if an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC = Publication or release a final audit findings.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.	



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ADMIN-2	1.1.004	Legislative Appropriations Request	Including any supporting documentation created and/or used to justify and support legislative appropriations request by an agency.	AC	6			AC = September 1 of odd-numbered calendar years.	A	NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program. Only Copies of supporting documentation submitted to the Legislative Budget Board are archival.	



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ADMIN-3	1.1.007	Correspondence – Administrative	Incoming/outgoing and internal correspondence 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	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 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 for that prescribed by item number 1.1.002, etc.	
ADMIN-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 polices, programs, services or projects of the agency.		2					SEE NOTE in item number 1.1.007. SEE ALSO item number 1.1.010.	



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ADMIN-5	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1						
ADMIN-6	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling or itinerary records, purchase this date funds or 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, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when the records have met their retention periods. CAUTION: a record of this type purchase with personal funds, but use bistrate official or employee to document his or her work activities may be a state records and subject to this retention.. See Open Records Decision 635 issued in December 1995 by the Attorney General	
ADMIN-7	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.	



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PR-1	1.1.019	Public Relations Records	News, press releases, or any public relations files maintained or issued by an agency. Includes print, electronic, audio, and audiovisual records.		2				R		
ADMIN-8	1.1.020	Public Information Requests - Not Exempted	Includes all correspondence and documentation relating to requests for records that may be furnished to the public under Rule 12 of the Texas Rules of Judicial Information.	AC	1			AC = Date request fulfilled.		NOTE: The Judicial Branch discovered by the Rules Of Judicial Administration Rule 12 in regard to Public Access to Judicial Records. The purpose of Rule 12 is to provide public access to information in the judiciary consistent with the mandates of the Texas Constitution that the public interests are best served by "and by an independent judiciary.	
ADMIN-9	1.1.021	Public Information Requests – Exempted	Includes all correspondence and documentation relating to requests for records that are exempted under Rule 12 of the Texas Rules of Judicial Information.	AC	2			AC = Date of notification that records are exempt.		NOTE: The Judicial Branch discovered by the Rules Of Judicial Administration Rule 12 in regard to Public Access to Judicial Records. The purpose of Rule 12 is to provide public access to information in the judiciary consistent with the mandates of the Texas Constitution that the public interests are best served by "and by an independent judiciary.	



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					Years	Months	Days				
ADMIN-10	1.1.023	Organizations Charts		US					A	NOTE: Organization Charts are included as supporting documentation in the Court's Legislative appropriation Requests submitted to the Legislative Budget Board. The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program.	
ADMIN-11	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations, or reports delivered in conjunction with entity work.	AC				AC=End of term in office or termination of service in a state position.	R	NOTE: These materials shall be owned and maintained by the author/presenter of such or their designee until such time as they may be presented for review for archival purposes.	
ADMIN-12	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	This item number is not in reference to, nor is it applicable to any case on appeal pending or otherwise before this Court. NOTE Any such litigation files within this record series title that set legal precedents 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.	



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NA	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.		3					NOTE: This Court resides in a County-owned building. The County is responsible for ensuring compliance in such records are prepared by an maintained by Smith County Officials.	28 CFR 35.105 (c).
CM-9	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in agencies appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					The FE+3 retention period overrides any shorter retention. For a record series and this schedule if the record series is needed for documentation of the entities performance measures. NOTE: Monthly and Annual Reports for generated through the Texas Appellate Management and E Filing System (TAMES) Case Management System and subsequently forward to the Office of Court Administration (OCA), the Legislative Budget Board (LBB) and/or the GOBP. These records may be retained in electronic form.	



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					Years	Months	Days				
ADMIN-13	1.1.065	Reports and Studies (Non Fiscal) – Raw Data	Information or data collected and compiled for the purpose of producing non fiscal reports.	AV						NOTE: Does not include source documentation used for information or data included in or directly related to another record series and this schedule. SEE especially item number 1.1.064.	
ADMIN-14	1.1.068	Reports on Performance Measures	Annual reports on agency performance measures submitted to the executive and legislative offices.	AC	6			AC = September 1 of odd-numbered calendar years.		NOTE: This information is entered electronically into the Automated Budget and Evaluation System of Texas (ABEST) system on an annual basis. The Courts Of Appeals are not required to report this information on a quarterly basis.	
CM-10	1.1.069	Reports – Activity	Reports compiled by court personnel on a daily or other periodic basis pertaining to workload monitoring, task completion, number of public contacts, and similar activities.		1					NOTE: Internal reports prepared by/maintained by Clerk's Office Staff that are generated through the TAMES Case Management System, excluding those reports appropriately addressed by item number 1.1.064.	



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POLY-1	1.1.070	Agency Rules, Policies, and Procedures – Final Files	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 and agencies programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures – Working Files, 1.1.071.	
POLY-2	1.1.071	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 and agencies programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO: Agency Rules, Policies and Procedures – Final Files, 1.1.070.	
CM-11	1.2.001	Destruction Authorizations	Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE	3					NOTE: Destruction authorization records are retained in Court's Minutes. These records may be retained in electronic form.	
CM-12	1.2.003	Forms History File	Masters of original version and all subsequent revisions to an agency form, including any associated design or design modification requests.	AC	1			AC=Discontinuance of use of form.		NOTE: Forms consistently used by Clerks Office staff. These forms may be retained in an electronic format.	



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REC-1	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 retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
REC-2	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.		10						
COMP-1	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listings/sores code, etc. Includes: Accounting System Programs, Payroll System Programs, Case Management System Programs, Word-processing Version/s, etc.	AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation 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. NOTE: Records falling within this category are maintained in retained by the Office of Court Administration (OCA) and the Office of the Comptroller.	13 TAC 6.94.



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COMP-2	2.1.008	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 = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation 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. NOTE records falling within this category are maintained and retained by the Office of Court Administration (OCA).	13 TAC 6.94.



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COMP-3	2.1.009	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 subsystem 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 modifications 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 = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation 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: Software needed for access to electronic records must be retained for the period of time required to access the records. NOTE records falling within this category are maintained and retained by the Office of Court Administration (OCA).	



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CM-13	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc.	AV						Incremental – Daily, Weekly – Full, Monthly and Annual Back-up Tapes. NOTE: Currently, system back-ups are conducted and stored by the Office of Court Administration (OCA).	
POLY-3	2.2.010	Data Processing Policies and Procedures	Manuals, guidelines, or similar documents establishing data processing policies and procedures in an agency in such areas as access and security, systems development, data retention and disposition, data ownership, production control, system back-up, etc.	US	3					NOTE: Court Computer Policies.	
POLY-4	2.2.014	Internet Cookies	Data resident on hard drives that make use of user-specific information transmitted by the Web server on the user's computer so that the information might be available for later access by itself or other servers.	AV						Cookies the not be documented through distraction 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). NOTE: Temporary files are deleted at the end of the workday prior to shutting down the computer in order to avoid wasting memory capacity for the storage of non-essential information.	



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POLY-5	2.2.015	History Files – Websites	A record of the documents visited during an Internet session that allows users to access previously visited pages more quickly or to generate a record of a users progress.	AV						The disposal of history files need not be documented through distraction 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. NOTE: Temporary files are deleted at the end of work day prior to shutting down the computer in order to avoid wasting memory capacity for the storage of non-essential information.	
COMP-4	2.2.016	Software Registrations, Warranties and License Agreements		LA	3						
HR-1	3.1.001	Applications for Employment – Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required by the application form, by application procedures, or in the employment advertisement.		2						29 CFR 1602.31.



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HR-2	3.1.002	Application for Employment – Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC	5			AC=Termination of employment.			
HR-3	3.1.006	Employee Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies would counseling staff.	AC	3			AC=Termination of counseling.			
HR-4	3.1.011	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 = 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.	
HR-5	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.		2						29 CFR 1602.31.



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HR-6	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, preemployment physical examinations, preemployment drug screening test results, polygraph examination results; and all other records that document the selection process.		2					NOTE: Does not include criminal history background reports. See item number 3.1.026.	29 CFR 1602.31
HR-7	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.	
HR-8	3.1.019	Performance Appraisals	Performed on an annual basis, these are retained in the individual employees personnel files.		2						29 CFR 1620.32(c).



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HR-9	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.		NOTE: Retained in the individual employees personnel files. CAUTION: If, during the retention period of this record series, any part of this series is used to document and support personnel disciplinary action under item number 3.1.021, all documentation from the series used to support disciplinary action must be retained for the minimum retention period described by item number 3.1.021.	



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HR-10	3.1.021	Personnel Disciplinary Action Documentation	Disciplinary actions are those actions which may affect pay, status, or tenure. They are opposed to discipline an employee this conduct is harmful to the best interests of the state, the agency, or the employee workforce, and for failure to improve performance or conduct following imposition of corrective action. They include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. They also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC = Termination of employment.		NOTE: Retained in the individual employees personnel files.	
HR-11	3.1.022	Personnel Information or Action Forms	Forms and or similar records used to create or change information concerning the records of an employee including paygrade, position classification, employee number, evaluation date, and termination of employment.		2						29 CFR 1602.31.
HR-12	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	AC	4			AC = Until superseded or job eliminated.		NOTE: Internal Job Descriptions may be retained in electronic or paper form and are updated as necessary.	40 TAC 815.106 (i).



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HR-13	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. See item number 3.1.014		CAUTION: An agency that is authorized to obtain 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.	
HR-14	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing or continuing education achievements of an employee.	AC	5			AC = Termination of employment.			
HR-15	3.1.029	Employment Eligibility, Documentation of Verification of	Federal reporting form (INS I-9).	AC	1			AC = Termination of employment.		NOTE: This form is retained in employees personnel files. Federal regulations requires that I and adds I-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, which ever is later.	8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
HR-16	3.1.031	Employee Benefits - Other than Insurance	Agency copies of information relating to the selection of available benefit options other than insurance.	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.	



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HR-17	3.1.038	Public Access Option Form	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						NOTE: Retained in the individual employees personnel files. (Not same as item number 3.3.022.)	
HR-18	3.2.001	Employee Deduction Authorizations	Documentation used to start, modified, 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, which ever sooner.			
ACCT-1	3.2.002	Employee Earnings Record			4						40 TAC 815.106(i).
ACCT-2	3.2.003	Federal Tax Records	Including 1099, W-2, 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).
ACCT-3	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employee's gross pay, FICA, retirement, or in the computation of taxes.		2						29 CFR 516.6(c).
ACCT-4	3.2.005	W-4 Forms	Employers copy of "Employees Withholding Exemption Certificate."	AC	4			AC = Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1(e)(2).
ACCT-5	3.2.006	Wage Rate Tables			2						29 CFR 516.6(a)(2).
ACCT-6	3.2.008	Direct Deposit Application/Authorizations		US							



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ACCT-7	3.2.009	State Deferred Compensation Records		AC	5			AC = All accounts with a vendor or vendor words for the individual participant have been closed.		The current edition of the "Benefits Coordinator Reference Manual" issued by the Employees Retirement System of Texas this consultant for instructions regarding the determination of the closure of accounts and for additional information regarding the retention period.	
HR-19	3.2.010	Human Resources Information System (HRIS) Reports	Includes supporting documentation.	AC	4			AC = Until superseded or termination of employment.			
HR-20	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	1						29 CFR 1627.3(b)(2).
HR-21	3.3.010	Labor Statistics Reports	Reports providing statistical information on labor force.		3					NOTE: Workforce Summary Document.	
HR-22	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, including name, Social Security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment.		SEE item number 3.1.038.	
HR-23	3.3.015	Position/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency.	US	3						
HR-24	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.		3						



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ACCT-8	3.3.023	Reimbursable Activities, Requests and Authorizations to Engage in	Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or former other work-related activities for which the expenses of the employees are defrayed or reimbursed.	FE	3					NOTE: This information maintained and Travel/Training Requests forms and in Requisition/PO Forms.	
POLY-6	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						
HR-25	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US	3						
HR-26	3.3.026	Agency Staffing Reports	Any reports compiled by an agency in aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within is organizational structure, position vacancies, analysis of turnover rates and seasonality of employment, etc.	US	3					NOTE: Classified Workforce Report. Full-Time Employee (FTE) report.	



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HR-27	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern and agencies programs, services, or projects.	US	2						
HR-28	3.3.031	Equal Employment Office (EEO) Reports and Supporting Documentation	Includes documentation used to complete EEO reports.		3						29 CFR 1602.32, .39,.41,.48, and.50.
HR-29	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carryover-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE	3						
HR-30	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE	3						
HR-31	3.4.004	Overtime Authorizations	Timesheets includes time off, sick leave requests and other leave requests and approval, as well as request for an authorization of overtime.	FE	3					NOTE: Timesheets contain time off and sick leave reports and approval, as well as authorization for overtime. Employees' individual timesheets incorporate the record series 3.4.004, 3.4.005 and 3.4.006 into a single format.	40 TAC 815.106 (i).



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HR-32	3.4.006	Timesheets and Leaves Records	Timesheets includes time off, sick leave requests and other leave requests and approval, as well as request for an authorization of overtime.	FE	3					NOTE: Timesheets contain time off and sick leave reports and approval, as well as authorization for overtime. Employees' individual timesheets incorporate the record series 3.4.004, 3.4.005 and 3.4.006 into a single format.	40 TAC 815.106 (i).
HR-33	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
ACCT-9	4.1.001	Accounts Payable Information		FE	3						
ACCT-10	4.1.005	Inventory and Other Cost Files	Production, job, labor, quotes, pricing, specifications, etc.	FE	3						
ACCT-11	4.1.007	Transfers or Budget Revisions	Transfers or adjustment to budgets.	FE	3						
ACCT-12	4.1.008	Electronic Fund Transfers	Direct Deposit Registers.	FE	3						
ACCT-13	4.2.001	Cash Deposit Vouchers	Cash Deposit Slips.	FE	3						
ACCT-14	4.2.003	Daily Cash Receipts Logs		FE	3						
ACCT-15	4.2.005	Purchase Vouchers	Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3						
ACCT-16	4.2.006	General Journal Vouchers		FE	3						



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ACCT-17	4.2.007	Expenditure Vouchers	Travel, payroll etc.	FE	3					NOTE: Includes Travel Expenditures Reimbursement Requests	
ACCT-18	4.3.002	Receipts Journals or Registers		FE	3						
ACCT-19	4.3.003	Expenditure Journals or Registers		FE	3						
ACCT-20	4.4.001	General and Subsidiary Ledgers		FE	3						
ACCT-21	4.4.002	Accounts Receivable Ledgers		FE	3						
ACCT-22	4.4.003	Accounts Payable Ledgers		FE	3						
ACCT-23	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3						
ACCT-24	4.5.002	Internal Fiscal Management Reports	Includes agency monthly budget reports.	FE	3					NOTE: include 6-month report for case receipts and deposits to Comptroller.	



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ACCT-25	4.5.003	Annual Financial Reports	Required by the General Appropriations Act (100 Day Report).	AC	6			AC = September 1 of odd-numbered calendar years.	A	CAUTION: If an agency does not produce a biannual 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 biannual or annual narrative report is not produce, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.	
ACCT-26	4.5.005	External Fiscal Reports	Special purpose – i.e. federal financial reports, salary reports, etc. Includes Historically Underutilized Business (HUB) Reports.	FE	3						
ACCT-27	4.5.006	Annual Operating Budgets	Required by the General Appropriations Act.	FE	3						
ACCT-28	4.5.007	USAS Reports - Daily		AC				AC = Receipt and reconciliation of monthly report.			
ACCT-29	4.5.008	USAS Reports - Monthly		AC				AC = Receipt and reconciliation of annual report.			
ACCT-30	4.6.001	Balancing Records		FE	3						
ACCT-31	4.7.001	Accounting Policies and Procedures Manual		US	3					The State Comptroller's Manual	
ACCT-32	4.7.002	Bank Statements		FE	3					Deposits and Canceled Checks	



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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist  
 R/O – Review by State/University Archivist

1. Agency Code: 232		2. Agency Name: Texas Court of Appeals - 12th 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				
ACCT-33	4.7.003	Returned Checks/Warrants/Drafts (Uncollectable)		AC	3			AC = After deemed uncollectable.			
ACCT-34	4.7.012	Signature Authorizations	Signature cards or similar records establish authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3			US + FE		Is NOTE: Chief Justice, Justices, Clerk of the Court, Chief Deputy and Accountant.	
EQUIP-1	5.1.001	Contracts and Leases	Contracts, leases and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.	AC	4			AC = Expiration or termination of the instrument according to its terms.			
ADMIN-15	5.1.004	Mail and Telecommunications Listings	Any mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves.	US							
ACCT-35	5.1.005	Postage Records	Records and reports of postage expenses, including postal meter usage.	FE	3						



**STATE OF TEXAS**  
**Records Retention Schedule**

SLR 105  
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Retention Codes (field 7)

AC – See field 9 for specific records series definition  
 AV – Administratively valuable  
 CE – Calendar year end  
 FE – Fiscal year end  
 LA – Life of Asset  
 PM – Permanent  
 US – Until Superseded

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					Years	Months	Days				
POLY-7	5.1.014	Office Procedures	Any internally distributed manuals, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mailroom procedures, printshop and photocopy ordering instructions.	US	1						
EQUIP-2	5.2.008	Equipment History File; Equipment Service Agreements	Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, movies, service, etc.; and service/repair logbooks, etc.	LA	3						
EQUIP-3	5.2.009	Equipment Inventory Detail Report Forms	Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE	3						
EQUIP-4	5.2.010	Equipment Manuals		LA							
INVEN-1	5.2.014	Inventory – Annual Physical	Property, equipment, supplies verification.	FE	3						
ACCT-36	5.2.019	Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts and remarks.	LA	1						
ACCT-37	5.3.004	Order – Acknowledgments		AV							
ACCT-38	5.3.005	Packing Slips		AV							



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					Years	Months	Days				
ACCT-39	5.3.007	Bid Documentation	Includes bid requisitions/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE	3					NOTE: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or requirement for proposal and is supporting documentation for retained for the same period as the contract. SEE item number 5.1.001.	
ACCT-40	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					NOTE: Maintained and electronic format.	
ADMIN-16	5.4.012	Security Access Records	Plans for evacuation of agency facilities in cases of emergency.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever is sooner.			
ADMIN-17	5.4.013	Disaster Preparedness and Recovery Plans		US							
ACCT-41	5.5.001	Billing Detail – Telecommunications (other than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long-distance calls.	FE	3						