



March 20, 2012

Ms. Dorian Ramirez
Clerk of the Court
Texas Court of Appeals - 13th Court of Appeals District
901 Leopard, 10th Floor
Nueces County Courthouse
Corpus Christi, TX 78401

RE: Texas Court of Appeals - 13th Court of Appeals District
Retention schedule approved for use.

State and Local
Records Management

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

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.state.tx.us

Commission Chairman
Sandra J. Pickert

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

Director and Librarian
Peggy D. Rudd

Assistant State Librarian
Edward Seidenberg

*Making
information
work
for all
Texans*

Dear Ms. Ramirez:

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 Please ensure all old copies of the schedule are superseded with this recertified copy.

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

During a certification period, state regulations (13 TAC §6.4) also require the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, contact the government information analyst assigned to your agency.

Your efforts in maintaining an up-to-date records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program. Your schedule will be due for recertification on the last working day of March 2015. If you have any questions, call the information analyst assigned to your agency, Angela Ossar, at 512-463-6623.

Sincerely,

Sarah Jacobson
Manager, Records Management Assistance

Enclosure
cc: State Auditor, State Archivist
cc: (without enclosure) Rogelio Valdez



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 233

Agency Name Thirteenth Court of Appeals

(Check one)

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

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

(Check one)

- Agency Head
Records Management Officer

Signature [Handwritten Signature]

Name (Print or type) Rogelio Valdez

Date 2-2-2011

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature [Blank]

Name (Print or type) [Blank]

Date [Blank]

Not Required at This Time

Texas State Library and Archives Commission

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

Signature [Handwritten Signature]

Name (Print or type) Peggy D. Rudd

Date 3/15/12

Cert/Recert No. 7 Amendment No. [Blank]

CAUTION

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

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





STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 1 of 60

2. Agency Code	233	3. Agency Name							THIRTEENTH COURT OF APPEALS	
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

Category 1: Administrative Records									
Section 1.1 General									
1.1	1	Docket Sheets	PM		PM		TX Gov't Code §51.204(d)(3). Records may be maintained in an electronic storage format. TX Gov't Code §51.205(a).		
1.1	2	Opinions of the Court	PM		PM		TX Gov't Code §51.204(d)(3). Records may be maintained in an electronic storage format. TX Gov't Code §51.205(a).		

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



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code	233	3. Agency Name							THIRTEENTH COURT OF APPEALS		
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			Agency	Storage	Total						

1.1	3	Minutes of the Court Proceedings of the Court, except opinions and orders on motions.	PM		PM	A	Agency of origin retains permanent record copy. The archival requirement will be met by sending a copy to State Archives. TX Gov't Code §51.204(d)(3). Records may be maintained in an electronic storage format. TX Gov't Code §51.205(a).		
1.1	4	Meeting Agenda and Minutes (of the Court) Minutes or notes, and supporting documentation, and agenda of internal judges' conference.	PM		PM		Records may be maintained in an electronic storage format. TX Gov't Code §51.205(a).		

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Records Retention Schedule

SLR 105

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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
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			Agency	Storage	Total			
1.1	5	Case Files – Civil Cases not successfully appealed to a higher Court.	AC+6		AC+6	R	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. Tex. Gov't Code Ann. § 51.204(d). Records may be maintained in an electronic storage format. TX Gov't Code §51.205(a).	

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Records Retention Schedule

SLR 105

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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
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			Agency	Storage	Total			
1.1	6	Case Files – Criminal Sentence of 20 years or less (Cases not successfully appealed to a higher court.)	AC+25		AC+25	R	Tex. Gov't Code Ann. § 51.204(e). AC = After final disposition of the case where the sentence, suspended sentence, term of community supervision, combined sentence and term of community supervision, cumulative sentences or terms of community supervision, or the longest sentence or term of community supervision of two or more sentences or terms of community supervision to be served concurrently is "20 years or less." Records may be maintained in an electronic storage format. TX Gov't Code §51.205(a).	
1.1	7	Case Files – Criminal Sentence of more than 20 years	PM		PM		Tex. Gov't Code Ann. § 51.204(e). Records may be maintained in an electronic storage format. TX Gov't Code §51.205(a).	

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Records Retention Schedule

SLR 105

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2. Agency Code	233	3. Agency Name THIRTEENTH COURT OF APPEALS						
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			Agency	Storage	Total			

1.1	8	<p>Exhibits</p> <p>Use of Original Exhibits by Appellate Court. If the trial court determines that original exhibits should be inspected by the appellate court or sent to that court in lieu of copies, the trial court must make an order for the safekeeping, transportation, and return of those exhibits. The order must list the exhibits and briefly describe them. To the extent practicable, all the exhibits must be arranged in their listed order and bound firmly together before being sent to the appellate clerk. On any party's motion or its own initiative, the appellate court may direct the trial court clerk to send it any original exhibit.</p>	AC + 3		AC + 3	<p>Tex. Gov't Code Ann. § 51.204(b)(2) and Tex. Rules of App. Proc. 34.6(g)(2).</p> <p>AC = Final disposition of the case, or at an earlier date if ordered by the Court. After the mandate has been issued, original exhibits in <i>Criminal cases</i> are returned to the trial court. In <i>Civil cases</i>, a letter is issued informing the parties that the original exhibit will be destroyed if not retrieved within a set number of days from the date of the letter. At an earlier date if ordered by the Court.</p> <p>Records may be maintained in an electronic storage format. TX Gov't Code §51.205(a).</p>		
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Records Retention Schedule

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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS							
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			Agency	Storage	Total				
1.1.002	9	Audits Audits and reviews performed by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC + 7		AC + 7		AC = Publication or release of final audit findings. NOTE: The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		
1.1.004	10	Legislative Appropriation Requests Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency.	AC + 6		AC + 6	A	AC = September 1 of odd-numbered calendar years. 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.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS							
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			Agency	Storage	Total				

1.1.007	11	<p>Correspondence – Administrative</p> <p>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.</p>	3		3	R	<p>Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review.</p> <p>NOTE: 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 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 for that prescribed by item number 1.1.002, etc.</p>		
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Retention Codes (Field 7)				Archival Codes (Field 8)	
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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
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			Agency	Storage	Total			
1.1.008	12	Correspondence – General Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the policies, programs, services, or projects of an agency.	1		1		SEE NOTE in item number 1.1.007. SEE ALSO item number 1.1.010.	
1.1.010	13	Directives Any document that officially initiates, rescinds, or amends general office procedures.	US + 1		US + 1			

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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS							
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			Agency	Storage	Total				
1.1.013	14	Calendars, Appointment and Itinerary Records Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries, and other activities of agency officials or employees.	CE + 1		CE + 1	R	Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. NOTE: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.		
1.1.019	15	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		2	R			

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2. Agency Code	233	3. Agency Name							THIRTEENTH COURT OF APPEALS		
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total	9. Remarks					

1.1.020	16	Public Information Requests - Not Exempted	AC + 1		AC + 1		AC = Date request fulfilled. NOTE: The Judicial Branch is governed 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 open courts and by an independent judiciary.		
		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.							

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2. Agency Code		3. Agency Name						
233		THIRTEENTH COURT OF APPEALS						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
1.1.021	17	Public Information Requests – Exempted Includes all correspondence and documentation relating to requests for records that are exempt under Rule 12 of the Texas Rules of Judicial Information or Tex. Gov't Code §552.003(1)(B).	AC + 2		AC + 2		AC = Date of notification that records are exempt. NOTE: The Judicial Branch is governed 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 open courts and by an independent judiciary.	
1.1.023	18	Organization Charts	US		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.	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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Form SLR 105C must accompany this form.

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2. Agency Code **233** 3. Agency Name **THIRTEENTH COURT OF APPEALS**

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

1.1.040	19	Speeches, Papers and Presentations Notes or text of speeches, papers, presentations, or reports delivered in conjunction with entity work.	AC		AC	R	AC = End of term in office or termination of service in a state position. 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.		
1.1.043	20	Training Materials Instructional materials developed by an agency for training entities or individuals it regulates or serves.	US + 1		US + 1				

Retention Codes (Field 7)	Archival Codes (Field 8)
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SLR 105

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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
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			Agency	Storage	Total			
1.1.048	21	Litigation Files Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	AC + 1		AC + 1	R	This item number is not in reference to, nor is it applicable to, any case on appeal pending or otherwise before this Court. 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. NOTE: Any such litigations files within this record series title 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.	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
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			Agency	Storage	Total			
1.1.056	22	ADA (Americans with Disabilities Act) Documentation Self evaluations and plans documenting compliance with the requirements of the Americans with Disabilities Act.	3		3	28 CFR 35.105(c). NOTE: This Court resides in a County-owned building. The County is responsible for ensuring compliance and such records are prepared by and maintained by those County Officials.		

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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS							
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			Agency	Storage	Total	9. Remarks			

1.1.057	23	<p>Transitory Information</p> <p>Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series.</p> <p>Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.</p>	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>NOTE: The disposal of transitory information need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010).</p>		
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Retention Codes (Field 7)

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 AV – Administrative Value

CE – Calendar Year End
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Archival Codes (Field 8)

A – Transfer to State Archives
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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
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			Agency	Storage	Total			
1.1.063	24	Staff Meeting Minutes and Notes Minutes or notes, and supporting documentation taken at internal agency staff meetings.	1		1			
1.1.064	25	Agency Performance Measures Documentation Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE + 3		FE + 3		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 the entity's performance measures. NOTE: Monthly and Annual Reports that are generated through Case Management and subsequently forwarded to the OCA, the LBB and/or the Governor's Office of Budget, Planning and Policy (GOBPP).	

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			Agency	Storage	Total				
1.1.065	26	Reports and Studies (Non-Fiscal) - Raw Data Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV		AV		NOTE: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. SEE especially item number 1.1.064.		
1.1.067	27	Reports and Studies (Non-Fiscal) Annual, sub-annual, or special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities.	3		3	R			
1.1.068	28	Reports on Performance Measures Annual reports on agency performance measures submitted to executive and legislative offices.	AC + 6		AC + 6		AC = September 1 of odd-numbered calendar years. NOTE: This information is entered electronically into the Automated Budget Estimate System of Texas (ABEST) system on an annual basis.		

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			Agency	Storage	Total			
1.1.069	29	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		1		NOTE: Internal reports prepared by/maintained by Clerks Office Staff that are generated through the Case Management System, excluding those reports appropriately addressed by item number 1.1.064.	
1.1.070	30	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 an agency's programs, services, or projects.	AC + 3		AC + 3	R	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.	

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



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Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
1.1.071	31	Agency Rules, Policies, and Procedures - Working Files Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC + 3		AC + 3	R	AC = Completion or termination of program, rules, policies, or procedures. SEE ALSO: Agency Rules, Policies and Procedures - Final Files, 1.1.070.	
		Section 1.2 Records Management						
1.2.001	32	Destruction Authorizations Agency level documents authorizing final disposition of records under a certified records retention schedule.	FE + 3		FE + 3			

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



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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
1.2.005	33	Records Retention Schedule (SLR 105) Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US		US		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	
1.2.006	34	Records Transmittal Forms Agency copy (includes RMD 101, Tx-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC + 2		AC + 2		AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.	
1.2.008	35	Request for Authority to Dispose of State Records (RMD 102) Agency copy.	FE + 3		FE + 3		Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.	

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



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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
1.2.010	36	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		10			
1.2.012	37	Records Inventory Worksheets	US		US			
1.2.014	38	Records Management Plans Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US + 1		US + 1			
Section 1.3 State Publications								

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



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2. Agency Code	233	3. Agency Name						THIRTEENTH COURT OF APPEALS					
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
					Agency	Storage	Total	9. Remarks					

1.3.001	39	<p>State Publications</p> <p>One copy of each state publication as defined on page xi of the introduction of the <i>Texas State Records Retention Schedule, 4th edition</i>, dated 9/2007, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item numbers 1.1.004, 1.1.055, 1.1.066, 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC + 6.</p>	AC + 2		AC + 2		AC = Until superseded or obsolete.		
		<p>Category 2: Electronic Data Processing Records</p>							
		<p>Section 2.1 Automated Applications</p>							

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



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2. Agency Code	233	3. Agency Name THIRTEENTH COURT OF APPEALS							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

2.1.007	40	Software Programs Automated software applications and operating system files including job control language, program listing/source code, etc. Includes: Accounting System Programs, Payroll System Programs, Case Management System Programs, Word Processing Version/s, etc.	AC		AC	AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94. NOTE: Software needed for access to electronic records must be retained for the period of time required to access the records.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded A – Transfer to State Archives R – Review by State Archivist



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2. Agency Code	233	3. Agency Name THIRTEENTH COURT OF APPEALS							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

2.1.008	41	Hardware Documentation Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC		AC	AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read. 13 TAC 6.94. NOTE: Software needed for access to electronic records must be retained for the period of time required to access the records.		
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded A – Transfer to State Archives R – Review by State Archivist



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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
2.1.009	42	Technical Documentation Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorized disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or sub-system definitions, system specifications, input and output specifications, and system flow charts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document 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	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.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
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			Agency	Storage	Total			
2.1.010	43	Audit Trail Records Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC		AC		AC = All audit requirements have been met.	
		Section 2.2 Computer Operations and Technical Support						
2.2.001	44	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		AV			

Retention Codes (Field 7)				Archival Codes (Field 8)	
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			Agency	Storage	Total			
2.2.010	45	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		US + 3	CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.		
2.2.014	46	Internet Cookies Data resident on hard drives that make use of user-specific information transitted by the Web server onto the user's computer so that the information might be available for later access by itself or other servers.	AV		AV	The disposal of Internet cookies need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
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			Agency	Storage	Total			
2.2.015	47	History Files – Web Sites 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 user's progress.	AV		AV		The disposal of history files need not be documented through destruction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	
2.2.016	48	Software Registrations, Warranties and License Agreements	LA + 3		LA + 3			
Category 3: Personnel Records								
Section 3.1 Employee								
3.1.001	49	Applications for Employment - Not Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	2		2		29 CFR 1602.31.	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	



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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
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			Agency	Storage	Total			
3.1.002	50	Applications for Employment – Hired Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.	AC + 5		AC + 5	AC = Termination of employment.		
3.1.006	51	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 with counseling staff.	AC + 3		AC + 3	AC = Termination of counseling.		

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



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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
3.1.011	52	Employee Insurance Records Agency copies of information relating to the selection by employees of life, disability, health, and other types of insurance offered by the State of Texas to its employees.	AC		AC	AC = Until superseded or termination of employment. NOTE: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		
3.1.012	53	Employment Opportunity Announcements Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime.	2		2	29 CFR 1602.31.		

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



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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
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			Agency	Storage	Total			
3.1.014	54	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, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.	2		2	29 CFR 1602.31. NOTE: Does not include criminal history background reports.		
3.1.019	55	Performance Appraisals Performed on an annual basis, these are retained in the individual employees' personnel files.	2		2	29 CFR 1620.32(c).		

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
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2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
3.1.020	56	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 + 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 item number 3.1.021, all documentation from this series used to support disciplinary action must be retained for the the minimum retention period described by item number 3.1.021.		

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



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			Agency	Storage	Total	9. Remarks		

3.1.021	57	<p>Personnel Disciplinary Action Documentation</p> <p>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.</p>	AC + 5		AC + 5	<p>AC = Termination of employment.</p> <p>NOTE: Retained in the individual employee's personnel files.</p>		
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Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	A – Transfer to State Archives R – Review by State Archivist
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
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			Agency	Storage	Total			
3.1.022	58	Personnel Information or Action Forms Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	2		2		29 CFR 1602.31.	
3.1.023	59	Position/Job Descriptions Job descriptions, including all associated task or skill statements, for positions in an agency.	AC + 4		AC + 4		AC = Until superseded or job eliminated. 40 TAC 815.106(i).	
3.1.027	60	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 + 5		AC = Termination of employment.	

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
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			Agency	Storage	Total			
3.1.029	61	Employment Eligibility, Documentation or Verification of Federal reporting form (INS I-9).	AC + 1		AC + 1	AC = Termination of employment. NOTE: This form is retained in employees personnel files. Federal regulation requires that INS 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever is later. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).		
3.1.031	62	Employee Benefits - Other than Insurance Agency copies of information relating to the selection of available benefit options other than insurance.	AC + 2		AC + 2	AC = Until superseded or termination of employment. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		

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

3.1.034	63	Resumes - Unsolicited Retention period applies if an agency replies to the sender of a resume that it will be kept on file should future job openings occur.	AV		AV		SEE item number 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process.		
3.1.035	64	Performance Bonds Bonds posted by employees and individuals or entities under contract with an agency for the performance of the duties of a position or the terms of a contract with the agency.	AC + 4		AC + 4		AC = Expiration or termination of the bond according to its terms.		

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



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			Agency	Storage	Total			
3.1.036	65	Apprenticeship Records Summary of applicant qualifications, evaluation basis for selection or rejection, original applications, job assignments, promotions, separations, layoffs, terminations, compensation records, conditions of work, time records, hours of training provided (separate from labor), minority status, and gender of all selected and rejected applicants.	5		5	29 CFR 30.8(e).		
3.1.037	66	Employee Recognition Records Awards, incentives, tenure, etc.	AC + 5		AC + 5	AC = Termination of employment.		

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

3.1.038	67	<p>Public Access Option Form</p> <p>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.</p>	US		US		NOTE: Retained in the individual employee's personnel files. (Not the same as item number 3.3.011.)		
		Section 3.2 Payroll							
3.2.001	68	<p>Employee Deduction Authorizations</p> <p>Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.</p>	AC + 4		AC + 4		AC = After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		
3.2.002	69	<p>Employee Earnings Records</p>	4		4		40 TAC 815.106(i).		

<p>Retention Codes (Field 7)</p> <p>AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset MO – Months PM – Permanent US – Until Superseded</p>	<p>Archival Codes (Field 8)</p> <p>A – Transfer to State Archives R – Review by State Archivist</p>
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2. Agency Code	233	3. Agency Name							THIRTEENTH COURT OF APPEALS	
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					

3.2.003	70	Federal Tax Records Includes 1099, W2, FICA, and other tax records.	AC + 4		AC + 4	AC = Tax due date, date the claim is filed, or date tax is paid whichever is later. 26 CFR 31.6001 - 1(e)(2).		
3.2.004	71	Income Adjustment Authorizations Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	2		2	29 CFR 516.6(c).		
3.2.005	72	W-4 Forms Employer's copy of "Employee's Withholding Exemption Certificate."	AC + 4		AC + 4	AC = Until superseded, obsolete, or upon separation of employee. 26 CFR 31.6001-1 (e)(2).		
3.2.006	73	Wage Rate Tables	2		2	29 CFR 516.6(a)(2).		
3.2.007	74	Unemployment Compensation Records	AC + 5		AC + 5	AC = After compensation paid or rejected.		
3.2.008	75	Direct Deposit Application/Authorizations	US		US			

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	A – Transfer to State Archives R – Review by State Archivist
CE – Calendar Year End FE – Fiscal Year End	LA – Life of Asset MO – Months
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			Agency	Storage	Total			
3.2.009	76	State Deferred Compensation Records	AC + 5		AC + 5	AC = All accounts with a vendor or vendors for the individual participant have been closed. The current edition of the <i>Benefits Coordinator Reference Manual</i> issued by the Employees Retirement System of Texas is consulted for instructions regarding determination of the closure of accounts and for additional information regarding the retention period.		
3.2.010	77	Human Resources Information System (HRIS) Reports Includes supporting documentation.	AC + 4		AC + 4	AC = Until Superseded.		
		Section 3.3 Personnel Administration						
3.3.001	78	Affirmative Action Plans Affirmative action plans for both regular employees and apprenticeship programs.	5		5	29 CFR 30.8(e) for apprenticeship plans.		

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

3.3.004	79	Benefit Plans Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US + 1		US + 1	29 CFR 1627.3(b)(2).		
3.3.010	80	Labor Statistics Reports Reports providing statistical information on labor force.	3		3	NOTE: Workforce Summary Document.		
3.3.011	81	Former Employee Verification Records Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC + 75		AC + 75	AC = Termination of employment. SEE item number 3.1.038.		

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total	9. Remarks		
3.3.015	82	Positions/Job Classification Review File Records relating to review and monitoring of job classifications within an agency.	US + 3		US + 3			
3.3.022	83	Texas Workforce Commission (TWC) Reports Reports to the agency from TWC or its predecessor pertaining to employees.	3		3			
3.3.023	84	Reimbursable Activities, Requests and Authorizations to Engage in Requests and authorizations for travel; participation in educational programs, workshops, or college classes; or for other work-related activities for which the expenses of the employee are defrayed or reimbursed.	FE + 3		FE + 3			

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
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			Agency	Storage	Total			
3.3.024	85	Personnel Policies and Procedures Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US + 3		US + 3			
3.3.025	86	Job Procedure Records Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis.	US + 3		US + 3			
3.3.026	87	Agency Staffing Reports Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US + 3		US + 3			

Retention Codes (Field 7)				Archival Codes (Field 8)	
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AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded	R – Review by State Archivist	



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

3.3.027	88	Aptitude and Skills Tests Aptitude or skills tests required of job applicants or of current personnel to qualify for promotion or transfer.	US + 2		US + 2	29 CFR 1602.31.		
3.3.028	89	Aptitude and Skills Tests (Test Papers) Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	2		2	29 CFR 1602.31.		
3.3.029	90	Aptitude and Skills Tests (Validation Records) Records of the validation of aptitude and skills tests.	AC + 2		AC + 2	29 CFR 1602.31. AC = As long as the test is used by an agency.		

Retention Codes (Field 7)	Archival Codes (Field 8)
AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value	A – Transfer to State Archives R – Review by State Archivist
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			Agency	Storage	Total			
3.3.030	91	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 an agency's programs, services, or projects.	US + 2		US + 2			
3.3.031	92	EEO Reports and Supporting Documentation Includes documentation used to complete EEO reports.	3		3		29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.	

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



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			Agency	Storage	Total	9. Remarks			

Section 3.4 Time and Leave									
3.4.001	93	Accumulated Leave Adjustment Requests Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees.	FE + 3		FE + 3				
3.4.002	94	Leave Status Reports Cumulative report is issued each pay cycle and provides employee leave status information for each position.	FE + 3		FE + 3				
3.4.004	95	Overtime Authorizations	2		2				
3.4.006	96	Time Cards and Time Sheets	FE + 4		FE + 4		40 TAC 815.106(i).		
3.4.007	97	Time Off and/or Sick Leave Requests	FE + 3		FE + 3		29 CFR 825.500.		

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



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			Agency	Storage	Total			

3.4.008	98	Sick Leave Pool Documentation Requests submitted, approvals, number of hours transferred in and out, etc.	FE + 3	FE + 3			
		Category 4: Fiscal Records					
		Section 4.1 Worksheets, Detail Information on Financial Event or Transaction					
4.1.001	99	Accounts Payable Information	FE + 3	FE + 3			
4.1.003	100	Canceled Checks/Stubs/Warrants/Drafts	FE + 3	FE + 3			
4.1.005	101	Inventory and Other Cost Files Production, job, labor, quotes, pricing, specifications, etc.	FE + 3	FE + 3			
4.1.007	102	Transfers or Budget Revisions Transfers or adjustment to budgets.	FE + 3	FE + 3			

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	PM – Permanent US – Until Superseded
LA – Life of Asset	MO – Months



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			Agency	Storage	Total			
4.1.008	103	Electronic Fund Transfers Direct Deposit Registers.	FE + 3		FE + 3			
		Section 4.2 Documents of Original Entry						
4.2.001	104	Cash Deposit Vouchers Cash deposit slips.	FE + 3		FE + 3			
4.2.003	105	Daily Cash Receipts Logs	FE + 3		FE + 3			
4.2.004	106	Encumbrance Vouchers Orders, statements, change orders, etc.	FE + 3		FE + 3			
4.2.005	107	Purchase Vouchers Requisitions, orders, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE + 3		FE + 3			
4.2.006	108	General Journal Vouchers	FE + 3		FE + 3			

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
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			Agency	Storage	Total	9. Remarks			

4.2.007	109	Expenditure Vouchers Travel, payroll, etc.	FE + 3		FE + 3			
		Section 4.3 Journals or Registers						
4.3.001	110	Sales Journals or Registers	FE + 3		FE + 3			
4.3.002	111	Receipts Journals or Registers	FE + 3		FE + 3			
4.3.003	112	Expenditures Journals or Registers	FE + 3		FE + 3			
		Section 4.4 Ledgers						
4.4.001	113	General and Subsidiary Ledgers	FE + 3		FE + 3			
4.4.002	114	Accounts Receivable Ledgers	FE + 3		FE + 3			
4.4.003	115	Accounts Payable Ledgers	FE + 3		FE + 3			
		Section 4.5 Reports						
4.5.001	116	Worksheets for Preparing Fiscal Reports	FE + 3		FE + 3			

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



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			Agency	Storage	Total				
4.5.002	117	Internal Fiscal Management Reports Includes agency monthly budget reports.	FE + 3		FE + 3		NOTE: Includes six-month report for case receipts and deposits to Comptroller.		
4.5.003	118	Annual Financial Reports Required by the General Appropriations Act (100 Day Report).	AC + 6		AC + 6	A	AC = September 1 of odd-numbered calendar years. NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
4.5.005	119	External Fiscal Reports Special purpose - i.e. federal financial reports, salary reports, etc. Includes HUB Reports.	FE + 3		FE + 3				
4.5.006	120	Annual Operating Budgets Required by the General Appropriations Act.	FE + 3		FE + 3				

Retention Codes (Field 7)				Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives	
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			Agency	Storage	Total	9. Remarks		
4.5.007	121	USAS Reports – Daily	AC		AC	AC = Receipt and reconciliation of monthly report.		
4.5.008	122	USAS Reports - Monthly	AC		AC	AC = Receipt and reconciliation of annual report.		
4.5.009	123	USAS Reports - Annual	FE + 3		FE + 3			
		Section 4.6 Documents Showing Compliance with System of Internal Control						
4.6.001	124	Balancing Records	FE + 3		FE + 3			
4.6.002	125	Reconciliations	FE + 3		FE + 3			
		Section 4.7 Other Fiscal						
4.7.001	126	Accounting Policies and Procedures Manual	US + 3		US + 3	The State Comptroller's Manual		
4.7.003	127	Returned Checks/Warrants/Drafts (Uncollectable)	AC + 3		AC + 3	AC = After deemed uncollectable.		
4.7.004	128	Capital Asset Records	LA + 3		LA + 3			

Retention Codes (Field 7)	Archival Codes (Field 8)
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CE – Calendar Year End FE – Fiscal Year End	PM – Permanent US – Until Superseded
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			Agency	Storage	Total			
4.7.005	129	Claim Files	AC + 3		AC + 3	AC = Resolution of claim.		
4.7.006	130	Comptroller Statements	FE + 3		FE + 3			
4.7.007	131	Detail Chart of Accounts One for all accounts in use for a fiscal year.	FE + 3		FE + 3			
4.7.009	132	Fixed Asset Sequential Number Logs	US + 3		US + 3			
4.7.011	133	Texas Facilities Commission Statements (TFC) Charge or bill statements received by agencies from the TFC for services provided.	FE + 3		FE + 3			
4.7.012	134	Signature Authorizations Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	US + FE + 3		US + FE + 3			

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

Category 5: Support Services Records									
Section 5.1 General									
5.1.001	135	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 + 4	AC = Expiration or termination of the instrument according to its terms.			
5.1.004	136	Mail and Telecommunications Listings Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US		US	NOTE: Maintained in electronic format in the court's case management system.			

Retention Codes (Field 7)	Archival Codes (Field 8)
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			Agency	Storage	Total			
5.1.005	137	Postage Records Records and reports of postage expenses, including postal meter usage.	FE + 3		FE + 3			
5.1.012	138	Charge Schedules/Price Lists Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges.	US + 3		US + 3			
5.1.014	139	Office Procedures Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US + 1		US + 1			

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

5.1.015	140	Correspondence Tracking Records Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S. Postal Service or by private couriers.	1		1				
		Section 5.2 Facility Management							
5.2.006	141	Property Destruction, Certificates of	FE + 3		FE + 3				
5.2.007	142	Damage Reports Reports of damage to state property.	FE + 3		FE + 3				
5.2.008	143	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, moves, service, etc.; and service/repair logbooks, etc.	LA + 3		LA + 3				

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



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			Agency	Storage	Total	9. Remarks			

5.2.009	144	Equipment Inventory Detail Report Forms Updates agency portion of the inventory listing and adds, changes, transfers, or deletes items from inventory.	FE + 3		FE + 3			
5.2.010	145	Equipment Manuals	LA		LA			
5.2.011	146	Equipment Warranties	AC + 1		AC + 1		AC = Expiration of Warranty.	
5.2.012	147	Estimate Files (Supply and Repair Cost Estimates)	1		1			
5.2.014	148	Inventory - Annual Physical Property, equipment, supply verification.	FE + 3		FE + 3			
5.2.016	149	Inventory System Update Listings Listing shows all additions, changes, deletions, and transfer times for the monthly processing period.	AC		AC		AC = Transfer of information into annual listing.	
5.2.017	150	Lost & Stolen Property Reports	FE + 3		FE + 3			

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

5.2.019	151	Service Orders Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.	1		1				
5.2.021	152	Surplus Property Sale Reports	FE + 3		FE + 3				
5.2.023	153	Year-to-Date Activity (Inventory Listing) Shows additions, changes, transfers, and deletions of information within the inventory system. Data include agency, division, tag number, batch, document, transaction date, location, item code, description, date, and cost.	FE + 3		FE + 3				
Section 5.3 Purchasing									
5.3.002	154	Freight Bills Paid	FE + 3		FE + 3				
5.3.003	155	Freight Claims	AC + 2		AC + 2		AC = Resolution of claim.		

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



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

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2. Agency Code	233	3. Agency Name THIRTEENTH COURT OF APPEALS							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks			

5.3.005	156	Packing Slips	AV		AV			
5.3.007	157	Bid Documentation Includes bid requisition/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids, and bid tabulation/evaluations.	FE + 3		FE + 3		NOTE: If a formal written contract is the result of a successful bid or request for proposal, the successful bid or request for proposal and its supporting documentation are retained for the same period as the contract. SEE item number 5.1.001.	
5.3.008	158	Purchasing Logs Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE + 3		FE + 3		NOTE: Maintained in electronic format.	
5.3.009	159	Requests for Information Requests for information preliminary to the procurement of goods or services by direct purchase or bid.	AC		AC		AC = Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.	
Section 5.4 Risk Management								

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



STATE OF TEXAS

Records Retention Schedule

SLR 105
Form SLR 105C must accompany this form.

1. Page 59 of 60

2. Agency Code 233		3. Agency Name THIRTEENTH COURT OF APPEALS						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
5.4.001	160	Accident Reports and Associated Documentation Accident or occupational disease reports (by supervisors and employees) and other associated reports required to be submitted to the Texas Department of Insurance or its predecessors or maintained internally on accident frequency.	CE + 5		CE + 5		29 CFR 1904.33. Texas Department of Insurance retains copies of the reports submitted to it for 50 years.	
5.4.012	161	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 + 2		AC = Until superseded, date of expiration, or date of termination, whichever sooner.	
5.4.013	162	Disaster Preparedness and Recovery Plans	US		US			

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