



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/slrn/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](mailto:jclark@tsl.texas.gov).

Sincerely,

Craig Kelso  
Director and State Records Administrator

cc: Agency head; State Auditor

Lorenzo de Zavala  
State Archives and  
Library Building

1201 Brazos Street  
Austin, Texas  
78701

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

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

Commission Chairman  
Michael C. Waters

*Members*

Sharon T. Carr  
Martha Dory Freeman  
F. Lynwood Givens  
Larry G. Hodges  
Wm. Scott McAfee  
Sandra J. Pickett

Director and Librarian  
Mark Smith

**TSLAC**  
Preserving yesterday,  
informing today,  
inspiring tomorrow.



STATE OF TEXAS  
**Records Retention Schedule Certification**

SLR 105C

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

**Section 1. Agency Information**

*(Submitting agencies complete this section only)*

Agency Code 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

**Section 2. Approvals**

*(Submitting agencies do not write in this section)*

**State Auditor's Office**

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

Signature

Name (Print or type)

Date

*Not Required at This Time*

**Texas State Library and Archives Commission**

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

Signature

Name (Print or type)

Date

Donna Osborne  
Donna Osborne  
8/8/16

Cert/Recert No.

Amendment No.

1

1

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## **CAUTION**

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

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





# STATE OF TEXAS

## Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 13

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	

1.1.057	BSD28	Transitory Information	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>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).</p>				N
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New	
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	C – Changed	
	LA – Life of Asset	US – Until Superseded		D – Deleted	





# STATE OF TEXAS

## Records Retention Schedule Amendment

**SLR 122**

*Form SLR 105C must accompany this form.*

1. Page 2 of 13

2. Agency Code		458		3. Agency Name								Texas Alcoholic Beverage Commission							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival			10. 106 No.	11. Current Schedule		12. Amend. Type							
			Agency	Storage	Total	9. Remarks	Page No.	Agency Item No.											

1.1.057	AD7	Transitory Information	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>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).</p>				N
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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

**Amendment Codes (Field 12)**

N – New  
 C – Changed  
 D – Deleted



# STATE OF TEXAS

## Records Retention Schedule Amendment

**SLR 122**

*Form SLR 105C must accompany this form.*

1. Page 3 of 13

2. Agency Code		458		3. Agency Name								Texas Alcoholic Beverage Commission							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival			10. 106 No.	11. Current Schedule		12. Amend. Type							
			Agency	Storage	Total	9. Remarks				Page No.	Agency Item No.								

1.1.057	FS21	Transitory Information	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>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).</p>				N
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Retention Codes (Field 7)	Archival Codes (Field 8)	Amendment Codes (Field 12)
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	N – New C – Changed D – Deleted



# STATE OF TEXAS

## Records Retention Schedule Amendment

**SLR 122**

*Form SLR 105C must accompany this form.*

1. Page 4 of 13

2. Agency Code		458		3. Agency Name								Texas Alcoholic Beverage Commission							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival			10. 106 No.	11. Current Schedule		12. Amend. Type							
			Agency	Storage	Total	9. Remarks	Page No.	Agency Item No.											

1.1.057	EH9	Transitory Information	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>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).</p>				N
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New		
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AV – Administrative Value	LA – Life of Asset	US – Until Superseded		D – Deleted		



Texas  
State Library  
and Archives  
Commission

## STATE OF TEXAS

# Records Retention Schedule Amendment

SLR 122

Form SLR 105C must  
accompany this form.

1. Page 5 of 13

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	

1.1.057	HR28	Transitory Information	AC		AC	AC = Purpose of record has been fulfilled.  CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.  The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).				N
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	N – New	
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent	R – Review by State Archivist	C – Changed	
	LA – Life of Asset	US – Until Superseded		D – Deleted	





Texas  
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## STATE OF TEXAS

# Records Retention Schedule Amendment

SLR 122

Form SLR 105C must  
accompany this form.

1. Page 6 of 13

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	

1.1.057	IRD8	Transitory Information	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>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).</p>				N
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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

### Amendment Codes (Field 12)

N – New  
C – Changed  
D – Deleted



Texas  
State Library  
and Archives  
Commission

## STATE OF TEXAS

# Records Retention Schedule Amendment

SLR 122

Form SLR 105C must  
accompany this form.

1. Page 7 of 13

2. Agency Code	458	3. Agency Name	Texas Alcoholic Beverage Commission							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10.	11. Current Schedule		12.
			Agency	Storage	Total	9. Remarks	106 No.	Page No.	Agency Item No.	Amend. Type

1.1.057	LG19	Transitory Information	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>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).</p>				N
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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

### Amendment Codes (Field 12)

N – New  
C – Changed  
D – Deleted



# STATE OF TEXAS

## Records Retention Schedule Amendment

**SLR 122**

*Form SLR 105C must accompany this form.*

1. Page 8 of 13

2. Agency Code <b>458</b>		3. Agency Name <b>Texas Alcoholic Beverage Commission</b>								
4.  Records Series Item No.	5.  Agency Item No.	6.  Record Series Title	7.  Retention Period			8.  Archival  9. Remarks	10.  106 No.	11. Current Schedule		12.  Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	

1.1.057	LD11	Transitory Information	AC	AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>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).</p>				N
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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

**Amendment Codes (Field 12)**

N – New  
C – Changed  
D – Deleted



# STATE OF TEXAS

## Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 9 of 13

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	

1.1.057	MP4	Transitory Information	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>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).</p>				N
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	R – Review by State Archivist	N – New
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent			C – Changed
	LA – Life of Asset	US – Until Superseded			D – Deleted





# STATE OF TEXAS

## Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 10 of 13

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Page No.	Agency Item No.	

1.1.057	OPR9	Transitory Information	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>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).</p>				N
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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

Amendment Codes (Field 12)

N – New  
C – Changed  
D – Deleted



# STATE OF TEXAS

## Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 11 of 13

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	

1.1.057	PO18	Transitory Information	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>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).</p>				N
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Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	R – Review by State Archivist	N – New
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent			C – Changed
	LA – Life of Asset	US – Until Superseded			D – Deleted



# STATE OF TEXAS

## Records Retention Schedule Amendment

**SLR 122**

*Form SLR 105C must accompany this form.*

1. Page 12 of 13

2. Agency Code <b>458</b>		3. Agency Name <b>Texas Alcoholic Beverage Commission</b>								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	

1.1.057	SST10	Transitory Information	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>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).</p>				N
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<b>Retention Codes (Field 7)</b>  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			<b>Archival Codes (Field 8)</b>  A – Transfer to State Archives R – Review by State Archivist	<b>Amendment Codes (Field 12)</b>  N – New C – Changed D – Deleted
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## STATE OF TEXAS

## Records Retention Schedule Amendment

SLR 122

Form SLR 105C must  
accompany this form.

1. Page 13 of 13

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			Page No.	Agency Item No.	

1.1.057	TR04	Transitory Information	AC		AC	AC = Purpose of record has been fulfilled.  CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.  The disposal of transitory information need not be documented through destruction signoffs (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).				N

## Retention Codes (Field 7)

AC – After Closed, Terminated,  
Completed, Expired, Settled  
AV – Administrative ValueCE – Calendar Year End  
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LA – Life of AssetMO – Months  
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## Archival Codes (Field 8)

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

## Amendment Codes (Field 12)

N – New  
C – Changed  
D – Deleted





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

State and Local  
Records Management

Dear Ms. Mayo:

P.O. Box 12927  
Austin, Texas  
78711 2927

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/slrn/state/schedules.html>. Please ensure all old copies of the schedule are superseded with this recertified copy.

4400 Shoal Creek Blvd.  
Austin, Texas  
78756

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 on you the importance of disposing of the records of your agency in a timely manner in accordance with the retention periods on your schedule. The destruction of any records of your agency not on your schedule requires special authorization from us.

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

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**.

*Commission Chairman*  
Michael C. Waters

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](mailto:msymeonides@tsl.texas.gov).

*Members*  
Sharon T. Carr  
Martha Doty Freeman  
F. Linwood Givens  
Larry G. Holt  
Wm. Scott McAffee  
Sandra J. Pickett

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.

*Director and Librarian*  
Mark Smith

Sincerely,

*Assistant State Librarian*  
Edward Seidenberg

Craig Kelso  
Director and State Records Administrator

*Preserving yesterday,  
informing today,  
inspiring tomorrow.*

cc: State Auditor, State Archivist, Sherry Cook

R01.458/458



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 458

Agency Name 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) Elizabeth V. Wachmann

Date 3/27/2013

**Section 2. Approvals**

(Submitting agencies do not write in this section)

State Auditor's Office

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

Signature

Name (Print or type)

Date

Not Required at This Time

Texas State Library and Archives Commission

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

Signature

Name (Print or type)

Date

Donna Osborne

Donna Osborne

10/23/15

Cert/Recert No.

4

Amendment No.

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## **CAUTION**

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

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





**TABC**

TEXAS ALCOHOLIC BEVERAGE COMMISSION

*service ★ courtesy ★ integrity ★ accountability*

## Records Retention Schedule

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# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 2 of 41

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Business Services Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.004	BSD1	Legislative Appropriation Requests	AC+6		AC+6	A	AC=September 1 of odd-numbered calendar years. ARCHIVES NOTE: The archival requirement is met by sending the required copies of the requests to the Texas State Publications Depository Program, Texas State Library and Archives Commission. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.		
1.1.002	BSD2	Audits	AC+7		AC+7		AC=Publication or release of final audit findings. The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		
1.1.064	BSD3	Performance Measures	FE+3		FE+3		Vital. CAUTION: The FE + 3 retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.		
1.1.068	BSD4	Reports on Performance Measures	AC+6		AC+6		AC=Sept 1 odd numbered years		
1.1.053	BSD5	Registration Logs	AC		AC		AC=Report filed with the Texas Ethics Commission.		

### Retention Codes (Field 7)

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

CE – Calendar Year End  
FE – Fiscal Year End

LA – Life of Asset  
MO – Months

PM – Permanent  
US – Until Superseded

### Archival Codes (Field 8)

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





# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 3 of 41

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Business Services Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.2.012	BSD6	Records Inventory Worksheets	US		US			
3.2.001	BSD7	Employee Deduction Authorization	AC+4		AC+4	AC=After termination of employee or after amendment, expiration, or termination of authorization, whichever sooner.		
3.2.002	BSD8	Payroll	4		4	Vital 40TAC 815.106(i)		
3.2.008	BSD9	Direct Deposit Authorization	US		US	Vital		
3.4.006	BSD10	Time and Leave Reports	4		4	40 TAC 815.106(i)		
3.4.002	BSD11	Leave Status Reports	FE+3		FE+3	Vital		
4.2.002	BSD12	Cash Receipts	FE+3		FE+3			
4.2.005	BSD13	Purchase Voucher Requests and Requisition Books	FE+3		FE+3			
4.2.005	BSD14	Divisional Purchase Requests	FE+3		FE+3	Includes supporting information		
4.5.003	BSD15	Annual Financial Report	AC+6		AC+6	AC = September 1 of odd-numbered calendar years.		

### Retention Codes (Field 7)

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AV – Administrative Value

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LA – Life of Asset  
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### Archival Codes (Field 8)

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.

1. Page 4 of 41

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Business Services Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

4.5.006	BSD16	Annual Operating Budget	FE+3		FE+3			
4.2.007	BSD17	Payment Voucher (Includes Travel Vouchers)	FE+3		FE+3			
4.5.009	BSD18	USAS Reports	FE+3		FE+3			
4.5.001	BSD19	Worksheets for Preparing Fiscal Reports	FE+3		FE+3			
4.5.002	BSD20	Internal Fiscal Management Reports	FE+3		FE+3			
5.2.020	BSD21	Supply Usage Records	FE+1		FE+1			
4.7.008	BSD22	Federal Grant Records	AC+3		AC+3	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.		
5.1.001	BSD23	Contracts & Leases	AC+4		AC+4	AC=Expiration or termination of the instrument according to its terms. Vital		

### 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



# STATE OF TEXAS

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page **5** of **41**

2. Agency Code <b>458</b>		3. Agency Name <b>Texas Alcoholic Beverage Commission</b>						
4. Records Series Item No.	5. Agency Item No.	6. Business Services Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

5.1.005	BSD24	Postage Records	FE+3		FE+3			
5.2.009	BSD25	Equipment Inventory Reports	FE+3		FE+3			
5.2.021	BSD26	Surplus Property Sale Reports	FE+3		FE+3			
5.4.012	BSD27	Security Access Records	AC+2		AC+2	AC=Until superseded, date of expiration, or date of termination, whichever sooner.  Vital		

**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



# STATE OF TEXAS

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page **6** of **42**

2. Agency Code <b>458</b>		3. Agency Name <b>Texas Alcoholic Beverage Commission</b>						
4. Records Series Item No.	5. Agency Item No.	6. Audit and Investigations (Headquarters)	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.1	AD1	Excise Audits	AC+3		AC+3	AC=Publication or release of final audit findings. Vital (Wholesaler, Distributor, Private Club and Seller Trainer Audits)		
1.1	AD2	Local Distributor's Audits	AC+3		AC+3	AC=Publication or release of final audit findings.		
1.1.008	AD3	General Correspondence	2		2			
1.1.064	AD4	DISTRICT OFFICE Monthly Performance Reports	FE+3		FE+3			
1.1.069	AD5	Reports – Activity	1		1	(Credit Law Notice of Defaults, Payments and Delinquent List; Cash Law Affidavits and Admin. Notification Letters)  CAUTION: See item number 1.1.064.		
1.1.070	AD6	Procedures Manual	AC+3		AC+3	R AC=Completion or termination of program, rules, policies or procedures.		



# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 7 of 42

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Enforcement Division (Districts)	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1	FS1	Pending License and Permit Applications (Accounts Examiners)	AV		AV	Discard convenience copies after original scanned at headquarters.		
1.1	FS2	Withdrawn License and Permit Applications (Accounts Examiners)	FE+1		FE+1	If protest filed send original to HQ. see Code §11.13, 11.44		
1.1	FS3	Denied License or Permit Applications	AC		AC	AC=receipt of application through date denial order entered. Send original with order to Licensing Headquarters		
1.1	FS4	Citations Issued to Juveniles	AC		AC	AC=After Completed Case.		
1.1	FS5	Search Warrants (Sgt.)	AC+2		AC+2	AC=After Completed Case plus 2 years		
1.1	FS6	Final Court Disposition Cards (Sgt.)	AC +FE		AC +FE	AC=criminal case closed		
1.1	FS7	Complaints	FE+2		FE+2			
1.1.069	FS8	Pending Criminal Case Reports (Sgt/Sup)	US+1		US+1			
1.1.069	FS9	Private club and exempt private club permit – Active and Dormant	FE+3		FE+3	Convenience copies only originals maintained at HQ		
1.1.069	FS10	Excise Tax – Active and Dormant	FE+3		FE+3	Convenience copies only originals maintained at HQ		
1.1.069	FS11	Airline Beverage Permit – Active and Dormant	FE+3		FE+3	Convenience copies only originals maintained at HQ		





# STATE OF TEXAS Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page **8** of **42**

2. Agency Code <b>458</b>		3. Agency Name <b>Texas Alcoholic Beverage Commission</b>						
4. Records Series Item No.	5. Agency Item No.	6. Enforcement Division (Headquarters)	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.069	FS12	Local Distributor's Permit – Active and Dormant	FE+3		FE+3	Convenience copies only originals maintained at HQ		
5.2.016	FS13	District Employee Sheets for State Property	AC		AC	AC = Transfer of information into annual property listing		
1.1.008	FS14	District Correspondence	2		2			
1.2.013	FS15	Compliance Administrative Cash/Credit Law Log	AC		AC	AC=When log is updated, revised, or no longer needed.		
5.2	FS16	Radio Log	FE+2		FE+2			
5.2.020	FS17	Supply Usage Records	FE+1		FE+1			
5.4.001	FS18	Accidents – Vehicles	CE+5		CE+5	29 CFR 1904.33 The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.  Vital		
5.6.005	BSD29	Vehicle Use Reports	FE+3		FE+3			
5.6.007	BSD30	Vehicle Titles & Registration	LA		LA	Vital		

**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



# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 9 of 42

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Enforcement Division (Headquarters)	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.006	EH1	Complaint Records	AC+2		AC+2	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		
1.1.008	EH2	General Correspondence	2		2			
1.1.043	EH3	Training Material	US+1		US+1			
1.1.070	EH4	Enforcement Policy and Procedures Manual	US+3		US+3	R US+3=Updates to rules, policies or procedures Vital.		
1.2.003	EH5	Enforcement Forms	AC+1		AC+1	AC = Discontinuance or replacement of use of form		
1.2.013	EH6	Expunction Order Log	AC		AC	AC=When log is updated, revised, or no longer needed.		
5.1.001	EH7	Contracts	AC+4		AC+4	AC=Expiration or termination of the instrument according to its terms.		
5.4.013	EH8	Disaster Preparedness and Recovery Plan – (Business Continuity Plan)	US		US	Vital		

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		



# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 10 of 42

2. Agency Code		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Executive Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.007	EXE1	Administrator/Executive Administrative Correspondence	4		4	R	<p>Vital on executive level requires archival review (generic correspondence)</p> <p>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.</p>		
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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



# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 11 of 42

2. Agency Code		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Executive Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.058	EXE2	Commission Meeting Agenda and Minutes	PM		PM	A	<p>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.</p> <p>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.</p>		
1.1.059	EXE3	Commission Meetings, Certified Agendas or Recordings of closed meetings	AC+2		AC+2		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  
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



# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 12 of 42

2. Agency Code		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Executive Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.060	EXE4	Commission Meetings, Audio or Video of open meetings	AC+90 days		AC+90 days	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.		
1.1.061	EXE5	Commission meeting notes	AC+90 days		AC+90 days	AC=approval of written minutes		
1.1.062	EXE6	Commission meeting supporting documents	2		2	A		
1.1.063	EXE7	Staff meeting minutes and notes	1		1			

### Retention Codes (Field 7)

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AV – Administrative Value

CE – Calendar Year End  
FE – Fiscal Year End

LA – Life of Asset  
MO – Months

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US – Until Superseded

### Archival Codes (Field 8)

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.

1. Page 13 of 42

2. Agency Code		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Executive Division	7. Retention Period Agency Storage Total			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.

1.1.065	EXE8	Reports and Studies (non-fiscal) Raw Data	AV		AV	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.		
1.1.066	EXE9	Reports—Biennial or Annual Agency	AC+6		AC+6 A	AC=Sept 1 odd years  ARCHIVES NOTE: The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
1.1.067	EXE10	Reports and Studies (non-fiscal)	3		3 R			
1.1.070	EXE11	Agency Policies and Procedures—Final	AC+3		AC+3 R	Vital AC=completion or termination of program policy or procedure		
1.1.071	EXE12	Agency Policies and Procedure—Working Files	AC+3		AC+3 R	Vital AC=completion or termination of program policy or procedure		
1.1.074	EXE13	Sunset Review Report and Documentation	AC+3		AC+3 R	AC=after subsequent sunset		
1.1.075	EXE14	Alternate Dispute Resolution Final Agreements	AC+4		AC+4	AC=date of final agreement Texas Civil Practice and Remedies Code, Chapter 154.071		
1.1.002	EXE15	Internal Audits	AC+7		AC+7	AC=date of final audit findings		

### 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



# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 14 of 42

2. Agency Code		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Executive Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.008	EXE16	Correspondence General	2		2			
1.1.010	EXE17	Directives	US+1		US+1			
1.1.011	EXE18	Executive Orders	US+3		US+3	A	Vital	
1.1.019	EXE19	Public Relations Records	2		2	R		
1.1.023	EXE20	Organization Charts	US		US	A		
1.1.024	EXE21	Plans and Planning Records	AC+3		AC+3	R	AC = Decision made to implement or not to implement result of planning process. ARCHIVES NOTE: Data processing planning records are not archival.	
1.1.027	EXE22	Proposed Legislation	AV		AV			
1.1.038	EXE23	Customer Surveys	AC		AC		AC=final disposition of summary report	
1.1.040	EXE24	Speeches, Papers and Presentations	AC		AC	R	AC=End of term of office or employment by person presenting	
1.1.055	EXE25	Strategic Plans	AC+6		AC+6	A	AC=Sept 1 odd years send plan to State Library satisfies archive req.	

### Retention Codes (Field 7)

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CE – Calendar Year End  
FE – Fiscal Year End

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MO – Months

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US – Until Superseded

### Archival Codes (Field 8)

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.

1 Page 15 of 42

2. Agency Code		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Executive Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.1.057	EXE26	Transitory Information	AC		AC	<p>AC = Purpose of record has been fulfilled.</p> <p>CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions.</p> <p>The disposal of transitory information need not be documented through destruction 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).</p>		
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## Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled  
AV – Administrative ValueCE – Calendar Year End  
FE – Fiscal Year EndLA – Life of Asset  
MO – MonthsPM – Permanent  
US – Until Superseded

## Archival Codes (Field 8)

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.*

1. Page **16** of **42**

2. Agency Code <b>458</b>		3. Agency Name <b>Texas Alcoholic Beverage Commission</b>						
4. Records Series Item No.	5. Agency Item No.	6. Human Resources Department	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
3.1.001	HR01	Application for Employment - Not hired	2		2	29 CFR §1602.31		
3.1.002	HR02	Personnel File	AC+5		AC+5	Vital AC = termination of employment may include other HR item*		
3.1.006	HR03	Employee Counseling Records	AC+3		AC+3	AC = Termination of counseling		
3.1.011	HR04	Employee Insurance Records	AC		AC	AC = Until superseded or termination of employment  CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001.		
3.1.012	HR05	Employment Opportunity Announcements	2		2	29 CFR 1602.31		
3.1.013	HR06	Employment Contracts	AC+4		AC+4	Vital* AC = Expiration or termination of the contract according to its terms.		
3.1.014	HR07	Employment Selection Records	2		2	Vital 29 CFR 1602.31  CAUTION: Does not include criminal history checks. SEE item number 3.1.026.		

**Retention Codes (Field 7)**

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MO – Months

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US – Until Superseded

**Archival Codes (Field 8)**

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.

1, Page 17 of 42

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Human Resources Department	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

3.1.018	HR08	Grievance Records	AC+2		AC+2	Vital AC = Final decision on the grievance. CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Office (EEO) of the U. S. Department of Labor. SEE item number 1.1.048.		
3.1.019	HR09	Performance Appraisals	2		2	29 CFR 1602.32(c)		
3.1.020	HR10	Personnel Corrective Action Documentation	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 minimum retention period described by item number 3.1.021.		
3.1.021	HR11	Personnel Disciplinary Action Documentation	AC+5		AC+5	AC=Termination of employment		
3.1.022	HR12	Personnel Information or Action Forms	2		2	29 CFR 1602.31		

## Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled  
AV – Administrative ValueCE – Calendar Year End  
FE – Fiscal Year EndLA – Life of Asset  
MO – MonthsPM – Permanent  
US – Until Superseded

## Archival Codes (Field 8)

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.

1. Page 18 of 42

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Human Resources Department	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

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

## Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled  
AV – Administrative ValueCE – Calendar Year End  
FE – Fiscal Year EndLA – Life of Asset  
MO – MonthsPM – Permanent  
US – Until Superseded

## Archival Codes (Field 8)

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.

1. Page 19 of 42

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Human Resources Department	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

3.1.029	HR15	Employment Eligibility INS I-9	AC+5 AC+1		AC+5 AC+1	AC=Termination of employment AC+5 for CPO AC+1 all others Vital  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 I-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).		
3.1.031	HR16	Employee Benefits – Other than Insurance	AC+2		AC+2	Vital 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)

AC – After Closed, Terminated, Completed, Expired, Settled  
AV – Administrative ValueCE – Calendar Year End  
FE – Fiscal Year EndLA – Life of Asset  
MO – MonthsPM – Permanent  
US – Until Superseded

## Archival Codes (Field 8)

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.*

1. Page **20** of **42**

2. Agency Code <b>458</b>		3. Agency Name <b>Texas Alcoholic Beverage Commission</b>						
4. Records Series Item No.	5. Agency Item No.	6. Human Resources Department	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

3.1.038	HR17	Public Access Option Form	US		US	Vital		
3.2.010	HR18	Human Resources Information System (HRIS) Reports	AC+4		AC+4	Vital		
3.3.001	HR19	Affirmative Action Plan	5		5	Recruitment plan		
3.3.011	HR20	Former Employee Verification Records	AC+75		AC+75	Vital AC = Termination of employment.		
3.3.015	HR21	Positions / Job Classification Review File	US+3		US+3			
3.3.024	HR22	Human Resources Manual	US+3		US+3			
3.3.027	HR23	Aptitude and Skills Tests	US+2		US+2	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.		
3.3.028*	HR24	Aptitude and Skills Test (Test Papers)	2		2	29 CFR §1602.31		
3.3.031	HR25	EEO Reports and Supporting Documentation	3		3	29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50.		

**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



# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 21 of 42

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Human Resources Department	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.1.048	HR26	EEOC Complaint	AC+1		AC+1	R	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.		
3.4.007	HR27	Time Off and/or Sick Leave 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		



## STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 22 of 42

2. Agency Code		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Information Resources Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
2.1.001	IRD1	Processing Files	AC		AC	AC=Completion of 3 <sup>rd</sup> 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.  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.		

## Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled  
AV – Administrative ValueCE – Calendar Year End  
FE – Fiscal Year EndLA – Life of Asset  
MO – MonthsPM – Permanent  
US – Until Superseded

## Archival Codes (Field 8)

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.

1. Page 23 of 42

2. Agency Code		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Information Resources Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

2.1.002	IRD2	Master Files	AC		AC	AC=Completion of 3 <sup>rd</sup> 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.		
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## Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled  
AV – Administrative ValueCE – Calendar Year End  
FE – Fiscal Year EndLA – Life of Asset  
MO – MonthsPM – Permanent  
US – Until Superseded

## Archival Codes (Field 8)

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.*

1. Page **24** of **42**

2. Agency Code		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Information Resources Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

2.1.007	IRD3	Software Programs	AC		AC	<p>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</p> <p>Vital</p> <p>CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.</p>		
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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



# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 25 of 42

2. Agency Code		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Information Resources Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

2.1.009	IRD4	Technical Documentation	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  Vital  CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.		
2.2.010	IRD5	IRD Policies and Procedures	US	3	US+3	Vital; Project Management Records  CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records. SEE item number 2.1.009.		
2.2.016	IRD6	Software Licensing and Registration	LA+3		LA+3	Vital		

### 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



# STATE OF TEXAS

## Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page **26** of **42**

2. Agency Code		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Information Resources Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
5.4.013	IRD7	Disaster Preparedness and Recovery Plan – (Business Resumption Plan)	US		US	Vital		5.4.013

### Retention Codes (Field 7)

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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



# STATE OF TEXAS Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 27 of 42

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Legal Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.1.007	LG1	Correspondence, Administrative	4		4	R	Vital. Contact State Archives after retention period met.		
1.1.008	LG2	Correspondence, General	2		2		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	CE+1		CE+1	R	Division director only. Contact State Archives after retention period met.  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.		
1.1.010	LG4	Directives	US+1		US+1				

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





# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 28 of 42

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Legal Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

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		
1.1.072	LG8	Public Information Reports to OAG	2		2				
1.1.026	LG9	Texas Register Submissions	AC+1		AC+1		AC=date of publication in TexReg		
1.1.040	LG10	Speeches, Papers and Presentations	AC		AC	R	AC=end of employment		
1.1.043	LG11	Training Materials	US+1		US+1				

### 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



# STATE OF TEXAS Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

i. Page **29** of **42**

2. Agency Code <b>458</b>		3. Agency Name <b>Texas Alcoholic Beverage Commission</b>						
4. Records Series Item No.	5. Agency Item No.	6. Legal Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.048	LG12	Litigation Files	AC+1		AC+1 R	<p>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.</p> <p>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.</p>		
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Retention Codes (Field 7)						Archival Codes (Field 8)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	LA – Life of Asset	PM – Permanent	A – Transfer to State Archives		R – Review by State Archivist	
AV – Administrative Value	FE – Fiscal Year End	MO – Months	US – Until Superseded				



# STATE OF TEXAS Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page **30** of **42**

2. Agency Code <b>458</b>		3. Agency Name <b>Texas Alcoholic Beverage Commission</b>						
4. Records Series Item No.	5. Agency Item No.	6.  <b>Legal Division</b>	7. Retention Period Agency Storage Total			8. Archival 9. Remarks	10.  <b>106 No.</b>	11. <b>TSLAC ONLY</b> Amend. No.

1.1.048	LG13	Contested Case Files	AC+1		AC+1	R	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.		
1.1.070	LG14	Agency Rules, Policies and Procedures, Final	AC+3		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		AC+3	R	Vital. AC = Completion or termination of program, rules, policies, or procedures. Kept with 1.1.070		

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				



# STATE OF TEXAS Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page **31** of **42**

2. Agency Code <b>458</b>		3. Agency Name <b>Texas Alcoholic Beverage Commission</b>						
4. Records Series Item No.	5. Agency Item No.	6. Legal Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.2.005	LG16	Records Retention Schedule	US		US	Original retained by State Library. Tracking and destruction forms electronic in Lotus Notes maintained by BSD.		
1.2.014	LG17	Records Management Plan	US+1		US+1			
5.1.014	LG18	Legal Division Policies and Procedures Manual	US+1		US+1			

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		



# STATE OF TEXAS Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page **32** of **42**

2. Agency Code <b>458</b>		3. Agency Name <b>Texas Alcoholic Beverage Commission</b>						
4. Records Series Item No.	5. Agency Item No.	6. Licensing Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1	LD1	Actual Voided Permits and Licenses	1		1			
1.1	LD2	Temporary Licenses	FE		FE			
1.1.008	LD3	General Correspondence	2		2			
1.1	LD4	License & Permit Files	AC+1	2	AC+3		Vital Paper scanned and maintained electronically. AC is expiration or cancellation of license or permit. 106 No.91-458-015	
1.2.012	LD5	Record Inventory Worksheets	US		US			
1.2.013	LD6	Records Control Locator Aids	AC+1		AC+1		AC=When control aid is updated, revised, or no longer needed.  Vital searchable electronic database  CAUTION: These records must carry the same retention period and archival code of the records they support.	
1.2	LD7	Administrative Alert List	5		5		Vital bank information/ management halt / maintained electronically	

**Retention Codes (Field 7)**

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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





# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 33 of 42

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Licensing Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

3.3.030	LD8	Procedures Manual – Training Administration Records	US	2	US+2	Electronic paper convenience copy CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.		
4.1.002	LD9	Tax Assessor Billings	FE	3	FE+3			
4.7	LD10	Tax Assessor Statements	FE	3	FE+3			



# STATE OF TEXAS Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page **34** of **42**

2. Agency Code <b>458</b>		3. Agency Name <b>Texas Alcoholic Beverage Commission</b>						
4.  Records Series Item No.	5.  Agency Item No.	6.  Marketing Practices	7.  Retention Period			8.  Archival	10.  106 No.	11.  TSLAC ONLY Amend. No.
			Agency	Storage	Total			
1.1.008	MP1	General Correspondence	2		2			
1.1.057	MP2	Industry Promotions - Approval Requests	AC		AC	AC=Purpose of record has been fulfilled.		
1.1.070	MP3	Marketing Practices Policy Bulletins and Statements	US+3		US+3	R Vital Public access through agency website		

**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



# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 35 of 42

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Office of Professional Responsibility	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.1	OPR1	Complaint Logs and Card Files	AV		AV			
1.1	OPR2	Complaint Statistical Reports	AV		AV			
1.1.006	OPR4	Exonerated, Not Sustained, or Unfounded Complaints (Certified Peace Officers Only)	AC+2		AC+2	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.		
1.1.006	OPR5	Sustained Complaints (Certified Peace Officers Only)	AC+2		AC+2	AC = Final Disposition of the Complaint See previous Caution Note on OPR4		
1.1.006	OPR6	Exonerated, Not Sustained, or Unfounded Complaints – all other employees	AC+2		AC+2	AC = Final Disposition of the Complaint See previous Caution Note on OPR4		
1.1.006	OPR7	Sustained Complaints – all other employees	AC+2		AC+2	AC = Final Disposition of the Complaint		
3.1.039	OPR8	Management Issues	AC+1		AC+1	AC=Complaint closed. Similar to complaints except minor complaint will not result in disciplinary action.		

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	



# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 36 of 42

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Ports of Entry	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1.000	PO1	Quality Assurance/Tax Compliance Officer Audits	AC+3		AC+3			
1.1.008	PO2	General Correspondence	2		2			
1.1.064	PO3	Monthly Performance Reports	FE+3		FE+3			
1.1.069	PO4	Reports – Activity	1		1			
1.1.070	PO5	Procedures Manual	AC+3		AC+3	R	AC=Completion or termination of program, rules, policies or procedures.	
1.2.003	PO6	Ports of Entry Forms	AC+1		AC+1		AC = Discontinuance or replacement of use of form	
3.1.013	PO7	Temporary Employee Contract Documentation	FE+3		FE+3			
3.3.030	PO8	Training Administration Records	US+2		US+2			
4.2.003	PO9	Tax Compliance Officer Tax Collection Records	FE+3		FE+3			
4.6.001	PO10	Balancing Records	FE+3		FE+3			
4.6.002	PO11	Reconciliations	FE+3		FE+3			
4.6.003	PO12	Cash Counts	FE+3		FE+3			

### Retention Codes (Field 7)

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

CE – Calendar Year End  
FE – Fiscal Year End

LA – Life of Asset  
MO – Months

PM – Permanent  
US – Until Superseded

### Archival Codes (Field 8)

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



# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 37 of 42

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Ports of Entry	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

5.1.005	PO13	Postage Records	FE+3		FE+3			
5.2.018	PO14	Quality Control Reports/Logs	FE+3		FE+3			
5.4.000	PO15	Risk Management-Incident Notification Report	FE+3		FE+3			
5.4.003	PO16	Safety Inspection Records	FE+3		FE+3			
5.6.005	PO17	Vehicle Use Reports	FE+3		FE+3			

### Retention Codes (Field 7)

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

CE – Calendar Year End  
FE – Fiscal Year End

LA – Life of Asset  
MO – Months

PM – Permanent  
US – Until Superseded

### Archival Codes (Field 8)

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





# STATE OF TEXAS Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page **38** of **42**

2. Agency Code <b>458</b>		3. Agency Name <b>Texas Alcoholic Beverage Commission</b>						
4. Records Series Item No.	5. Agency Item No.	6. Education Prevention Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

1.1	SST1	Seller Training Procedures Manual	US		US			
1.1043	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	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		
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	AC=Completion of training.		

**Retention Codes (Field 7)**

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**Archival Codes (Field 8)**

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# STATE OF TEXAS

## Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

1. Page 39 of 42

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Education Prevention Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

4.7.008	SST7	Grant Program Records	AC	3	AC+3	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.		
5.1	SST8	School Program Records	1	3	4			
5.1	SST9	Seller/Server Certificates Issued	1	3	4			

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	



# STATE OF TEXAS Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

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2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Training Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

1.1	TD1	Lab Records	FE+3		FE+3			
1.1	TD2	Destructions of Tested Products	FE+3		FE+3			
4.5	TD3	Label Applications	6 MO	PM	PM			
4.5.005	TD4	Industrials - Form C-214	FE+3		FE+3			
4.5.005	TD5	Direct Shippers - Form C-240	FE+3		FE+3			
4.5.005	TD6	Carriers - Form C-220	FE+3		FE+3			
4.5.005	TD7	Nonresident Sellers - Form C-205	FE+3		FE+3			
4.5.005	TD8	Nonresident Manufacturers - Form C-231	FE+3		FE+3			
4.5.005	TD9	Air/Train - Form C-212	FE+3		FE+3			
4.5.005	TD10	Brewers - Form C-236	FE+3		FE+3			
4.5.005	TD11	Wholesalers Ale - Form C-233	FE+3		FE+3			
4.5.005	TD12	Distributors - Form C-230	FE+3		FE+3			
4.5.005	TD13	Wholesalers - Form C-210	FE+3		FE+3			
4.5.005	TD14	Sacramental - Form C-39	FE+3		FE+3			

**Retention Codes (Field 7)**

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**Archival Codes (Field 8)**

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R – Review by State Archivist



# STATE OF TEXAS Records Retention Schedule

**SLR 105**

*Form SLR 105C must accompany this form.*

1. Page 41 of 41

2. Agency Code 458		3. Agency Name Texas Alcoholic Beverage Commission						
4. Records Series Item No.	5. Agency Item No.	6. Training Division	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

4.5.005	TD15	Manufacturers - Form C-235	FE+3		FE+3			
4.5.005	TD16	Warehouse - Form C-200	FE+3		FE+3			
4.5.005	TD17	Winery - Form C-215	FE+3		FE+3			
4.5.005	TD18	Forwarding Centers - Form C-206	FE+3		FE+3			
4.5.005	TD19	Brewpubs - Form C-234	FE+3		FE+3			
4.5.005	TD20	Distillers - Form C-212	FE+3		FE+3			
4.6.002	TD21	Audits and Inspections	FE+3		FE+3	Vital		
3.3	TR01	Training Records- Non Commissioned Personnel (Automated Series)	AC+2		AC+2	AC = Two Years from date employee leave employment of agency		
3.3	TR02	Texas Commission on Law Enforcement Officer Standards and Education Training Records	FE+5		FE+5	Records maintained in Training Division for all Certified Peace Officers.		
3.3.030	TR03	Training Administration Records	US+2		US+2	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



