August 10, 2016

Vanessa Mayo
Assistant Director of Business Services
Texas Alcoholic Beverage Commission
5806 Mesa Drive, Suite 165
Austin, TX 78731

Re: Agency records retention schedule amendment approved for use

Dear Ms. Vanessa Mayo:

Amendment 1 to your agency's 4th recertification of your records retention schedule is approved for use as of August 8, 2016. Your currently approved records retention schedule and all amendments are available on our website at https://www.tsl.texas.gov/slrm/state/schedules.html. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Joshua Clark at 512-936-0270 or jclark@tsl.texas.gov.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: Agency head; State Auditor
**Section 1. Agency Information**

(Submitting agencies complete this section only)

- **Agency Code**: 458
- **Agency Name**: Texas Alcoholic Beverage Commission

(Check one)

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

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

(Check one)

- [ ] Agency Head
- [ ] Records Management Officer

**Signature**

**Name (Print or type)**: Vanessa Mayo, Chief Financial Officer

**Date**: 6/23/16

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**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**

**Texas State Library and Archives Commission**

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

**Signature**

**Name (Print or type)**: Donna Osborne

**Date**: 8/8/16

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Not Required at This Time
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.

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<tr>
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<td>5. Agency Item No.</td>
<td>BSD28</td>
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<td>6. Record Series Title</td>
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<td>8. Archival</td>
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<td>9. Remarks</td>
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- AC – After Closed, Terminated, Completed, Expired, Settled
- CE – Calendar Year End
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- LA – Life of Asset

**Archival Codes (Field 8)**
- A – Transfer to State Archives
- PM – Permanent
- US – Until Superseded

**Amendment Codes (Field 12)**
- N – New
- C – Changed
- D – Deleted

SLR 122
Rev. 2/09
### Records Retention Schedule Amendment

**Agency Code**: 458  
**Agency Name**: Texas Alcoholic Beverage Commission

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**SLR 122**  
**Rev. 2/09**
### Records Retention Schedule Amendment

**State of Texas**

#### Records Retention Schedule Amendment

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- SLR 122
- Rev. 2/09
### Records Retention Schedule Amendment

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SLR 122  
Rev. 2/09
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**Amendment Codes (Field 12):**
- N

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Form SLR 105C must accompany this form.
### STATE OF TEXAS

**Records Retention Schedule Amendment**

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- SLR 122
- Rev. 2/09
## STATE OF TEXAS

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SLR 122
Rev. 2/09
### Records Retention Schedule Amendment

**State of Texas**

**Texas Alcoholic Beverage Commission**

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### Amendment Codes (Field 12)
- N - New
**STATE OF TEXAS**

**Records Retention Schedule Amendment**

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**State of Texas**

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- SLR 122
- Rev. 2/09
## Records Retention Schedule Amendment

### Agency Code
458

### Agency Name
Texas Alcoholic Beverage Commission

### Records Series Item No.
1.1.057

### Agency Item No.
TR04

### Record Series Title
Transitory Information

### Retention Period
AC

### Archival
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**SLR 122**
Rev. 2/09
November 13, 2015

Ms. Vanessa Mayo
Assistant Director of Business Services
Texas Alcoholic Beverage Commission
5806 Mesa Drive, Suite 165
Austin, TX 78731

RE: Agency records retention schedule approved for use

Dear Ms. Mayo:

Your agency’s records retention schedule is approved for use as of October 23, 2015. Your currently approved records retention schedule is available on our website at https://www.tsl.texas.gov/slrm/state/schedules.html. Please ensure all old copies of the schedule are superseded with this recertified copy.

Your approved 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 you on 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.

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 October 2020.

During a certification period changes may need to be made to your schedule. State regulations (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, Marianna Symeonides, at 512-463-5448 or msymeonides@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,

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Sherry Cook
### Section 1. Agency Information

**Agency Code**

458

**Agency Name**

Alcoholic Beverage Commission

(Check one)

- [ ] Initial Certification - Form SLR 105
- [x] Recertification - Form SLR 105
- [ ] Amendment - Form SLR 122

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

(Check one)

- [ ] Agency Head
- [x] Records Management Officer

**Signature**

[Signature]

**Name (Print or type)**

[Signature]

**Date**

3/27/2013

---

### Section 2. Approvals

**State Auditor's Office**

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

**Signature**

[Signature]

**Name (Print or type)**

[Signature]

**Date**

Not Required at This Time

---

**Texas State Library and Archives Commission**

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

**Signature**

Donna Osborne

**Name (Print or type)**

Donna Osborne

**Date**

10/23/15

**Cert/Recert No.**

4

**Amendment No.**

-
CAUTION

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

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

<table>
<thead>
<tr>
<th>Records Series Item No.</th>
<th>Agency Item No.</th>
<th>Agency Name</th>
<th>Retention Period</th>
<th>Archival</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.004 BSD1</td>
<td></td>
<td>Legislative Appropriation Requests</td>
<td>AC+6</td>
<td>AC+6</td>
</tr>
<tr>
<td>1.1.002 BSD2</td>
<td></td>
<td>Audits</td>
<td>AC+7</td>
<td>AC+7</td>
</tr>
<tr>
<td>1.1.064 BSD3</td>
<td></td>
<td>Performance Measures</td>
<td>FE+3</td>
<td>FE+3</td>
</tr>
<tr>
<td>1.1.088 BSD4</td>
<td></td>
<td>Reports on Performance Measures</td>
<td>AC+6</td>
<td>AC+6</td>
</tr>
<tr>
<td>1.1.053 BSD5</td>
<td></td>
<td>Registration Logs</td>
<td>AC</td>
<td>AC</td>
</tr>
</tbody>
</table>

#### Retention Codes (Field 7)
- AC - After Closed, Terminated, Completed, Expired, Settled
- AV - Administrative Value
- FE - Fiscal Year End
- MO - Months
- US - Until Superseded

#### Archival Codes (Field 8)
- A - Transfer to State Archives
- R - Review by State Archivist

---

*STATE OF TEXAS*

**Records Retention Schedule**

1. **Agency Code**: 458
2. **Agency Name**: Texas Alcoholic Beverage Commission
3. **Agency Item No.**: 458
4. **Records Series Item No.**: 458
5. **Agency Item No.**: 5
6. **Business Services Division**:
7. **Retention Period**: Agency Storage Total
8. **Archival**: A
9. **Remarks**: AC = September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.

**SLR 105 BSD Updated:** 11/18/18

*Rev. 11/07*
# Records Retention Schedule

**State of Texas**  
**Records Retention Schedule**

<table>
<thead>
<tr>
<th>Agency Code</th>
<th>Agency Name</th>
<th>Records Series Item No.</th>
<th>Agency Item No.</th>
<th>Business Services Division</th>
<th>Retention Period</th>
<th>Archival</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>458</td>
<td>Texas Alcoholic Beverage Commission</td>
<td>1.2.012</td>
<td>BSD6</td>
<td>Records Inventory Worksheets</td>
<td>US</td>
<td>US</td>
<td>AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>3.2.001</td>
<td>BSD7</td>
<td>Employee Deduction Authorization</td>
<td>AC+4</td>
<td>AC+4</td>
<td>Vital</td>
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<tr>
<td></td>
<td></td>
<td>3.2.002</td>
<td>BSD8</td>
<td>Payroll</td>
<td>4</td>
<td>4</td>
<td>Vital</td>
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<tr>
<td></td>
<td></td>
<td>3.2.008</td>
<td>BSD9</td>
<td>Direct Deposit Authorization</td>
<td>US</td>
<td>US</td>
<td>40TAC 815.106(i)</td>
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<tr>
<td></td>
<td></td>
<td>3.4.006</td>
<td>BSD10</td>
<td>Time and Leave Reports</td>
<td>4</td>
<td>4</td>
<td>40TAC 815.106(i)</td>
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<td></td>
<td></td>
<td>3.4.002</td>
<td>BSD11</td>
<td>Leave Status Reports</td>
<td>FE+3</td>
<td>FE+3</td>
<td>Vital</td>
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<tr>
<td></td>
<td></td>
<td>4.2.002</td>
<td>BSD12</td>
<td>Cash Receipts</td>
<td>FE+3</td>
<td>FE+3</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>4.2.005</td>
<td>BSD13</td>
<td>Purchase Voucher Requests and Requisition Books</td>
<td>FE+3</td>
<td>FE+3</td>
<td>Includes supporting information</td>
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<tr>
<td></td>
<td></td>
<td>4.2.005</td>
<td>BSD14</td>
<td>Divisional Purchase Requests</td>
<td>FE+3</td>
<td>FE+3</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>4.5.003</td>
<td>BSD15</td>
<td>Annual Financial Report</td>
<td>AC+6</td>
<td>AC+6</td>
<td>AC = September 1 of odd-numbered calendar years.</td>
</tr>
</tbody>
</table>

**Retention Codes (Field 7)**  
AC - After Closed, Terminated, Completed, Expired, Settled  
AV - Administrative Value  
CE - Calendar Year End  
FE - Fiscal Year End  
LA - Life of Asset  
MO - Months  
PM - Permanent  
US - Until Superseded

**Archival Codes (Field 8)**  
A - Transfer to State Archives  
R - Review by State Archivist

**Form SLR 105C must accompany this form.**
<table>
<thead>
<tr>
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<tbody>
<tr>
<td>4.5.006 BSD16</td>
<td></td>
<td>Annual Operating Budget</td>
<td>FE+3</td>
<td>FE+3</td>
<td></td>
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</tr>
<tr>
<td>4.2.007 BSD17</td>
<td></td>
<td>Payment Voucher (Includes Travel Vouchers)</td>
<td>FE+3</td>
<td>FE+3</td>
<td></td>
<td></td>
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<tr>
<td>4.5.009 BSD18</td>
<td></td>
<td>USAS Reports</td>
<td>FE+3</td>
<td>FE+3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>4.5.001 BSD19</td>
<td></td>
<td>Worksheets for Preparing Fiscal Reports</td>
<td>FE+3</td>
<td>FE+3</td>
<td></td>
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</tr>
<tr>
<td>4.5.002 BSD20</td>
<td></td>
<td>Internal Fiscal Management Reports</td>
<td>FE+3</td>
<td>FE+3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>5.2.020 BSD21</td>
<td></td>
<td>Supply Usage Records</td>
<td>FE+1</td>
<td>FE+1</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4.7.008 BSD22 Federal Grant Records AC+3 AC+3

5.1.001 BSD23 Contracts & Leases AC+4 AC+4

Retention Codes (Field 7):
AC = After Closed, Terminated, Completed, Expired, Settled
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MO = Months
US = Until Superseded
R = Review by State Archivist

Archival Codes (Field 8):
A = Transfer to State Archives
AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule). Vital. CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.
AC = Expiration or termination of the instrument according to its terms. Vital
## STATE OF TEXAS

### Records Retention Schedule

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
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<th></th>
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</thead>
<tbody>
<tr>
<td>458</td>
<td>Texas Alcoholic Beverage Commission</td>
<td></td>
<td></td>
<td></td>
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<td></td>
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<td>5.1.005</td>
<td>BSD24</td>
<td>Postage Records</td>
<td></td>
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<td>FE+3</td>
<td>FE+3</td>
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<tr>
<td>5.2.009</td>
<td>BSD25</td>
<td>Equipment Inventory Reports</td>
<td></td>
<td></td>
<td>FE+3</td>
<td>FE+3</td>
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<tr>
<td>5.2.021</td>
<td>BSD26</td>
<td>Surplus Property Sale Reports</td>
<td></td>
<td></td>
<td>FE+3</td>
<td>FE+3</td>
<td></td>
<td></td>
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<tr>
<td>5.4.012</td>
<td>BSD27</td>
<td>Security Access Records</td>
<td></td>
<td></td>
<td>AC+2</td>
<td>AC+2</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### Retention Codes (Field 7)
- AC – After Closed, Terminated, Completed, Expired, Settled
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### Archival Codes (Field 8)
- A – Transfer to State Archives
- R – Review by State Archivist

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**SLR 105**
Rev. 11/07

**BSD Updated: 11/18/15**
# STATE OF TEXAS

## Records Retention Schedule

<table>
<thead>
<tr>
<th></th>
<th></th>
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<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>458</td>
<td>Texas Alcoholic Beverage Commission</td>
<td>Audit and Investigations (Headquarters)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 AD1</td>
<td>Excise Audits</td>
<td>AC+3</td>
<td>AC+3</td>
<td>AC=Publication or release of final audit findings. Vital (Wholesaler, Distributor, Private Club and Seller Trainer Audits)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1 AD2</td>
<td>Local Distributor's Audits</td>
<td>AC+3</td>
<td>AC+3</td>
<td>AC=Publication or release of final audit findings.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.008 AD3</td>
<td>General Correspondence</td>
<td>2</td>
<td>AC+3</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.064 AD4</td>
<td>DISTRICT OFFICE Monthly Performance Reports</td>
<td>FE+3</td>
<td>FE+3</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.069 AD5</td>
<td>Reports - Activity</td>
<td>1</td>
<td>1</td>
<td>(Credit Law Notice of Defaults, Payments and Delinquent List; Cash Law Affidavits and Admin. Notification Letters)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.070 AD6</td>
<td>Procedures Manual</td>
<td>AC+3</td>
<td>AC+3</td>
<td>AC=Completion or termination of program, rules, policies or procedures.</td>
<td></td>
<td></td>
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</tr>
</tbody>
</table>

CAUTION: See item number 1.1.064.
### Records Retention Schedule

**State of Texas**

**Records Retention Schedule**

<table>
<thead>
<tr>
<th>Records Series</th>
<th>Agency Item No.</th>
<th>Item No.</th>
<th>Agency Name</th>
<th>Enforcement Division (Districts)</th>
<th>Retention Period</th>
<th>Archival</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1</td>
<td>FS1</td>
<td>Pending License and Permit Applications (Accounts Examiners)</td>
<td>AV</td>
<td>AV</td>
<td>Discard convenience copies after original scanned at headquarters.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>FS2</td>
<td>Withdrawn License and Permit Applications (Accounts Examiners)</td>
<td>FE+1</td>
<td>FE+1</td>
<td>If protest filed send original to HQ. See Code §11.13, 11.14</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>FS3</td>
<td>Denied License or Permit Applications</td>
<td>AC</td>
<td>AC</td>
<td>AC=receipt of application through date denial order entered.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>FS4</td>
<td>Citations Issued to Juveniles</td>
<td>AC</td>
<td>AC</td>
<td>AC=After Completed Case.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>FS5</td>
<td>Search Warrants (Sgt.)</td>
<td>AC+2</td>
<td>AC+2</td>
<td>AC=After Completed Case plus 2 years</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>FS6</td>
<td>Final Court Disposition Cards (Sgt.)</td>
<td>AC +FE</td>
<td>AC +FE</td>
<td>AC=criminal case closed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1</td>
<td>FS7</td>
<td>Complaints</td>
<td>FE+2</td>
<td>FE+2</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>1.1.069</td>
<td>FS8</td>
<td>Pending Criminal Case Reports (Sgt/Sup)</td>
<td>US+1</td>
<td>US+1</td>
<td>Convenience copies only originals maintained at HQ</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.069</td>
<td>FS9</td>
<td>Private club and exempt private club permit – Active and Dormant</td>
<td>FE+3</td>
<td>FE+3</td>
<td>Convenience copies only originals maintained at HQ</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.069</td>
<td>FS10</td>
<td>Excise Tax – Active and Dormant</td>
<td>FE+3</td>
<td>FE+3</td>
<td>Convenience copies only originals maintained at HQ</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.069</td>
<td>FS11</td>
<td>Airline Beverage Permit – Active and Dormant</td>
<td>FE+3</td>
<td>FE+3</td>
<td>Convenience copies only originals maintained at HQ</td>
<td></td>
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</table>
# Records Retention Schedule

## 1. Records Series Item No.

<table>
<thead>
<tr>
<th>No.</th>
<th>Records Series Item No.</th>
<th>Agency Item No.</th>
<th>Enforcement Division (Headquarters)</th>
<th>Retention Period</th>
<th>Archival</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.069</td>
<td>FS12</td>
<td>Local Distributor's Permit - Active and Dormant</td>
<td>458</td>
<td>FE+3</td>
<td>FE+3</td>
</tr>
<tr>
<td>5.2.016</td>
<td>FS13</td>
<td>District Employee Sheets for State Property</td>
<td>AC</td>
<td>AC</td>
<td>AC = Transfer of information into annual property listing</td>
</tr>
<tr>
<td>1.1.008</td>
<td>FS14</td>
<td>District Correspondence</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>1.2.013</td>
<td>FS15</td>
<td>Compliance Administrative Cash/Credit Law Log</td>
<td>AC</td>
<td>AC</td>
<td>AC=When log is updated, revised, or no longer needed.</td>
</tr>
<tr>
<td>5.2</td>
<td>FS16</td>
<td>Radio Log</td>
<td>FE+2</td>
<td>FE+2</td>
<td></td>
</tr>
<tr>
<td>5.2.020</td>
<td>FS17</td>
<td>Supply Usage Records</td>
<td>FE+1</td>
<td>FE+1</td>
<td>29 CFR 1904.33 The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.</td>
</tr>
<tr>
<td>5.4.001</td>
<td>FS18</td>
<td>Accidents - Vehicles</td>
<td>CE+5</td>
<td>CE+5</td>
<td>Vital</td>
</tr>
<tr>
<td>5.6.005</td>
<td>BSD29</td>
<td>Vehicle Use Reports</td>
<td>FE+3</td>
<td>FE+3</td>
<td></td>
</tr>
<tr>
<td>5.6.007</td>
<td>BSD30</td>
<td>Vehicle Titles &amp; Registration</td>
<td>LA</td>
<td>LA</td>
<td>Vital</td>
</tr>
</tbody>
</table>

---

**Retention Codes (Field 7)**

- AC - After Closed, Terminated, Completed, Expired, Settled
- AV - Administrative Value
- CE - Calendar Year End
- FE - Fiscal Year End
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- MO - Months
- PM - Permanent
- US - Until Superseded

**Archival Codes (Field 8)**

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

---

**SLR 105**

Rev. 11/07

**BSD Updated:** 11/18/15
# Records Retention Schedule

**State of Texas**

## Texas Alcoholic Beverage Commission

### Records Series Item No. 5.

<table>
<thead>
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<th>Item No.</th>
<th>Agency Code</th>
<th>Agency Name</th>
<th>Records Series Item No.</th>
<th>Title</th>
<th>Retention Period</th>
<th>Archival</th>
<th>Remarks</th>
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</thead>
<tbody>
<tr>
<td>1.1.006</td>
<td>EH1</td>
<td>Enforcement Division (Headquarters)</td>
<td></td>
<td>Complaint Records</td>
<td>AC+2</td>
<td>AC+2</td>
<td>AC=Final disposition of the complaint. CAUTION: If a complaint becomes the subject of litigation, it must be included in and is subject to the minimum retention period of item number 1.1.048. Vital</td>
</tr>
<tr>
<td>1.1.008</td>
<td>EH2</td>
<td></td>
<td></td>
<td>General Correspondence</td>
<td>2</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>1.1.043</td>
<td>EH3</td>
<td></td>
<td></td>
<td>Training Material</td>
<td>US+1</td>
<td>US+1</td>
<td></td>
</tr>
<tr>
<td>1.2.003</td>
<td>EH5</td>
<td></td>
<td></td>
<td>Enforcement Forms</td>
<td>AC+1</td>
<td>AC+1</td>
<td>AC=Discontinuance or replacement of use of form</td>
</tr>
<tr>
<td>1.2.013</td>
<td>EH6</td>
<td></td>
<td></td>
<td>Expunction Order Log</td>
<td>AC</td>
<td>AC</td>
<td>AC=When log is updated, revised, or no longer needed.</td>
</tr>
<tr>
<td>5.1.001</td>
<td>EH7</td>
<td></td>
<td></td>
<td>Contracts</td>
<td>AC+4</td>
<td>AC+4</td>
<td>AC=Expiration or termination of the instrument according to its terms. Vital</td>
</tr>
<tr>
<td>5.4.013</td>
<td>EH8</td>
<td></td>
<td></td>
<td>Disaster Preparedness and Recovery Plan - (Business Continuity Plan)</td>
<td>US</td>
<td>US</td>
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</tr>
</tbody>
</table>

### Retention Codes (Field 7)

- **AC** - After Closed, Terminated, Completed, Expired, Settled
- **AV** - Administrative Value
- **CE** - Calendar Year End
- **FE** - Fiscal Year End
- **LA** - Life of Asset
- **MO** - Months
- **PM** - Permanent
- **US** - Until Superseded

### Archival Codes (Field 8)

- **A** - Transfer to State Archives
- **R** - Review by State Archivist

**SLR 105**
Rev. 11/07

**BSD Updated:** 11/18/15
### Records Retention Schedule

#### 2. Agency Code
- **Records Series Item No.**
- **Agency Item No.**

#### 3. Agency Name
- **Texas Alcoholic Beverage Commission**

#### 4. 5. 6. 7. 8. 9. 10. 11.
- **Executive Division**
- **Retention Period**
- **Archival**
- **Remarks**

<table>
<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>1.1.007</td>
<td>EXE1</td>
<td>Administrator/Executive Administrative Correspondence</td>
<td>4</td>
<td>4</td>
<td>R</td>
</tr>
</tbody>
</table>

**Vital on executive level requires archival review (generic correspondence)**

**CAUTION:** This record series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another record series on the agency's approved schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc.

---

**Retention Codes (Field 7):**
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- US - Until Superseded

**Archival Codes (Field 8):**
- A - Transfer to State Archives
- R - Review by State Archivist

**SLR 105**
- **Rev. 11/07**

**Form SLR 105C must accompany this form.**

**SLR 105 BSD Updated: 8/26/15**
**Rev. 11/07**
## Records Retention Schedule

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<tbody>
<tr>
<td></td>
<td>Texas Alcoholic Beverage Commission</td>
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<td></td>
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</tr>
<tr>
<td>1.1.058</td>
<td>EXE2</td>
<td>Commission Meeting Agenda and Minutes</td>
<td>PM</td>
<td>PM</td>
<td>A</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.059</td>
<td>EXE3</td>
<td>Commission Meetings, Certified Agendas or Recordings of closed meetings</td>
<td>AC+2</td>
<td>AC+2</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Archives Note:** Agency retains permanent record copy. The archival requirement will be met by sending a copy to the Archives and Information Services Division, Texas State Library and Archives Commission.

**CAUTION:** This records series and item numbers 1.1.059, 1.1.060, 1.1.061, and 1.1.062 must be used for those state boards, committees, commissions, and councils, which by law or the biennial Appropriations Act, are administered by another state agency. These records and all others related to the functions of any of these dependent entities must be included in the records retention schedule of the administering agency.

**AC** = The date of the meeting or completion of pending action involving the meeting, whichever is later. Government Code, 551.104(a)

**Retention Codes (Field 7)**
- AC = After Closed, Terminated, Completed, Expired, Settled
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**Archival Codes (Field 8)**
- A = Transfer to State Archives
- R = Review by State Archivist

SLR 105
Rev. 11/07
BSD Updated: 8/25/15
**STATE OF TEXAS**

**Records Retention Schedule**

<table>
<thead>
<tr>
<th>Records Series Item No.</th>
<th>Agency Item No.</th>
<th>Executive Division</th>
<th>Retention Period</th>
<th>Archival</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.060</td>
<td>EXE4</td>
<td>Commission Meetings, Audio or Video of open meetings</td>
<td>AC+90 days</td>
<td>AC+90 days</td>
<td>AC = Official approval of written minutes of the meeting by the governing body of an agency. CAUTION: Minutes of state agencies are permanent records. Audio and videotapes are not permanent media. State agencies may not retain audio or videotapes of the meetings of governing bodies in lieu of written minutes. The proceedings of all meetings of state boards, committees, commissions, and councils must be reduced to writing. SEE caution comment at item number 1.1.058.</td>
</tr>
<tr>
<td>1.1.061</td>
<td>EXE5</td>
<td>Commission meeting notes</td>
<td>AC+90 days</td>
<td>AC+90 days</td>
<td>AC = approval of written minutes</td>
</tr>
<tr>
<td>1.1.062</td>
<td>EXE6</td>
<td>Commission meeting supporting documents</td>
<td>2</td>
<td>2</td>
<td>A</td>
</tr>
<tr>
<td>1.1.063</td>
<td>EXE7</td>
<td>Staff meeting minutes and notes</td>
<td>1</td>
<td>1</td>
<td></td>
</tr>
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**Retention Codes (Field 7)**

AC - After Closed, Terminated, Completed, Expired, Settled
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**Archival Codes (Field 8)**

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

SLR 105
Rev. 11/07

BSD Updated: 8/28/15
## Records Retention Schedule

**STATE OF TEXAS**

**Records Retention Schedule**

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<th>Records Series Item No.</th>
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<th>Agency Name</th>
<th>Retention Period</th>
<th>Archival</th>
<th>Remarks</th>
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<tbody>
<tr>
<td>1.1.065 EXE8</td>
<td></td>
<td>Reports and Studies (non-fiscal) Raw Data</td>
<td>AV</td>
<td>AV</td>
<td>CAUTION: 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.</td>
</tr>
<tr>
<td>1.1.066 EXE9</td>
<td></td>
<td>Reports—Biennial or Annual Agency</td>
<td>AC+6</td>
<td>AC+6</td>
<td>AC=Sept 1 odd years</td>
</tr>
<tr>
<td>1.1.067 EXE10</td>
<td></td>
<td>Reports and Studies (non-fiscal)</td>
<td>3</td>
<td>3</td>
<td>R</td>
</tr>
<tr>
<td>1.1.070 EXE11</td>
<td></td>
<td>Agency Policies and Procedures—Final</td>
<td>AC+3</td>
<td>AC+3</td>
<td>Vital AC=completion or termination of program policy or procedure</td>
</tr>
<tr>
<td>1.1.071 EXE12</td>
<td></td>
<td>Agency Policies and Procedure—Working Files</td>
<td>AC+3</td>
<td>AC+3</td>
<td>Vital AC=completion or termination of program policy or procedure</td>
</tr>
<tr>
<td>1.1.074 EXE13</td>
<td></td>
<td>Sunset Review Report and Documentation</td>
<td>AC+3</td>
<td>AC+3</td>
<td>AC=after subsequent sunset</td>
</tr>
<tr>
<td>1.1.075 EXE14</td>
<td></td>
<td>Alternate Dispute Resolution Final Agreements</td>
<td>AC+4</td>
<td>AC+4</td>
<td>AC=date of final agreement Texas Civil Practice and Remedies Code, Chapter 154.071</td>
</tr>
<tr>
<td>1.1.002 EXE15</td>
<td></td>
<td>Internal Audits</td>
<td>AC+7</td>
<td>AC+7</td>
<td>AC=date of final audit findings</td>
</tr>
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</table>

**Retention Codes (Field 7)**

<table>
<thead>
<tr>
<th>AC</th>
<th>AV</th>
<th>CE</th>
<th>FE</th>
<th>LA</th>
<th>MO</th>
<th>PM</th>
<th>US</th>
<th>R</th>
</tr>
</thead>
<tbody>
<tr>
<td>After Closed, Terminated, Completed, Expired, Settled</td>
<td>Administrative Value</td>
<td>Calendar Year End</td>
<td>Fiscal Year End</td>
<td>Life of Asset</td>
<td>Months</td>
<td>Permanent</td>
<td>Until Superseded</td>
<td>Review by State Archivist</td>
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**Archival Codes (Field 8)**

<table>
<thead>
<tr>
<th>A</th>
<th>AC</th>
<th>PM</th>
<th>US</th>
<th>R</th>
</tr>
</thead>
<tbody>
<tr>
<td>Transfer to State Archives</td>
<td>After Closed, Terminated, Completed, Expired, Settled</td>
<td>Permanent</td>
<td>Until Superseded</td>
<td>Review by State Archivist</td>
</tr>
</tbody>
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**SLR 105**
Rev. 11/07

Form SLR 105C must accompany this form.

Congressional Printing Office
SLR 105C
 October 1, 2013

BSD Updated: 8/28/15
<table>
<thead>
<tr>
<th>Code</th>
<th>Agency Name</th>
<th>Records Series Item No.</th>
<th>Agency Item No.</th>
<th>Retention Period</th>
<th>Archival</th>
<th>Remarks</th>
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</thead>
<tbody>
<tr>
<td>1.1.008</td>
<td>EXE16 Correspondence General</td>
<td>2</td>
<td>2</td>
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<tr>
<td>1.1.010</td>
<td>EXE17 Directives</td>
<td>US+1</td>
<td>US+1</td>
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<tr>
<td>1.1.011</td>
<td>EXE18 Executive Orders</td>
<td>US+3</td>
<td>US+3 A</td>
<td>Vital</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.019</td>
<td>EXE19 Public Relations Records</td>
<td>2</td>
<td>2</td>
<td>R</td>
<td></td>
<td></td>
</tr>
<tr>
<td>1.1.023</td>
<td>EXE20 Organization Charts</td>
<td>US</td>
<td>US A</td>
<td></td>
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<td></td>
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<tr>
<td>1.1.024</td>
<td>EXE21 Plans and Planning Records</td>
<td>AC+3</td>
<td>AC+3 R</td>
<td></td>
<td></td>
<td>AC = Decision made to implement or not to implement result of planning process.</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>ARCHIVES NOTE: Data processing planning records are not archival.</td>
</tr>
<tr>
<td>1.1.027</td>
<td>EXE22 Proposed Legislation</td>
<td>AV</td>
<td>AV</td>
<td></td>
<td></td>
<td>AC = final disposition of summary report.</td>
</tr>
<tr>
<td>1.1.038</td>
<td>EXE23 Customer Surveys</td>
<td>AC</td>
<td>AC</td>
<td></td>
<td></td>
<td>AC = End of term of office or employment by person presenting.</td>
</tr>
<tr>
<td>1.1.040</td>
<td>EXE24 Speeches, Papers and Presentations</td>
<td>AC</td>
<td>AC R</td>
<td></td>
<td></td>
<td>AC = Sept 1 odd years send plan to State Library satisfies archive req.</td>
</tr>
<tr>
<td>1.1.055</td>
<td>EXE25 Strategic Plans</td>
<td>AC+6</td>
<td>AC+6 A</td>
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</tbody>
</table>

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

- Form SLR 105C must accompany this form.
## STATE OF TEXAS
### Records Retention Schedule

<table>
<thead>
<tr>
<th>Records Series Item No.</th>
<th>Agency Item No.</th>
<th>Agency Name</th>
<th>Records Agency</th>
<th>Retention Period</th>
<th>Archival</th>
<th>Remarks</th>
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<tbody>
<tr>
<td>1.1.057</td>
<td>EXE26</td>
<td>Texas Alcoholic Beverage Commission</td>
<td>Executive Division</td>
<td></td>
<td>AC</td>
<td>AC</td>
</tr>
</tbody>
</table>

**AC = Purpose of record has been fulfilled.**

**CAUTION:** Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.

The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).

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### Archival Codes (Field 8)
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**SLR 105**
**Rev. 11/07**

**BSD Updated:** 8/26/15
### Records Retention Schedule

#### STATE OF TEXAS

**Records Retention Schedule**

**2. Agency Code**: 458  
**3. Agency Name**: Texas Alcoholic Beverage Commission

<table>
<thead>
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</thead>
<tbody>
<tr>
<td>3.1.001</td>
<td>HR01</td>
<td>Human Resources Department</td>
<td>2</td>
<td>2</td>
<td>29 CFR §1602.31</td>
</tr>
<tr>
<td>3.1.002</td>
<td>HR02</td>
<td>Personnel File</td>
<td>AC+5</td>
<td>AC+5</td>
<td>Vital AC = termination of employment may include other HR item*</td>
</tr>
<tr>
<td>3.1.006</td>
<td>HR03</td>
<td>Employee Counseling Records</td>
<td>AC+3</td>
<td>AC+3</td>
<td>AC = Termination of counseling</td>
</tr>
<tr>
<td>3.1.011</td>
<td>HR04</td>
<td>Employee Insurance Records</td>
<td>AC</td>
<td>AC</td>
<td>AC = Until superseded or termination of employment</td>
</tr>
<tr>
<td>3.1.012</td>
<td>HR05</td>
<td>Employment Opportunity Announcements</td>
<td>2</td>
<td>2</td>
<td>29 CFR 1602.31</td>
</tr>
<tr>
<td>3.1.013</td>
<td>HR06</td>
<td>Employment Contracts</td>
<td>AC+4</td>
<td>AC+4</td>
<td>Vital* AC = Expiration or termination of the contract according to its terms.</td>
</tr>
<tr>
<td>3.1.014</td>
<td>HR07</td>
<td>Employment Selection Records</td>
<td>2</td>
<td>2</td>
<td>Vital 29 CFR 1602.31</td>
</tr>
</tbody>
</table>

**RetentionPolicy**

**Human Resources Department**

**Archival Codes**

- AC - After Closed, Terminated, Completed, Expired, Settled
- AV - Administrative Value
- CE - Calendar Year End
- CE - Calendar Year End
- LA - Life of Asset
- FE - Fiscal Year End
- MO - Months
- US - Until Superseded
- PM - Permanent
- R - Review by State Archivist
- TSLAC ONLY

**SLR 105**  
**Rev. 11/07**  
**BSD Updated: 8/26/2015**
## Records Retention Schedule

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<tr>
<td>3.1.018</td>
<td></td>
<td>Human Resources Department</td>
<td>AC+2</td>
<td>AC+2</td>
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<tr>
<td>3.1.019</td>
<td></td>
<td>Performance Appraisals</td>
<td>2</td>
<td>2</td>
<td>29 CFR 1602.32(c)</td>
</tr>
<tr>
<td>3.1.020</td>
<td></td>
<td>Personnel Corrective Action Documentation</td>
<td>AC+5</td>
<td>AC+5</td>
<td></td>
</tr>
<tr>
<td>3.1.021</td>
<td></td>
<td>Personnel Disciplinary Action Documentation</td>
<td>AC+5</td>
<td>AC+5</td>
<td>AC=Termination of employment</td>
</tr>
<tr>
<td>3.1.022</td>
<td></td>
<td>Personnel Information or Action Forms</td>
<td>2</td>
<td>2</td>
<td>29 CFR 1602.31</td>
</tr>
</tbody>
</table>

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**Archival Codes (Field B)**
- A - Transfer to State Archives
- R - Review by State Archivist

Form SLR 105C must accompany this form.

SLR 105
Rev. 11/07

**CAUTION:**
- Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U.S. Department of Labor. SEE item number 1.1.048.
- 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 minimum retention period described by item number 3.1.021.
### STATE OF TEXAS

#### Records Retention Schedule

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<thead>
<tr>
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<tbody>
<tr>
<td>458</td>
<td>Texas Alcoholic Beverage Commission</td>
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<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3.1.023</th>
<th>HR13</th>
<th>Job Descriptions</th>
<th>AC+4</th>
<th>AC+4</th>
<th>Vital AC = until superseded or job eliminated. 40 TAC 815.106(i)</th>
<th>AC= Destroy after immediate purpose</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1.026</td>
<td>HR14</td>
<td>Criminal History Check</td>
<td>AC</td>
<td>AC</td>
<td>CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agency's legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.</td>
<td></td>
</tr>
</tbody>
</table>

#### Retention Codes (Field 7)
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SLR 105
Rev. 11/07

Form SLR 105C must accompany this form.

SLR 105 BSD Updated: 8/25/15
## Records Retention Schedule

### Agency
- **Code**: 458
- **Name**: Texas Alcoholic Beverage Commission

### Records Series
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</tr>
</thead>
<tbody>
<tr>
<td>3.1.029</td>
<td>HR15</td>
<td>Employment Eligibility INS 1-9</td>
<td>AC+5</td>
<td>AC+5 for CPO</td>
<td>AC+1 all others</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>AC+1</td>
<td></td>
<td>Vital</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>CAUTION: 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 later. Agencies should make certain that the INS 1-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).</td>
</tr>
<tr>
<td>3.1.031</td>
<td>HR16</td>
<td>Employee Benefits – Other than Insurance</td>
<td>AC+2</td>
<td></td>
<td>AC+2</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>AC+2</td>
<td></td>
<td>Vital</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.</td>
</tr>
</tbody>
</table>

### Retention Codes (Field 7)
- AC – After Closed, Terminated, Completed, Expired, Settled
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**SLR 105**
**Rev. 11/07**

BSD Updated: 8/28/15
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<tr>
<th>Records Series Item No.</th>
<th>Agency Item No.</th>
<th>Agency Name</th>
<th>Texas Alcoholic Beverage Commission</th>
<th>Retention Period</th>
<th>Archival</th>
<th>Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>3.1.038</td>
<td>HR17</td>
<td>Public Access Option Form</td>
<td>US</td>
<td>US</td>
<td>Vital</td>
<td></td>
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<tr>
<td>3.2.010</td>
<td>HR18</td>
<td>Human Resources Information System (HRIS) Reports</td>
<td>AC+4</td>
<td>AC+4</td>
<td>Vital</td>
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<tr>
<td>3.3.001</td>
<td>HR19</td>
<td>Affirmative Action Plan</td>
<td>5</td>
<td>5</td>
<td>Recruitment plan</td>
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<tr>
<td>3.3.011</td>
<td>HR20</td>
<td>Former Employee Verification Records</td>
<td>AC+75</td>
<td>AC+75</td>
<td>Vital AC = Termination of employment.</td>
<td></td>
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<tr>
<td>3.3.015</td>
<td>HR21</td>
<td>Positions / Job Classification Review File</td>
<td>US+3</td>
<td>US+3</td>
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<tr>
<td>3.3.024</td>
<td>HR22</td>
<td>Human Resources Manual</td>
<td>US+3</td>
<td>US+3</td>
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<tr>
<td>3.3.027</td>
<td>HR23</td>
<td>Aptitude and Skills Tests</td>
<td>US+2</td>
<td>US+2</td>
<td>29 CFR §1602.31 CAUTION: One copy of each different test (different in terms of either questions or administration procedures) should be retained for the period indicated.</td>
<td></td>
</tr>
<tr>
<td>3.3.028*</td>
<td>HR24</td>
<td>Aptitude and Skills Test (Test Papers)</td>
<td>2</td>
<td>2</td>
<td>29 CFR §1602.31</td>
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<tr>
<td>3.3.031</td>
<td>HR25</td>
<td>EEO Reports and Supporting Documentation</td>
<td>3</td>
<td>3</td>
<td>29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.</td>
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</tr>
</tbody>
</table>
# Records Retention Schedule

**STATE OF TEXAS**

**Texas Alcoholic Beverage Commission**

<table>
<thead>
<tr>
<th>Records Series Item No.</th>
<th>Agency Item No.</th>
<th>Agency Name</th>
<th>Retention Period</th>
<th>Archival Remarks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.1.048</td>
<td>HR26</td>
<td>EEOC Complaint</td>
<td>AC+1</td>
<td>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.</td>
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<tr>
<td>3.4.007</td>
<td>HR27</td>
<td>Time Off and/or Sick Leave Reports</td>
<td>FE+3</td>
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<tr>
<td>Records Series Item No.</td>
<td>Agency Item No.</td>
<td>Agency Name</td>
<td>Texas Alcoholic Beverage Commission</td>
<td>Information Resources Division</td>
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<tr>
<td>------------------------</td>
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<td>--------------------------------------</td>
<td>-------------------------------</td>
</tr>
<tr>
<td>2.1.001</td>
<td>IRD1</td>
<td>Processing Files</td>
<td>AC</td>
<td>AC</td>
</tr>
</tbody>
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### Records Retention Schedule

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<thead>
<tr>
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</thead>
<tbody>
<tr>
<td>2.1.002</td>
<td>IRD2</td>
<td>Information Resources Division</td>
<td>AC</td>
<td>AC</td>
<td>AC=Completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur. Vital CAUTION: Records management officers must be certain before assigning the retention period of AC to agency automated processing files that the files do not fall under records series listed elsewhere.</td>
</tr>
</tbody>
</table>

#### Retention Codes (Field 7)
- AC - After Closed, Terminated, Completed, Expired, Settled
- AV - Administrative Value
- CE - Calendar Year End
- FE - Fiscal Year End
- LA - Life of Asset
- MO - Months
- PM - Permanent
- US - Until Superseded

#### Archival Codes (Field 8)
- A - Transfer to State Archives
- R - Review by State Archivist

---

**Form SLR 105C must accompany this form.**

SLR 105
Rev. 11/07

BSD Updated: 8/25/15
<table>
<thead>
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<tr>
<td>2.1.007</td>
<td>IRD3</td>
<td>Texas Alcoholic Beverage Commission</td>
<td>Information Resources Division</td>
<td>AC</td>
<td>AC</td>
<td>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 Vital CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.</td>
</tr>
</tbody>
</table>

**Retention Codes (Field 7)**
- AC - After Closed, Terminated, Completed, Expired, Settled
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**Archival Codes (Field 8)**
- CE - Calendar Year End
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SLR 105
Rev. 11/07
BSD Updated: 8/25/15
# STATE OF TEXAS

## Records Retention Schedule

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<tbody>
<tr>
<td></td>
<td>Texas Alcoholic Beverage Commission</td>
<td>2.1.009</td>
<td>IRD4</td>
<td>Technical Documentation</td>
<td>AC</td>
<td>AC</td>
<td>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</td>
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<tr>
<td></td>
<td></td>
<td>2.2.010</td>
<td>IRD5</td>
<td>IRD Policies and Procedures</td>
<td>US</td>
<td>3</td>
<td>US+3</td>
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<td></td>
<td></td>
<td>2.2.016</td>
<td>IRD6</td>
<td>Software Licensing and Registration</td>
<td>LA+3</td>
<td>LA+3</td>
<td>Vital</td>
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<td>106</td>
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<tr>
<td>5.4.013</td>
<td>IRD7</td>
<td>Disaster Preparedness and Recovery Plan</td>
<td>Business Resumption Plan</td>
<td>US</td>
<td>US</td>
<td>Vital</td>
<td>106</td>
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### Retention Codes (Field 7)

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SLR 105
Rev. 11/07

Form SLR 105C must accompany this form.

SLR 105 BSD Updated: 8/25/15
# STATE OF TEXAS

## Records Retention Schedule

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<thead>
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</thead>
<tbody>
<tr>
<td>458</td>
<td>Texas Alcoholic Beverage Commission</td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

### 1.1.007
- **LG1**: Correspondence, Administrative
- **Retention Period**: 4
- **Archival**: R
- **Remarks**: Vital. Contact State Archives after retention period met.

### 1.1.008
- **LG2**: Correspondence, General
- **Retention Period**: 2
- **Archival**: R
- **Remarks**: CAUTION: A record of this type purchased with personal funds, but used by a state official or employee to document his or her work activities may be a state record and subject to this retention period. See Open Records Decision 635 issued in December 1995 by the Attorney General.

### 1.1.013
- **LG3**: Calendars, appointments and Itinerary
- **Retention Period**: CE+1
- **Archival**: R
- **Remarks**: Division director only. Contact State Archives after retention period met.

### 1.1.010
- **LG4**: Directives
- **Retention Period**: US+1

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**Archival Codes (Field 8)**
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**SLR 105**
Rev. 11/07

BSD Updated: 8/26/15
# Records Retention Schedule

**STATE OF TEXAS**

## Records Retention Schedule

|----------------|----------------|---------------------------|-------------------|------------------|-------------------|------------|----------|

**1.1.014** | LG5 | Legal Opinions & Advice | AV | AV R | State Archives review before disposal |

**CAUTION:** Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation. SEE item number 1.1.048.

**1.1.020** | LG6 | Public Information Requests-not exempt | AC+1 | AC+1 | AC=date request fulfilled |

**1.1.021** | LG7 | Public Information Requests- exempt | AC+2 | AC+2 | AC=date of exemption |

**1.1.026** | LG8 | Public Information Reports to OAG | 2 | 2 | |

**1.1.040** | LG9 | Texas Register Submissions | AC+1 | AC+1 | AC=date of publication in TexReg |

**1.1.043** | LG10 | Speeches, Papers and Presentations | AC | AC R | AC=end of employment |

**1.1.043** | LG11 | Training Materials | US+1 | US+1 | |

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- PM – Permanent
- SE – Superseded
- US – Until Superseded

**Archival Codes (Field 8)**

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- R – Review by State Archivist

SLR 105

Rev. 11/07

BSD Updated: 8/28/15
## Records Retention Schedule

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<tr>
<td>1.1.048</td>
<td>LG12</td>
<td></td>
<td></td>
<td>AC+1</td>
<td>AC+1 R</td>
</tr>
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</table>

**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.

**ARCHIVES NOTE:** Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.

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**Retention Codes (Field 7)**
- **AC** - After Closed, Terminated, Completed, Expired, Settled
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- **PM** - Permanent
- **US** - Until Superseded

**Archival Codes (Field 8)**
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- **R** - Review by State Archivist

**SLR 105**
*Rev. 11/07*
<table>
<thead>
<tr>
<th>2. Agency Code</th>
<th>458</th>
<th>3. Agency Name</th>
<th>Texas Alcoholic Beverage Commission</th>
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</thead>
<tbody>
<tr>
<td>4. Records Series Item No.</td>
<td>1.1.048</td>
<td>5. Agency Item No.</td>
<td>LG13</td>
</tr>
<tr>
<td>7. Retention Period</td>
<td>AC+1</td>
<td>8. Archival</td>
<td>AC+1</td>
</tr>
<tr>
<td>Archival Codes (Field 8)</td>
<td>A - Transfer to State Archives</td>
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<tr>
<td>Retention Codes (Field 7)</td>
<td>AC - After Closed, Terminated, Completed, Expired, Settled</td>
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</table>

ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.

1.1.070 LG14 Agency Rules, Policies and Procedures, Final AC+3 R Vital AC = Completion or termination of program rules or procedures. Contact State Archives after retention schedule met.

1.1.071 LG15 Agency Rules, Policies and Procedures working files AC+3 R Vital. AC = Completion or termination of program, rules, policies, or procedures. Kept with 1.1.070
## Records Retention Schedule

<table>
<thead>
<tr>
<th>Records Series Item No.</th>
<th>Agency Item No.</th>
<th>Legal Division</th>
<th>Retention Period</th>
<th>Archival</th>
<th>Remarks</th>
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<tr>
<td>1.2.005</td>
<td>LG16</td>
<td>Texas Alcoholic Beverage Commission</td>
<td>US</td>
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<tr>
<td>1.2.014</td>
<td>LG17</td>
<td>Records Management Plan</td>
<td>US+1</td>
<td>US+1</td>
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<tr>
<td>5.1.014</td>
<td>LG18</td>
<td>Legal Division Policies and Procedures Manual</td>
<td>US+1</td>
<td>US+1</td>
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</tbody>
</table>

- **Retention Codes (Field 7):**
  - AC - After Closed, Terminated, Completed, Expired, Settled
  - AV - Administrative Value
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- **Archival Codes (Field 8):**
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---

**SLR 105**

**Form SLR 105C must accompany this form.**

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<table>
<thead>
<tr>
<th>Records Series Item No.</th>
<th>Agency Item No.</th>
<th>Agency Name</th>
<th>Retention Period</th>
<th>Archival</th>
<th>Remarks</th>
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<tr>
<td>1.1</td>
<td>LD1</td>
<td>Actual Voided Permits and Licenses</td>
<td>1</td>
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<td>1.1</td>
<td>LD2</td>
<td>Temporary Licenses</td>
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<td>1.1</td>
<td>LD3</td>
<td>General Correspondence</td>
<td>2</td>
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<tr>
<td>1.1</td>
<td>LD4</td>
<td>License &amp; Permit Files</td>
<td>AC+1</td>
<td>2</td>
<td>AC+3</td>
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<tr>
<td>1.2.012</td>
<td>LD5</td>
<td>Record Inventory Worksheets</td>
<td>US</td>
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<tr>
<td>1.2.013</td>
<td>LD6</td>
<td>Records Control Locator Aids</td>
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<tr>
<td>1.2</td>
<td>LD7</td>
<td>Administrative Alert List</td>
<td>5</td>
<td>5</td>
<td>Vital bank information/management halt/maintained electronically</td>
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RetentionPolicy Codes (Field 7)
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Archival Codes (Field 8)
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<table>
<thead>
<tr>
<th>Records Series Item No.</th>
<th>Agency Item No.</th>
<th>Agency Name</th>
<th>Texas Alcoholic Beverage Commission</th>
<th>Licensing Division</th>
<th>Retention Period</th>
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<th>Remarks</th>
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<tr>
<td>3.3.030</td>
<td>LDB</td>
<td>Procedures Manual – Training Administration Records</td>
<td>US 2 US+2</td>
<td>Electronic paper convenience copy CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.</td>
<td></td>
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<tr>
<td>4.1.002</td>
<td>LD9</td>
<td>Tax Assessor Billings</td>
<td>FE 3 FE+3</td>
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<tr>
<td>4.7</td>
<td>LD10</td>
<td>Tax Assessor Statements</td>
<td>FE 3 FE+3</td>
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# Records Retention Schedule

## Records Series

<table>
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<th>Retention Period</th>
<th>Archival</th>
<th>Remarks</th>
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</thead>
<tbody>
<tr>
<td>1.1.008</td>
<td>MP1</td>
<td>General Correspondence</td>
<td>2</td>
<td>AC</td>
<td>AC = Purpose of record has been fulfilled.</td>
</tr>
<tr>
<td>1.1.057</td>
<td>MP2</td>
<td>Industry Promotions - Approval Requests</td>
<td>OTC</td>
<td>AC</td>
<td>AC = Purpose of record has been fulfilled.</td>
</tr>
<tr>
<td>1.1.070</td>
<td>MP3</td>
<td>Marketing Practices Policy Bulletins and Statements</td>
<td>US+3</td>
<td>US+3</td>
<td>Vital Public access through agency website</td>
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</tbody>
</table>

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### Archival Codes (Field 8)
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<th>Agency Name</th>
<th>Records Series</th>
<th>Item No.</th>
<th>Retention Period</th>
<th>Archival</th>
<th>Remarks</th>
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<td>OPR1</td>
<td>Texas Alcoholic Beverage Commission</td>
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<td>1.1</td>
<td>OPR2</td>
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<td>Complaint Logs and Card Files</td>
<td>AV</td>
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<td>1.1.006</td>
<td>OPR4</td>
<td></td>
<td>Complaint Statistical Reports</td>
<td>AV</td>
<td>AV</td>
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<tr>
<td>1.1.006</td>
<td>OPR5</td>
<td></td>
<td>Exonerated, Not Sustained, or Unfounded Complaints (Certified Peace Officers Only)</td>
<td>AC+2</td>
<td>AC+2</td>
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<tr>
<td>1.1.006</td>
<td>OPR6</td>
<td></td>
<td>Sustained Complaints (Certified Peace Officers Only)</td>
<td>AC+2</td>
<td>AC+2</td>
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<tr>
<td>1.1.006</td>
<td>OPR7</td>
<td></td>
<td>Exonerated, Not Sustained, or Unfounded Complaints - all other employees</td>
<td>AC+2</td>
<td>AC+2</td>
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<tr>
<td>3.1.039</td>
<td>OPR8</td>
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<td>Sustained Complaints - all other employees</td>
<td>AC+2</td>
<td>AC+2</td>
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<td></td>
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<td></td>
<td>Management Issues</td>
<td>AC+1</td>
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- R - Review by State Archivist

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**CAUTION:** If a complaint becomes Exonerated, Not Sustained, or Unfounded the subject of litigation, it must be included in and subject to the minimum retention period of item number 1.1.048.

**AC** = Final Disposition of the Sustained Complaints - all other employees

**AC** = Final Disposition of the Exonerated, Not Sustained, or Unfounded Complaints - all other employees

**AC** = Complaint closed. Similar to complaints except minor complaint will not result in disciplinary action.
# STATE OF TEXAS

## Records Retention Schedule

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>458</td>
<td>Texas Alcoholic Beverage Commission</td>
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<tr>
<td>1.1.000</td>
<td>PO1 Quality Assurance/Tax Compliance Officer Audits</td>
<td>AC+3</td>
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<td>1.1.008</td>
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<td>1.1.070</td>
<td>PO5 Procedures Manual</td>
<td>AC+3</td>
<td>AC+3</td>
<td>R</td>
<td>AC=Completion or termination of program, rules, policies or procedures.</td>
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<td>1.2.003</td>
<td>PO6 Ports of Entry Forms</td>
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<td>AC+1</td>
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<td>AC = Discontinuance or replacement of use of form</td>
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<td>3.1.013</td>
<td>PO7 Temporary Employee Contract Documentation</td>
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<td>4.2.003</td>
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**Retention Codes (Field 7)**
- AC – After Closed, Terminated, Completed, Expired, Settled
- AV – Administrative Value
- CE – Calendar Year End
- FE – Fiscal Year End
- LA – Life of Asset
- MO – Months
- PM – Permanent
- US – Until Superseded

**Archival Codes (Field 8)**
- A – Transfer to State Archives
- R – Review by State Archivist

**SLR 105**
Rev. 11/07

**BSD Updated**: 8/25/15
### Records Retention Schedule

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<td>5.1.005</td>
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<td>5.6.005</td>
<td>PO17</td>
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### STATE OF TEXAS

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| 1.1 | SST1 | Seller Training Procedures Manual | US | US |
| 1.1.043 | SST2 | Seller Training D.P. User Guide | US+1 | US+1 |
| 1.1.006 | SST3 | Seller Training Incident and Complaint File | AC+2 | AC+2 |
| 1.1.008 | SST4 | Seller Training General Correspondence | 2 | 2 |
| 1.1.043 | SST5 | Seller Training D.P. Users Guide | US+1 | US+1 |
| 1.1.057 | SST6 | Notices of Scheduled Training Sessions | AC+6MO | AC+6MO |

**Remarks**

- AC: Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).
- CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.
- AC: Completion of training.

**Retention Codes (Field 7)**

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SLR 105

Rev. 11/07

BSD Updated: 8/26/15
## Records Retention Schedule

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<tr>
<th>Records Series Item No.</th>
<th>Agency Item No.</th>
<th>Agency Name</th>
<th>Records Item No.</th>
<th>Education Prevention Division</th>
<th>Retention Period</th>
<th>Archival</th>
<th>Remarks</th>
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<td>4.7.008</td>
<td>SST7</td>
<td>Texas Alcoholic Beverage Commission</td>
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<td>5.1</td>
<td>SST9</td>
<td>Seller/Server Certificates Issued</td>
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AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).

CAUTION: Retention requirements may vary depending on the specific federal funding agency. Agencies must ensure that records are retained for the appropriate retention period.

### Retention Codes (Field 7)
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SLR 105
Rev. 11/07

BSD Updated: 8/26/15
# STATE OF TEXAS

## Records Retention Schedule

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### 1.1 TD1 Lab Records
- Retention Period: FE+3
- Archival: FE+3

### 1.1 TD2 Destructions of Tested Products
- Retention Period: FE+3
- Archival: FE+3

### 4.5 TD3 Label Applications
- Retention Period: 6 MO PM PM

### 4.5.005 TD4 Industrials - Form C-214
- Retention Period: FE+3
- Archival: FE+3

### 4.5.005 TD5 Direct Shippers - Form C-240
- Retention Period: FE+3
- Archival: FE+3

### 4.5.005 TD6 Carriers - Form C-220
- Retention Period: FE+3
- Archival: FE+3

### 4.5.005 TD7 Nonresident Sellers - Form C-205
- Retention Period: FE+3
- Archival: FE+3

### 4.5.005 TD8 Nonresident Manufacturers - Form C-231
- Retention Period: FE+3
- Archival: FE+3

### 4.5.005 TD9 Air/Train - Form C-212
- Retention Period: FE+3
- Archival: FE+3

### 4.5.005 TD10 Brewers - Form C-236
- Retention Period: FE+3
- Archival: FE+3

### 4.5.005 TD11 Wholesalers Ale - Form C-233
- Retention Period: FE+3
- Archival: FE+3

### 4.5.005 TD12 Distributors - Form C-230
- Retention Period: FE+3
- Archival: FE+3

### 4.5.005 TD13 Wholesalers - Form C-210
- Retention Period: FE+3
- Archival: FE+3

### 4.5.005 TD14 Sacramental - Form C-39
- Retention Period: FE+3
- Archival: FE+3

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SLR 105 BSD Updated: 8/26/15
Rev. 11/07
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<th>Records Series</th>
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<td>TD15</td>
<td>Manufacturers - Form C-235</td>
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<td>Warehouse - Form C-200</td>
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<td>4.5.005</td>
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<td>Winery - Form C-215</td>
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<td>Audits and Inspections</td>
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<td>3.3</td>
<td>TR01</td>
<td>Training Records - Non Commissioned Personnel (Automated Series)</td>
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<td>3.3</td>
<td>TR02</td>
<td>Texas Commission on Law Enforcement Officer Standards and Education Training Records</td>
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<td>3.3.030</td>
<td>TR03</td>
<td>Training Administration Records</td>
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</table>

**Retention Period**

- **Agency**
- **Storage**
- **Total**

**Archival**

- **Remarks**

**Notes**

- **Vital**: Vital records should be maintained in Training Division for all Certified Peace Officers.
- **AC = Two Years from date employee leave employment of agency**: AC = Two Years from date employee leave employment of agency.
- **CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.**

**CAUTION:** Does not include hazardous material training records. SEE item number 5.4.007.
Instructions for Completing Form SLR 105

Forms SLR 105 must be used by all state agencies to submit the agency records retention schedule (Texas Government Code, Chapter 441, §441.185). See Form SLR 105C instructions for submission procedures. If you have any questions relating to completion of this form or SLR 105C, please contact the State and Local Records Management Division at 512-421-7200.

Formatting: When duplicating this form electronically, leave at least a ¾ inch in the top and left margins. Use 10 point font and larger for the data entered into the schedule.

Field 1  Enter the page number and the total number of pages in the retention schedule (i.e., 1 of 15).
Field 2  Enter the 3-digit Agency Code assigned by the Comptroller of Public Accounts.
Field 3  Enter the complete name of your agency.
Field 4  Enter the item number for the records series from the State Records Retention Schedule (RRS). If the records series title is not included in the RRS, enter the numbers of the appropriate "Category" and "Section" from the RRS where it should be listed. Category and Section Numbers are at the top of the page in the RRS. If the records series cannot be matched to a category and section, then leave Field 4 blank.
Field 5  Enter the number that has been assigned by your agency to the corresponding records series. If numbers have not been assigned, then begin with number 1 for the first listing and continue in numerical order.
Field 6  Enter the official title of the records series (i.e., W-4 Forms, Labor Statistics Report, Surety Bonds). The official title that you assign to the records series does not have to be the same as the records series title listed in the RRS.
Field 7  Enter the retention period the records series is to be retained in active use at the agency, the number of years it is to be retained in an inactive storage facility, such as the State Records Center, and the total of the two amounts. If a retention period is less than one year, enter the number of months. Refer to the retention codes at the bottom of the form.
Field 8  Using the archival codes at the bottom of the form, indicate the archival value, if applicable, of the records series:
   A - Used with records series that will be transferred to the State Archives and do not require a prior review by the State Archivist.
   R - Used with records series that have undetermined archival value, and require a review by the State Archivist prior to being transferred to the State Archives.
Field 9  Enter any statute references, other legal citations, or agency policy used as a basis for the retention period.
Field 10 If this records series is stored at the State Records Center; enter the RMD 106 Storage Approval Number.
Field 11 DO NOT WRITE IN THIS FIELD. TSLAC USE ONLY