



January 15, 2019

Mariah Jackson
Administrative Assistant
Texas Real Estate Commission
1700 N. Congress Ave., Suite 400
Austin, TX 78711

Re: Agency records retention schedule approved for use.

Dear Ms. Jackson,

Your agency's records retention schedule is approved for use as of January 11, 2019. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure that all old copies of the schedule are superseded with this recertified copy.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. 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 January, 2024.

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, Benjamin Barlow at 512-463-5448 or bbarlow@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: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

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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 329
Agency Name Texas Real Estate 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 [Handwritten Signature]
Name (Print or type) Mariah Jackson
Date June 1, 2018

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 Not Required at This Time
Name (Print or type)
Date

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

Signature [Handwritten Signature]
Name (Print or type) Gloria Meraz
Date 1/11/19

Cert/Recert No. 9 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

1. Agency Code: 329				2. Texas Real Estate Commission/ Administration and Management							
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
AMS-1	1.1.007	Administrative Correspondence	Formal correspondence from/to the Executive Director, Deputy Executive Director and General Counsel		4				R	From other governmental bodies. Includes email correspondence	
AMS-2	1.1.007	Commissions Correspondence	Letter /Memos from AMS staff to Commissioners		4				R		Commissioners' correspondence confidential according to V.T.C.A, Government Code. Sec. 552.111. Mark confidential material for redaction or review for waiver of exception to public disclosure before transferring
AMS-3	1.1.008	General Correspondence			2					Includes Email Correspondence	

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

FE – Fiscal year end

LA – Life of Asset
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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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AMS-4	1.1.013	Calendars/Appointment	Calendars and Appointments	CE	1				R	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.	

<p>Retention Codes (field 7)</p> <p>AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded</p>	<p>Archival Codes (Field 10)</p> <p>A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
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AMS-5	1.1.014	Legal Opinions and Advice from Legal Counsel	From agency legal counsel or the AG , including any requests eliciting the opinions	AV					R		Legal opinions and advice confidential according to V.T.C.A., Government Code, Section 552.107. CAUTION: Does not include legal opinions or advice rendered on matter in litigation or with regard to pending litigation
AMS-6	1.1.019	News or Press Releases			2				R	Includes Website Articles	
AMS-7	1.1.026	Texas Register Submissions		AC	1			AC= Date of publication in Texas Register			
AMS-8	1.1.027	Drafts of proposed legislation, related correspondence, and fiscal notes		AV							
AMS-9	1.1.043	Training Materials	Prepared by TREC, Research Center.	US	1						

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AMS-10	1.1.055	Strategic Plans		AC	6			AC= September 1 of odd-number of calendar years	A	Copy sent to Texas State Publications Depository Program, Texas State Library and Archives Commission (this fulfills archival requirements)	
AMS-11	1.1.057	Transitory Information	1. Records of temporary usefulness that are not an integral part of a record series, are not regularly filed with an agency's record-keeping system, and are required only for a limited time period for completion of an action by an agency official or employee or in preparation of an ongoing records series. 2. Transitory records are not essential to fulfillment of statutory obligations or to document agency functions. Examples: routine messages, emails, internal meeting notices, routine slips, incoming letters or memoranda of transmittal that add nothing of substance to enclosures.	AC				AC= purpose of record has been fulfilled, O= Paper and Electronic (email)			

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AMS-12	1.1.058	Meeting Agenda, Minutes Texas Real Estate Commission and video		PM					A	Agency retains permanent record copy. Video and minutes archived on Agency website.	
AMS-13	1.1.058	Meeting Agenda, Minutes Advisory Committee		PM					A	Advisory committee reports retained in Commission meeting videos.	
AMS-14	1.1.059	Meeting of Closed Session Certified Agendas		AC	2			AC= Date certified agenda signed			
AMS-15	1.1.062	Meeting-Supporting Documentation			2				A		
AMS-16		Recovery Fund Files	No payment made	AC	1			AC= Date of last AMS communication			
AMS-17		Promulgated Contract Forms		AC	10			AC= Date of Adoption			
1. Agency Code: 329				2. Texas Real Estate Commission /Staff & Support Services (SSS)							
SSS-1	1.1.002	Audits	Audits and reviews performance by or on behalf of an agency, including the working papers that support the audit. Also includes audits performed on the agency.	AC	7			AC= Publications or release of final findings. State Auditor's Office retains copies of SAO audits performed on Texas state agencies.			

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SSS-2	1.1.010	Directives	Any documents that officially initiate, rescind, or amend general office procedures	US	1					Handbook changes Leave clarification	
SSS-3	1.1.013	Desk Calendar/Appointment Books	Calendars, appointment books or programs and scheduling, or itinerary records, purchased with state funds or maintained by staff durring business hours that document appointments, itineraries and other activites of agency officials or employees.	CE	1				R	Only the calendars, appointments, and itinerary records of elected officials, executive staff ,board or commission members, division directors, and programs heads require achival review. Contact the State Archives when these records have met the retention periods	
SSS-4	1.1.023	Organization Chart		US					A		

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SSS-5	1.1.048	LITIGATION FILES (Personnel)	Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit	AC	1			AC=As applicable, decision of an agency not file a lawsuit or decision that a lawsuit will not be filed against agency on a matter: dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court or court on appeal, if applicable. ARCHIVES NOTES: 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.	R	EEOC and TWC-Civil Rights	
SSS-6	1.1.056	ADA (Americans with Disabilities Act) Documentation	Self evaluations and plans documenting compliance with the requirements of the Americans With Disabilities Act.	FE	3					Reasonable Accommodation Requested.	28 CFR 35.105(c)

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SSS-7	1.1.063	Staff Meeting Minutes and Notes	Minutes or notes, supporting documentation, taken at internal agency staff meetings.		1						
SSS-8	1.1.068	Performance Measures	Quarterly and annual reports on agency performance measures	AC	6			AC= September 1 of odd-numbered calendar years.			
SSS-9	1.1.069	Reports - Activity (Cashier's Weekly and Returned Checks Reports)	Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion time, number of public contracts, and similar activities. (Notes: This excludes report activity associated with performance measures)		1						
SSS-10	3.1.001	Applications for Employment - Not Hired		FE	2			Job Vacancy Announcements		Job Jackets- Electronic also	29.CFR 102.31(State Agencies)
SSS-11	3.1.002	Applications for Employment - Hired		AC	5			AC= Termination of Employment			

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					Years	Months	Days				
SSS-12	3.1.006	Employment Counseling Records	Notes, memoranda, or reports relating to the counseling of an employee for work related, personal, or substance abuse problems. Usually maintained at the supervisory level except in those agencies with counseling staff	AC	3			AC= Termination of counseling		Management Files	
SSS-13	3.1.011	Employment Insurance Records		AC	5			AC= Until superseded or terminated of employment		Benefits File: For instructions regarding determination of the closure of accounts and for additional information regarding retention periods see the most current edition of the Benefits Coordinator Reference Manual issued by ERS of Texas	
SS-14	3.1.012	Employment Opportunity Announcements	Internal or external announcements or advertisements of job openings, promotions, training programs, or opportunities for overtime	FE	2						29 CFR 1602.31(State Agencies)

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					Years	Months	Days				
SSS-15	3.1.014	Employment Selection Records	Employment Applications for all applicants Selection Criteria (Interview selection charts;interview questions/answers; ranking charts;test results	FE	2						29 CFR 1602.31
SSS-16	3.1.018	Grievance Records	Records relating to the review of employee grievances against personnel, policies, working conditions, etc	AC	2			AC= Final decision on the grievance		Caution: Don't include formal complaints filed by agency employee with the Equal Employment Office (EEO) of U.S. Department of Labor. See item number 1.1.048	
SSS-17	3.1.019	Performance Appraisals		AC	5			AC=Terminations of employment		Personnel File	
SSS-18	3.1.020	Personnel Corrective Action Documentation	Corrective actions are those actions which do not affect pay, status, or tenure and are imposed to correct or improve an employee's job performance	AC	5			AC=Terminations of employment		Personnel File	

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					Years	Months	Days				
SSS-19	3.1.021	Personnel Disciplinary Action Documents	Disciplinary actions are those actions which may affect pay, status, or tenure. They are imposed to discipline an employee whose conduct is harmful to the best interests of the state, the agency, or the employee work force; and for failure to improve performance or conduct following imposition of corrective action. May include cause for demotion, suspension, or dismissal, and the reasons for failure to give written notice of resignation. May also be used to document evidence of employee self-improvement efforts, as well as favorable and unfavorable communication.	AC	5			AC= Termination of Empolyment		Personnel File	

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					Years	Months	Days				
SSS-20	3.1.022	Personnel Information or Action Forms	Forms or similar records used to create or change information concerning the records of an employee including pay grade, position classification, employee number, evaluation date, and termination of employment.	AC	5			AC= Termination of Empolyment		Personnel File	29 CFR 1602.31 [State Agencies].
SSS-21		Final Monthly Payrolls, Supporting Documentation and Reports.		AC	5			AC=Expiration or termination of the instrument according to its terms.			
SSS-22		Other Payroll information - Trials etc.		FE	5						
SSS-23		Daily USPS reports and information		FE	1						
SSS-24	3.1.023	Position/Job Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency	AC	4			AC = Until superseded or job eliminated.			40 TAC §815.106(i).

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					Years	Months	Days				
SSS-25	3.1.024	Physical Examinations/Medical Reports	Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.	AC	2			AC = Until superseded or termination of employment.			CAUTION: Does not include pre-employment physical examinations. SEE item number 3.1.014.
SSS- 26	3.1.027	Training and Educational Achievement Records (Individual)	Certificates of completion, transcripts, test scores, or similar records documenting the training, testing, or continuing education achievements of an employee	AC	5			AC= Termination of employment			

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SSS-27	3.1.029	Employment Eligibility, Documentation or Verification of	Federal reporting form (INS I-9).	AC	3			AC= Termination of employment		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).
SSS-28	3.1.037	Employee Recognition Records	Awards, incentives, tenure, etc.	AC	5			AC= Termination of employment			
SSS-29	3.1.038	Public Access Option Form	Form completed and signed by employee or official, or former employee or official, electing to keep home address, home telephone number, social security number, and family information open or confidential under the Public Information Act, Government Code §552.024	AC	5			AC= Termination of Employment			SEE item number 3.3.011.

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SSS-32	3.2.001	Employee Deduction Authorizations	Documentation used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments	AC	5			AC= Termination of employment or after amendment, expiration, termination of authorization, whichever sooner		Personnel Files	
SSS-33	3.2.002	Employee Earnings Records(Consolidated History Reports)		AC	4			AC= After terminaton of employee or after amendment, expiration,or ternimation of authorizatn, Whichever sooner.	R	Payroll Records	40 TAC 815.106(i).
SSS-34	3.2.003	Federal Tax Records	Includes 1099, W2, FICA, and other tax records.	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.		Purge by CE	26 CFR 31.6001 - 1(e)(2).
SSS-35	3.2.004	Income Adjustment Authorizations	Used to make increases or decreases to employees' gross pay, FICA, retirement, or in the computation of taxes.	FE	3						29 CFR 516.6(c).
SSS-35	3.2.005	W-4 Forms	Employer's copy of "Employees' Withholding Exemption Certificate"	AC	4			AC=Until superseded, obsolete, or upon separation of employee.			26 CFR 31.6001-1 (e)(2).

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SSS-36	3.2.007	Unemployment Compensation Records		AC	5			AC=Termination of Employment			
SSS-37	3.2.008	Direct Deposit Application/ Authorizations		US						Purge by FY	
SSS-38	3.2.009	State Deferred Compensation Records		AC	5			AC = All accounts with a vendor or vendors for the individual participant have been closed. For instructions regarding the determination of the closure of accounts and for additional information regarding the retention period see the most current edition of the Benefits Coordinator Reference Manual issued by the Employees Retirement System of Texas.			
SSS-39	3.2.010	Human Resources Information System (HRIS) Reports, includes supporting documentation		AC	4						29 CFR 1627.3(b)(2).

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SSS-40	3.3.004	Benefit Plans	Employee benefit plans such as pension; life, health, and disability insurance; deferred compensation; etc., including amendments.	US	3						29 CFR 1627.3(b)(2).
SSS-41	3.3.010	Labor Statistics Reports		FE	3						
SSS-42	3.3.011	Former Employee Verification Records	Minimum information needed to verify employment, includes name, social security number, exact dates of employment, last known address and most recent public access option form.	AC	75			AC = Termination of employment.			See item number 3.1.038.
SSS-42	3.3.015	Positions/Job Classification Review File	Records relating to review and monitoring of job classifications within an agency	US	3						
SSS-43	3.3.020	Work Schedules Assignments	Work, duty, shift, crew, or case schedules, rosters, or assignments	AC	3			AC= Termination of Employment			
SSS-45	3.3.022	Texas Workforce Commission (TWC) Reports	Reports to the agency from TWC or its predecessor pertaining to employees.	FE	3						29 CFR 1602.31 [State Agencies].

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SSS-46	3.3.024	Personnel Policies and Procedures	Any internally distributed manuals, guidelines, or similar records that define agency wide policies and procedures concerning the personnel of an agency.	US	3					Employee Handbook	
SSS-47	3.3.025	Job Procedure Records	Any documents detailing the procedural duties and responsibilities of agency positions on a position-by-position basis	US	3						
SSS-48	3.3.026	Agency Staffing Reports	Any reports compiled by an agency on aspects of personnel staffing, including listings of all staff by program or name, staff hired during a month, detailed listings of employees within its organizational structure, position vacancies, analyses of turnover rates and seasonality of employment, etc.	US	3						
SSS-49	3.3.027	Aptitude and Skills Tests	Aptitude or skills tests required of job	FE	2						
SSS-50	3.3.028	Aptitude and Skills Tests (Test Papers)	Aptitude and skills test papers of job applicants or of current personnel taking a test to qualify for promotion or transfer.	FE	2						29 CFR 1602.31 [State Agencies].

Retention Codes (field 7)

AC – See event trigger for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end

Retention Codes (field 7)

FE – Fiscal year end
 LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SSS-51	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures and other policies and procedures that govern an agency's programs, services, or projects	US	2						
SSS-51	3.3.031	EEO Reports and Supporting Documentation	Includes documentation used to complete EEO reports.	AC	3						29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50
SSS-52	3.3.032	Equal Pay Records	Reports, studies, aggregated or summary data, and similar documentation compiled to monitor and demonstrate compliance with the federal Equal Pay Act.		3						29 CFR 1620.32.

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SSS-53	3.4.001	Accumulated Leave Adjustment Requests	Used to create employee leave balances, to transfer leave balances when an employee transfers positions, to adjust carry-over balances on August 31, to correct errors on leave accumulation, and to close out leave accounts on separated employees	FE	3					Leave Records	
SSS-54	3.4.002	Leave Status Reports	Cumulative report is issued each pay cycle and provides employee leave status information for each position	FE	3						
SSS-55	3.4.004	Overtime Authorizations		FE	3					Leave Records	
SSS-56	3.4.006	Time Cards and Time Sheets		FE	4						40 TAC 815.106(i).
SSS-57	3.4.008	Sick Leave Pool Documentation	Requests submitted, approvals, number of hours transferred in and out, etc.	FE	3						
FISCAL RECORDS/ Staff and Support Services											
SSS-58	4.1.001	Accounts Payable Information		FE	3						
SSS-59	4.1.002	Billing Detail	Invoices covering ITV Licensing Fees	FE	3						

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					Years	Months	Days				
SSS-60	4.1.006	Investment Transaction Files, Recovery Fund	Files kept on individual securities	AC	3			AC= Investment maturity		Lols kept electronically in TTSTC folder	
SSS-61	4.1.008	Electronic Fund Transfers	Transfers between TTSTC and USAS	FE	3					ACH transfers to /from TSTC/USAS	
SSS-62	4.2.002	Cash Receipts	Cash Adjustments Reports- Deposit, Vouchers- Deposit Details- Memo's of Corrections on Deposit- Refund, Vochers and Files- Reject remittance reports, Returned Check Reports, Returned Checks, Replacements, Files official Batch Reports	FE	3						
SSS-63	4.2.006	General Journal Documents	Fund 900 Clearnace Voucher - Journal, Vouchers- Correcting Entries - U- Documents (Accounts Payable and Year-End Adjusting Entries) Distribution of funds from the Texas Treasury Safekeeping Trust Company (TTSTC) to the State Treasury - Transfer of funds between accounts with in the TTSTC	FE	3						

<p>Retention Codes (field 7)</p> <p>AC – See event trigger for specific records series definition AV – Administratively valuable CE – Calendar year end</p>	<p>FE – Fiscal year end LA – Life of Asset PM – Permanent US – Until Superseded</p>	<p>Archival Codes (Field 10)</p> <p>A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist</p>
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Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SSS-64	4.2.005	Purchase Vouchers	Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc. Travel payroll, etc.	FE	3						
SSS-65	4.2.007	Expenditure Vouchers	Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc. Travel payroll, etc.	FE	3						
SSS-66	4.3.002	Receipts Journals or Registers Accounting	FUND 900 Monthly Reports revenue reports Electronic Payments reports	FE	3						
SSS-67	4.3.003	Expenditures Journals or Registers		FE	3						
SSS-68	4.4.002	Accounts Receivable Ledgers	Residential Service Companies Reimbursements Revenue ITV Documents	FE	3						
SSS-69	4.4.004	Employee Savings Bond Ledgers		FE	3						
SSS-70	4.5.001	Worksheets for Preparing Fiscal Reports		FE	3						

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SSS-71	4.5.002	Internal Fiscal Management Reports	Financial Statements (copies) Staff Reports (copies) Recovery Fund Reports Travel Reports- TTSTC monthly reports TTSTC letters of authorizations	FE	3						
SSS-72	4.5.003	Annual Financial Report	One hard copy of AFR	AC	6			AC= September 1 of odd-number years		Copies to Publication Depository Program, Texas State Library and Archives Commission (this fulfills the archival requirement)	
SSS-73	4.5.005	External Fiscal Reports	Statewide Coast Allocation Plan (SWCAP) Real Estate Center Reports	FE	3						
SSS-74	4.5.007	USAS Reports Daily		AC	1			AC= Receipt and reconcilliation of monthly report			
SSS-75	4.5.008	USAS Reports Monthly		AC	3			AC= Receipt and reconcilliation of annual report			
SSS-76	4.6.002	Reconciliations	Reconciliatons: TTSTC to Versa/ MIP Texas Online Reconcilliations Texas A&M Real Estate Research Center	FE	3						
SSS-77	4.1.004	Capital Asset Records		LA	3					SPA records	

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					Years	Months	Days				
SSS-78	4.7.005	Claim Files (Recovery Fund claim forms)		AC	3			AC= Resolution of Claim (repayment)			
SSS-79		Recovery Fund		AC	2			AC= Full repayment made or determination made it's legally uncollectible			
SSS-80	4.7.007	Detail Chart of Account	Revenue and Exenditure Chart of Accounts (for agency object codes)	FE	3						
SSS-81	4.7.012	Signature Authorizations	Signature cards or similar records establishing authority of an agency employee to initiate or authorize financial transactions on behalf of an agency.	AC	3			AC= US+FE			

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Records Retention Schedule

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					Years	Months	Days				
SSS-82	5.1.001	Contracts and Leases	Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, , performance bonds, contracts, purchase orders, inspection reports, and correspondence. May also include other applicable documentation in the master contract file per Texas Comptroller of Public Accounts Contract Management Guide.	AC				AC=Expiration or termination of the instrument according to its terms. SEE related item numbers 3.1.035 Performance Bonds and 5.3.007 Bid Documentation. SEE item number 5.2.028 for building construction contracts and item number 5.1.017 for contract logs. 5.1.003			Government Code, 441.1855
SSS-82a	5.1.001	Contracts and Leases	a) Executed, renewed, or amended on or after September 1, 2015.	AC	7						
SSS-82b	5.1.001	Contracts and Leases	b) Executed, renewed, or amended on or before August 31, 2015.	AC	4						
SSS-83	5.1.003	Delivery Reports			2					Filed with expenditure vouchers	
SSS-84	5.1.011	Photocopier Use Logs and Reports		AV							
SSS-85	5.1.012	Price Lists		US	3						

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Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SSS-86	5.1.014	Office Procedures	(Guidelines which establish standard TREC procedures)	US	1						
SSS-87	5.1.015	Correspondance Tracking Records	Certified mail receipts		1						
SSS-88	5.2.003	Building Plans and Specifications		AC	2			AC= Agency moves to another building	R	Agency occupies lease space	
SSS-89	5.2.006	Property Destruction, Certificate of		FE	3						
SSS-90	5.2.008	Equipment History File; Equipment Service Agreements	(Agreements or contracts between agency and equipment vendor to provide maintenance service for equipment. Includes requests for installation, moves, service, etc., and service/repair logbooks.)	LA	3					For service agreements or contracts related to equipment repairs and service, retain in accordance with item number 5.1.001.	
SSS-91	5.2.009	Equipment inventory Detail Report Forms	(Updates agency portion of inventory listing and adds, chares, transfers, or deletes items from inventory)	FE	3					SPA	
SSS-92	5.2.010	Equipment Manuals		LA							
SSS-93	5.2.011	Equipment Warranties	(Filed with purchase vouchers)	AC	1			AC= Expiration of Warranty			
SSS-94	5.2.012	Estimate Files	(Supply and Repair Cost Estimates) (Filed with purchase vouchers)	FE	3						

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Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SSS-95	5.2.014	Inventory, Annual Physical		FE	3					SPA(State Property Accounting)	
SSS-96	5.2.015	Inventory, Notice of Equipment Removed From (Property Transfer Forms)		FE	3					SPA (State Property Accounting)	
SSS-97	5.2.016	Inventory System Update Listings-Monthly		AC				AC=Transfer of information into annual listing.		SPA (State Property Accounting)	
SSS-98	5.2.017	Lost and stolen property reports		FE	3					SPA(State Property Accounting)	
SSS-99	5.2.019	Service Orders	Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks		1						
SSS-100	5.2.020	Supply Use Records		FE	1						
SSS- 101	5.2.021	Surplus Property Sale Reports		FE	3						

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Records Retention Schedule

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					Years	Months	Days				
SSS-102	5.2.023	Year-to-date Activity (Inventory Listing)	Shows additions, changes, transfers, and deletions of information within the inventory system. Data includes agency, inventory number, transaction, date, location, item code, description, date and cost.	FE	3					SPA(State Property Accounting	
SSS-103	5.2.027	Space Utilization Reports		AV							
SSS-104	5.3.002	Freight Bills Paid	(filed with purchase voucher)	FE	3						
SSS-105	5.3.003	Freight Claims		AC	2			AC= Resolution of claim			
SSS-106	5.3.004	Order Acknowledgements	(filed with purchase voucher)	FE	3						
SSS-107	5.3.005	Packing Slips	(filed with purchase voucher)	FE	3						
SSS-108	5.3.007	Bid Documentation	(filed with purchase voucher): -- Bid requisition/authorizatons -- Invitations to bid or purpose -- Bid specifications -- Bid tabulations/evaluations							CAUTION: If a formal written contract is the result of a successfl bid or request for proposal, the successful bid or request for proposal and it's supporting documentation must be retained for the same period as the contract.	

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Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
SSS-108a	5.3.007	Bid Documentation	a) Associated with a contract executed, renewed, or amended on or after September 1, 2015	AC	7			AC=Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.			
SSS-108b	5.3.007	Bid Documentation	b) Associated with a contract executed, renewed, or amended on or before August 31, 2015, 2015	FE	3						
SSS-108c	5.3.007	Bid Documentation	c) Unsuccessful bids that do not meet agency submission requirements and are not included in bid evaluation process (e.g. withdrawn, missed submission deadline, incomplete submission, etc.)	AC	2			AC=Date of notification of denial or date of withdrawal, as applicable..			
SSS-109	5.3.008	Purchasing Logs (Requisition Book)		FE	3						
SSS-110	5.3.009	Requests for Information	Requests for information preliminary to the procurement of goods or services by direct purchase or bid (filed with purchase voucher)	AC	3			AC=Date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable.			
SSS-111	5.4.002	Evacuation Plans		US							

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					Years	Months	Days				
SSS-112	5.4.003	Inspection Records (Fire, Safety, etc.)	Fire,safety and other inspection records of agency facilites and equipment	AC	3			AC=Date of Inspection or date of the correction of the deficiency.			
SSS-113	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code	AC	3			AC= Deficiency Corrected			
SSS-114	5.4.009	Workplace Chemical Lists			30						Texas Health and Safety Code,
SSS-115	5.4.010	Material Safety Data Sheets		AC				AC = After sheets are updated or hazardous chemical longer stored by agency.			
SSS-116	5.4.012	Security Access Records	Key Receipts -- Key Cards -- Alarm Codes - Access Level by Employee -- Passwords -- VERSA -- Other instruments of access to agency facilities or equipment	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever is sooner.			
SSS-117	5.4.013	Disaster Preparedness and Recovery Plans		US						Continuity of Operations Plan and testing documentation	
SSS-118	5.5.001	Billing Detail - Telecommunications (Other than TEX-AN)	In addition to summary detail, includes any accompanying detailed listing of long-distance calls. (Filed with purchase Voucher).	FE	3						

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					Years	Months	Days				
SSS-119	5.5.003	Station Activity Reports	Internal listing of incoming/outgoing telephone activity to individual stations.	AV							
SSS-120	5.5.004	System Activity Reports	Internal listing of all incoming/outgoing agency telephone activity.	AV							
SSS-121	5.5.006	Billing Detail - Telecommunications - (TEX-AN)	Summary bill and detailed listing of long-distance calls.	FE	3						
SSS-122	5.5.007	Disputed Call Documentation	(Filed with purchase voucher).	FE	3						
1. Agency Code:329				2. Texas Real Estate Commission/ Information and Technology							
ITS-1	1.1.007	Correspondence-Adminstrative	Incoming outgoing and Internal correspondence, in any format, pertaining to the formulation, planning, implementation, interpretation,		4				R		
ITS-2	1.1.057	Transitory Information	1. Records of temporary usefulness that are not an integral part of a record series of an agency, are not regularly filed with an agency's record-keeping system, and	AC				AC=Purpose of record has been fulfilled		O=Paper & Electronic (e-mail)	

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					Years	Months	Days				
ITS-3	1.1.008	Correspondence-General	Non-administrative incoming/outgoing and internal correspondence, in any media, pertaining to or arising from the routine operations of the polices, programs, services or projects of the agency.		2						
ITS-4	1.1.010	Directives (Division)	Document that officially initiate, resume, or amend general office procedures.	US	1						
ITS-5	1.1.055	Strategic Plans	Information Services, information resources and operational strategic plans prepared in accordance with # 2054.095 and # 2056.002, Government Code. - - IS Strategic Plan - - IS Information Technology Detail - - IRDR - Information Resources Detail Report	AC	6			AC = September 1 of odd-numbered calendar years.	A	Copy sent to Texas State Publications Depository Program, Texas State Library and Archives Commission; this fulfills the archival requirement.	

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					Years	Months	Days				
ITS-6	1.1.057	Transitory Information	1. Records of temporary usefulness that are not an integral part of a record series of an agency, are not regularly filed with an agency's record-keeping system, and are required only for a limited time period for completion of action by an agency official or employee or in preparation of an ongoing records series. 2. Transitory records are not essential to the fulfillment of statutory obligations or to document agency functions. Examples: Routine messages, Emails, Internal meeting notices, Routing slips, Incoming letters or memoranda, Electronic objects containing spam, Electronic object containing a virus.	AC				AC = purpose of record has been filled.		The disposal of transitory information need not be documented through distraction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	
ITS-7	1.2.015	Disaster Recovery Service Transmittals	Substitute form RMD109	FE	1						

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Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ITS-8	2.1.001	Processing Files	Machine - readable files used in the creation, utilization, and updating of master files. Education evaluation transaction files, DPS transaction files, Education Provider transaction files, Online payment transaction files, EOD transaction work files, and "Tank" files	AC				AC=Completion of 3rd update cycle.			
ITS-9	2.1.002	Master Files	Relatively long-lived computer files containing organized and consistent sets of complete and accurate electronic records. Examples include, but are not limited to, data tables of relational databases used by applications for computer programs.	AC				AC=Completion of 3rd update cycle.			

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					Years	Months	Days				
ITS-10	2.1.007	Software Programs	Automated software applications and operating system files including job control language, program listings/source code, etc.	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
ITS-11	2.1.008	Hardware Documentation	Records documenting operational and maintenance requirements of computer hardware such as operating manuals, hardware/operating system requirements, hardware configurations, and equipment control systems.	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.			13 TAC 6.94

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ITS-12	2.1.009	Technical Documentation	Records adequate to specify all technical characteristics necessary for reading or processing of electronic records and their timely, authorize disposition including documentation describing how a system operates and necessary for using the system such as user guides, system or subsystem definitions, system specifications, input and output specifications, and system flowcharts; program descriptions and documentation such as program flowcharts, program maintenance logs, change notices, and other records that document modifications to computer programs; and data documentation necessary to access, retrieved, manipulate, and interpret data in an automated system such as a data element dictionary, file layout, codebooks or table, and other records that explain the meeting, purpose, structure, logical relationships, and origin of data elements. - Texas Project Delivery Framework	AC				AC = Until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that require the hardware to be retrieved and read.			13 TAC 6.94

Retention Codes (field 7)

AC – See event trigger for specific records series definition
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FE – Fiscal year end

LA – Life of Asset
 PM – Permanent
 US – Until Superseded

Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ITS-13	2.1.010	Audit Trail Records	Files needed for electronic data audit such as files or reports showing transactions excepted, rejected, suspended, and/or processed; history files/tapes; records of on - line updates to application files or security logs. - - User requested data changes - - User requested ID/CERT changes - - User requested cash adjustment - - License Merge Requests	AC	1			AC=All audit requirements have been met.			
ITS-14	2.2.001	System Monitoring Records	Electronic files or automated logs created to monitor computer systems such as print spool logs, console logs, tape activity logs, etc. - - Event logs - - Job logs (electronic & paper) - - Tape Logs	AV							
ITS-15	2.2.004	Computer Job Schedules and Reports	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed. - - Monthly, weekly & daily job schedules - - Public Information logs			6					

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Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ITS-16	2.2.010	Data Processing Policies and Procedures	Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed.	US	3					CAUTION: Does not include technical documentation of procedures necessary for reading or processing of electronic records.	
ITS-17	2.2.012	Output Records for Computer Production	DPS Clearance - - Control Lists - - Error Reports - - Computer enerated Reports (Daily 7 Weekly jobs) - - Renewal Reports - - E-pay reports - - USAS Reports - - Federal Registry (shred)	AV							
ITS-18	2.2.014	Internet Cookies Data	Data resident on hard drives that make use of user - specific information transmitted by the Web server on to the user's computer so that the information might be available for later access by itself or other servers.	AV						The disposal of Internet cookies need not be documented through distraction authorizations (1.2.001) or in records disposition logs (1.2.010), but agencies should establish procedures governing disposal of these records as part of its records management plan (1.2.014).	

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ITS-19	2.2.015	History Files - Web Sites		AV						The disposal of Internet cookies need not be documented through distraction authorizations (1.2.001) or in records disposition logs (1.2.010).	
ITS-20	2.2.016	Software Registrations, Warranties and License Agreements		LA	3						
ITS-21	1.1.007	Destruction sign-offs		FE	4						
ITS-22	1.2.005	Records Retention Schedule (SLR-105)		US							
ITS-23	1.2.006	Records Transmittal Forms		AC	2		AC=Date of authorization for destruction, permanent transfer from storage, or transfer to the state library.				
ITS-24	1.2.008	Request for Authority to Dispose of State Records (RMD 102, Agency Copy).		FE	3						
ITS-25	1.2.010	Records Disposition Logs			10						

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Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ITS-26	1.2.011	Records Center Storage Approval - forms (RMD 106)		US							
ITS-27	1.2.012	Records Inventory Worksheets		US							
ITS-28	1.2.013	Records - Control materials		AC			AC=When control aid is updated, revised or no longer needed.				
ITS-29	1.2.014	Records Management Plans		US	1						
1. Agency Code:329				2. Texas Real Estate Commission/ Eduation and Licensing Services							
ELS-1	1.1.008	General Correspondence	(general letters from members of the public inquiring about licensure)		2						

Retention Codes (field 7)

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Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ELS-2	1.1.057	Transitory Information	1. Records of temporary usefulness that are not an integral part of a record series of an agency, are not regularly filed with an agency's record-keeping system, and are required only for a limited time period for completion of action by an agency official or employee or in preparation of an ongoing records series. 2. Transitory records are not essential to fulfillment of statutory obligations or to document agency functions. Examples: Routine messages, Emails, Internal Meeting Notices, Routine Slips, incoming letters or memoranda of transmittal that add nothing of substance to enclosures.	AC				AC=Purpose of record has been fulfilled		O=Paper & Electronic (e-mail)	
ELS-3	1.1.067	Monthly Report of Examination Statistics	Reports are prepared by exam administrator.	FE	3				R		
ELS-4	3.3.025	Job Procedures Records-Licensing & Eduation		US	3						

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Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ELS-5		Qualifying Providers Bond Files	Statute required for Education Providers	AC	1			AC= Expiration or termination of the bond according to its' terms		Sec.1101.302. BOND REQUIRED. (a) In this section, "educational institution" means a school, excluding an accredited college or university , authorized by the commission under this chapter to offer a real estate or real estate inspection educational program or course of study.(b) An educational institution shall maintain a corportate surety bond or toher security acceptable to the commisson that is (1) in the amount of 20,000 (2) payable to the commission and (3) for the benfit of a party who suffers damages caused by the failure of the institution to fulfill obligations related to the commission's approval	
ELS-6		Master License Files	Files of all real estate broker and salesperson license hodrs	AC	4			AC= Expiration of License		For Salesperson/ Brokers	

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Archival Codes (Field 10)

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Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ELS-7		Initial Application			4					For Salesperson/ Brokers	
ELS-8		Renewal Applications			4					For Salesperson/ Brokers	
ELS-9		Late Applications			4					For Salesperson/ Brokers	
ELS-10		Change of Sponsor			4					For Salesperson/ Brokers	
ELS-11		Miscellaneous essential licensing records			4					For Salesperson/ Brokers	
ELS-12		DBA and assumed name notices			4					For Salesperson/ Brokers	
ELS-13		License History			4					For Salesperson/ Brokers	
ELS-14		Inspector Master Files	Files of all inspector license holders	AC	4			AC= Expiration of License		For Inspectors	
ELS-15		Initial Application			4					For Inspectors	
ELS-16		Renewal Applications			4					For Inspectors	
ELS-17		Education: Professional Inspector			4					For Inspectors	
ELS-18		Education: Real Estate and Apprentice			4					For Inspectors	
ELS-19		Miscellaneous essential licensing records			4					For Inspectors	
ELS-20		DBA and assumed name notices			4					For Inspectors	
ELS-21		License History			4					For Inspectors	

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Records Retention Schedule

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					Years	Months	Days				
ELS-22		Continuing Education Course		FE	1						
ELS-23		Daily Error Reports for Licensing Examination Results		AC	1			AC= After Reconciliation			
ELS-24		CE Provider Files	Provider Applications - - Approval Letters - - Correspondence and audit reports	AC	1			AC= Expiration of Provider License			
ELS-25		CE Course Files	CE Course Applications - - Course Approval Letters - - Course Materials	AC	1			AC= Expiration for Course			
ELS-26		Qualifying Education Provider Files	Provider Applications - - Approval Letters - - Correspondence - - Annual Fee Information - - Audit Reports	AC	2			AC= Expiration of School License			
ELS-27		Qualifying Course Files	Qualifying Course Application Filed by Qualifying Education Providers- - Course Approval Letters - - Course Materials	AC	1			AC= Expiration of school Approval			
ELS-28		Qualifying and CE Instructor Files	Qualifying CE Instructor Applications - - Approval Letters	AC	1			AC= Expiration of Instructor Approval			

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Records Retention Schedule

3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
ELS-29		College and University Files	Course content information for qualifying and related courses offered by colleges and universities - - Correspondence	US	1						
ELS-30		Trade Association Files	Course content information for core and related courses offered by trade associations - - Correspondence	US	1						
ELS-31		Terminated/ Disapproved Applications		AC	1			AC= Terminated Date of Applications			
1. Agency Code:329				2. Texas Real Estate Commission / Reception and Communication Services (SES)							
RCS-1	1.1.008	General Correspondence			2						
RCS-2	1.1.020	Public Information Request Non Exempted		AC	1			AC= Date request fulfilled			
RCS-3	1.1.021	Public Information Request Exempted		AC	2			AC= Date of notification that record are exempt			
RCS-4	5.4.011	Visitor/ After hours Control Registers		FE	3						
1. Agency Code:329				2. Texas Real Estate Commission / Standard Enforcement Services							

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Records Retention Schedule

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					Years	Months	Days				
SES-1	1.1.020	Public Information Requests - Not Exempted		AC	1			AC=Date request fulfilled			
SES-2	1.1.021	Public Information Requests - Exempted		AC	2			AC=Date of notification that records are exempt			
SES-3	1.1.057	Transitory Information	1. Records of temporary usefulness that are not an integral part of a record series of an agency, are not regularly filed with an agency's record-keeping system, and are required only for a limited time period for completion of action by an agency official or employee or in preparation of an ongoing records series. 2. Transitory records are not essential to the fulfillment of statutory obligations or to document agency functions. Examples: Routine messages, Emails, Internal meeting notices, Routing slips, Incoming letters or memoranda of transmittal that add nothing of substance to enclosure.	AC				AC=Purpose of record has been fulfilled			
SES-4	1.1.008	General Correspondence			2						

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					Years	Months	Days				
SES-5	1.1.070	Agency Policies, and Procedures	Administrative Correspondence (Policy Files)	AC	4			AC= Completion or termination of program, rules policies or procedures	R		
SES-6	1.1.069	Activity Reports (on open & closed cases)			1						
SES-7	1.1	Case Files		AC	2			AC= Final disposition of the complaint			
SES-8	1.1	Hearing Case Files		AC	5			AC= Final disposition of Disciplinary action			
SES-9	5.1.014	Enforcement Standard Operating Procedures	(Investigator Handbook, Office Procedures for the Enforcement Division)	US	1						
TIMESHARE FILES:											
SES-10		Inactive Timeshare Registration files		AC	3			AC= Terminated or Expired			
SES-11		Active Timeshare Registration files		AC	6			AC= Last activity for filling			
SES-12		Terminated Timeshare Applications		AC	2			AC= After terminated of application			
RESIDENTIAL SERVICE COMPANY:											
SES-13		RSC License Holder Files		AC	6			AC=Termination, surrender, or expiration of license.			

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					Years	Months	Days				
SES-14		RSC General Files				10					Establish historical background used in administering the program.
SES-15	1.1	External Annual Reports	Financial reports prepared by RSC licensee	FE	5					Information becomes obsolete after FE+5 and is destroyed.	
SES-16	1.1	External Mid-Year Reports	(Information is included in the External Annual Report, EN-20)	FE	5						
SES-17		RSC Examination Files		AC	5		AC=After Completed				
SES-18		RSC Surety Bonds	Statute required for RSC.	AC		4	AC=After Bond is terminated or expires.				"Surety" Required of license holder pursuant to section 4399.153
1. Agency Code:329				2. Texas Appraiser Licensing and Certification Board/ TALCB							
AC-1	1.1.002	Audits	Auditor's Office -- ASC Review	AC	7		AC=After final audit report has been issued.				
AC-2	1.1.007	Administrative Correspondence	Formal correspondence from/to the Commissioner, Deputy Commissioner and General Counsel		4			R		From other governmental bodies. Includes email correspondence	
AC 3	1.1.008	General Correspondence			2					Includes emails correspondence	

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					Years	Months	Days				
AC-4	1.1.014	Legal Opinions and Advice	From agency legal counsel or the AG , including any requests eliciting the opinions	AV					R	CAUTION: Does not include legal opinions or advice rendered on a matter in litigation or with regard to pending litigation.	Legal opinions sand advice confidential according to V.T.C.A.;Government code ,Section 552.107
AC-5	1.1.070	Agency Rules, Policies, and Procedures		AC	4			AC=Completion or termination of program, policies or procedures.	R		
AC-6	1.1.026	Texas Register Submissions		AC	1			AC=Date of publication in the Texas Register.			
AC-7	1.1.027	Proposed Legislation	Drafts of proposed legislation and related correspondence including fiscal notes	AV							
AC-15	1.1	Case Files (includes open hearing files)		AC	2			AC=Final Disposition of the complaint			
AC-16		Closed Hearing Case Files		AC	5			AC=Final disposition of Disciplinary Action			
AC-17	1.1.038	Customer Surveys		AC				AC=Final Disposition of Summary Report.			

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					Years	Months	Days				
AC-18	1.1.057	Transitory Information	1. Records of temporary usefulness that are not an integral part of a record series of an agency, are not regularly filed with an agency's record-keeping system, and are required only for a limited time period for completion of action by an agency official or employee or in preparation of an ongoing records series. 2. Transitory records are not essential to fulfillment of statutory obligations or to document agency functions. Examples: Routine messages, Emails, Internal meeting notices, Routing slips, Incoming letters or memoranda of transmittal that add nothing of substance to enclosures.	AC				AC=Purpose of record has been fulfilled		O=Paper and Electronic (e-mail)	
AC-19	1.1.058	Meeting Agenda and Minutes	Includes meeting agenda and minutes for TALCB board meetings. This series includes registration logs of all people who attend Board Meetings.	PM					A	Agency retains permanent record copy. Video and minutes archived on Agency Website.	

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					Years	Months	Days				
AC-20	1.1.062	Meetings - Supporting Documentation			2				A		
AC-21	1.1.067	Reports and Studies (non-fiscal)	ASC Transmissions (Monthly) -- Surveys (periodically, as needed)		3				R	Archival review code removed subsequent to appraisal by Archives and Information Service Division, Texas State Library and Archives Commission, July 6, 1999.	
AC=22	1.1.069	Reports - Activity	(Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, test completion times, number of public contracts, and similar activities): -- Applications Received -- Certificates Issued -- Renewals Issued		1						
AC-23	1.3.001	State Publications	One copy of each update maintain permanently; Newsletter, Roster (of license holders), Application Forms, Act, Rules, News release	AC	2			AC = Until superseded or obsolete.		Copies sent to the Texas State Publications Depository Program, Texas State Library and Archives Commission	

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					Years	Months	Days				
AC-24	1.3.002	Publication Development Files	Background material, copy, drafts, original artwork, photo negatives, prints, flats, etc.	AV					R		
AC-26	2.2.011	Batch Data Entry Control Records	(Forms and logs used to reconcile batches submitted for processing against batches received and processed) -- Batch Log	AC				AC=When reconciliation confirmed.			
AC-27	4.5.001	Worksheets for Preparing Fiscal Reports	Report on Measures Work papers	FE	3						
AC-28	4.5.002	Internal Fiscal Management Reports	Monthly Financial Report	FE	3						
AC-29	4.5.005	External Fiscal Reports		FE	3						
AC-30	4.7.003	Returned Checks/Warrants (Uncollectable)		AC	3			AC=After deemed uncollectable			
AC-31	5.1.004	Mail and Telecommunication Listings	(Mailing address, telephone or fax number, or email address records maintained by an agency on its employees or on entities or persons it serves: -- Board Members	US							
AC-32	5.1.011	Photocopier Use Logs and Reports		AV							

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					Years	Months	Days				
AC-33	5.1.012	Price Lists		US	3						
AC-34		Master License Files -- Active Contents:		AC	5			AC= Expiration of License		To match TREC rules re: experience "expired more than 5 years"	
AC-35		Initial Application			5						
AC-36		Renewal Applications			5						
AC-37		Change of Sponsor			5						
AC-38		Appraiser Logs		AC	5			AC= Expiration of License			
AC-39		Appraiser Affidavits		AC	5			AC= Expiration of License			
AC-40		Miscellaneous essential licensing records		AC	5			AC= Expiration of License			
AC-41		Continuing Education Records	Obtained pursuant to education audit	AC	5			AC= Expiration of License			
AC-42		License History		AC	5			AC= Expiration of License			
AC-43		DPS Reports (Background Check/License holders)			2						
AC-44		Temporary & Non- resident licenses issued		AC	5			AC= Expiration of License			
AC-45		Outstanding check files			1						

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9. AC Definition	10. Archival	11. Remarks	12. Legal Citations
					Years	Months	Days				
AC-46		Reports of Examination Results		FE	2					Monthly report prepared by exam administrator	

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