

February 20, 2020



Michael Shea
Director of Document Services
Texas Workforce Commission
4405A Springdale Rd
Austin, TX 78723

Dear Mr. Shea,

Amendment 2 to your agency's 5 recertification of the records retention schedule is approved for use as of 2/6/2020, and may be accessed on our website at <https://www.tsl.texas.gov/slrn/state/schedules>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

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

Commission Chair
Martha Wong

Members
David C. Garza
F. Lynwood Givens
Larry G. Holt
Arthur T. Mann
Bradley S. Tegeler
Darryl Tocker

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

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 rules (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:

Joslyn Ceasar
512-463-5477
jceasar@tsl.texas.gov

Sincerely,

A handwritten signature in blue ink, appearing to read "C Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

TSLAC

Preserving yesterday
Informing today
Inspiring tomorrow



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 320
Agency Name Texas Workforce 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) Michael Shea
Date 12/12/2019

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature _____
Name (Print or type) _____
Date _____

Not Required at This Time

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

Signature
Name (Print or type) Gloria Meraz
Date 2/10/2020

Cert/Recert No. 5 Amendment No. 2

CAUTION

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

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





STATE OF TEXAS
Records Retention Schedule

SLR 122
Rev. 2017-07

Retention Codes (field 7)

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

Archival Codes (Field 10)

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

1. Agency Code: 320		2. Agency Name: Texas Workforce Commission											
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	13. N, C, O	14. Current AIN
					Years	Months	Days						
0000.09	3.1	Employee Personnel Files	(Inactive/Separated Employees) Local Supervisor's Copy	AC	3			AC = Termination or Separation date of employee.		Records are purged at the Fiscal Year End.		C	0000.09
0000.10	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium (voice mail, fax, email, hard copy, etc.) are routine messages; telephone message notifications; internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communication, but not for the documentation, of a specific agency transaction.	AC				AC = Purpose of record has been fulfilled.		CAUTION: Records management officers should use caution in assigning this records series item number to records of an agency to make certain they are not part of another records series listed in this schedule or, for records series unique to an agency, are not part of a records series that documents the fulfillment of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information need not be documented through destruction signoffs (5644.02) or in records disposition logs (5644.08), but agencies should establish procedures governing disposal of these records as part of its records management plan (5644.06).		C	0000.10
0000.12	5.1	Mailing Correspondence Tracking Documentation	Mailing lists for address change notices and similar source documentation. Also included mail returned by the postal or other mail services as undeliverable.		1							C	0000.12
												O	0000.13



STATE OF TEXAS
Records Retention Schedule

SLR 122
 Rev. 2017-07

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					Years	Months	Days						
0000.16	1.1.064	Agency Performance Measures Documentation	Any records of an agency needed for documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.	FE	3					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. VITAL		C	0000.16
0000.17	1.1.065	Reports and Studies (Non-Fiscal) - Raw Data	Information or data collected and compiled for the purpose of producing non-fiscal reports.	AV						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.		C	0000.17
0000.18	1.1.066	Reports - Biennial or Annual Agency (Narrative)	Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute.	AC	6			AC = September 1 of odd-numbered calendar years.	A	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.		C	0000.18
0000.29	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status.	FE	3							C	0000.29



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0000.30	1.1.007	Correspondence - Administrative	Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4				R	ARCHIVES NOTE: Only the administrative correspondence of executive staff, board or commission members, division directors and program heads require archival review. Contact the State Archives when these records have met their retention periods. CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series 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. SEE ALSO item number 1.1.011. Vital		C	0000.30
0000.31	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 policies, programs, services, or projects of an agency.		2					SEE comment to item number 1.1.007. SEE ALSO item number 1.1.010.		C	0000.31



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0000.32	1.1.038	Customer Surveys	Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.	AC				AC = Final disposition of summary report.		SEE item number 1.1.067 for summary reports compiled from customer surveys.		C	0000.32
0000.50	5.1.003	Delivery Reports			2							N	
5470.01		Rule 13 Tax Liability Decisions		AC	50			AC = After decision is mailed.				C	5470.01
												O	5470.02
5470.03		Rule 13 Tax Liability (Digital Recordings)		AC	5			AC = After decision is final.				C	5470.03
5470.04		Summary Hearing Data		AC		6		AC = After completion of hearing.				C	5470.04
5470.05		Payday Law Appeals	Appeals to Preliminary Wage Determination Orders issued by Labor Law or Reopening requests to WC Tribunal decisions.	AC	3			AC = Date of Last Transaction.		Retained with entire Payday Appeal file.		C	5470.05
5644.08	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.				10					C	5644.08
6659.01		Work Opportunity Tax Credit (WOTC)	Correspondence Files	AC	4			AC = Date of Certification.		Per US Department of Labor Employment and Training Administration Handbook No. 408. Vital		C	6659.01

July 29, 2019



Mr. Michael Shea
Director of Document Services
Texas Workforce Commission
4405A Springdale Rd.
Austin, TX 78723

Re: Agency records retention schedule amendment approved for use.

Lorenzo de Zavala
State Archives and
Library Building

Dear Mr. Shea:

1201 Brazos Street
Austin, Texas
78701

Amendment 1 to your agency's 5th recertification of your records retention schedule is approved for use as of July 15, 2019. 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.

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

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.

www.tsl.texas.gov

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.

Commission Chairman
Michael C. Waters

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, Erica Wilson-Lang, at 512-463-6627 or ewilson@tsl.texas.gov.

Members

David C. Garza
F. Lynwood Givens
Larry G. Holt
Arthur T. Mann
Darryl Tocker
Martha Wong

Sincerely,

A handwritten signature in blue ink, appearing to read "Craig Kelso".

Craig Kelso
Director and State Records Administrator

Director and Librarian
Mark Smith

Assistant State Librarian
Gloria Meraz

cc: Agency head

TSLAC

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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 320
 Agency Name Texas Workforce 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 *Glenn Neal*
 Name (Print or type) Glenn Neal
 Date 4/9/19

Section 2. Approvals

(Submitting agencies do not write in this section)

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

Signature _____
 Name (Print or type) _____
 Date _____

Not Required at This Time

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

Signature *Gloria Meraz*
 Name (Print or type) Gloria Meraz
 Date July 15, 2019

Cert/Recert No. 5 Amendment No. 1

CAUTION

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

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STATE OF TEXAS
Records Retention Schedule

SLR 122
Rev. 2017-07

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					Years	Months	Days						
5601.01		Federal Tax Information (FTI) Audit Logs	Electronic records that show access and other activity pertaining to federal tax information (FTI) in the agency automated systems.		7					Electronic records of FTI access are kept in compliance with IRS Publication 1075.		N	
5621.29	5.6.004	License and Driving Record Checks	Records include new employee, routine, and fleet record checks.	AC				AC = Until superseded or until termination of employment.				N	
5643.13	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. Records includes Safety and Health Orientation material.	US	2					CAUTION: Does not include hazardous material training records. SEE item number 5.4.007 (TWC AIN 5643.06).		C	5643.13



December 3rd 2018

Glenn Neal
Director of Business Operations
Texas Workforce Commission
101 East 15th; Room 316T
Austin, TX 78701

Re: Agency records retention schedule approved for use.

Dear Mr. Neal,

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

Commission Chairman

Michael C. Waters

Members

David C. Garza
F. Lynwood Givens
Larry G. Holt
Arthur T. Mann
Darryl Tocker
Martha Wong

Director and Librarian

Mark Smith

Assistant State Librarian

Gloria Meraz

Your agency's records retention schedule is approved for use as of November 21st, 2018. 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 **November 2023**.

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, Erica Wilson-Lang at 512-463-6627 or ewilson@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

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 320

Agency Name Texas Workforce 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 Carolyn Williams
Name (Print or type) Carolyn Williams
Date March 2, 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
Name (Print or type)
Date

Not Required at This Time

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

Signature Gloria Meraz
Name (Print or type) Gloria Meraz
Date 11/21/18

Cert/Recert No. 5 Amendment No.

CAUTION

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Records Retention Schedule

1. Agency Code: 320			2. Agency Name: Texas Workforce Commission									
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					Years	Months	Days					
Agency-wide Records Series - TWC OFFICE/DEPARTMENT/EXECUTIVE OFFICE												
0000.01	1.1.070	Agency Rules, Policies, and Procedures – Final	Manuals, guidelines, administrative rules similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	SEE ALSO: Agency rules, Policies And Procedures – Working Files item number 1.1.071. Vital		
0000.02	3.4.007	Time off and or Leave Requests	Military orders & all other hardcopy leave documents: excludes extended sick leave material.	FE	3					TWC Administrative Series - Personnel Manual.		
0000.03	5.2.010	Equipment Manuals		LA								
0000.04	1.1.057	TWC Notices	General announcements which are not essential to program operations.	AC				AC = Purpose of Record has been fulfilled.				
0000.05	3.1.027	Training Documents	Includes Form TR-1. 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.				
0000.06	3.1.023	Essential Job Function Descriptions	Job descriptions, including all associated task or skill statements, for positions in an agency.	US	4					VITAL	40 TAC 815.106(i)	
0000.07	3.4.006	Daily Personnel Activity Report (Form Y-6) Monthly time sheets			4						40 TAC 815.106(i)	
0000.08	3.1.014	Employment Selection Records.	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.		2						29 CFR 1602.31; CAUTION: Does not include criminal history checks. SEE Item number 3.1.026.	

Retention Codes (Field 7)				Archival Codes (Field 10)				Code (Field 13)	
AC – After closed, terminated, completed, expired, settled	CE – Calendar year end	LA – Life of asset	US – Until Superseded	A/I – Transfer to State/University Archivist	R/O – Review by State/University Archivist	S – Same	N – New	C – Changed	O – Obsolete
AV – Administratively valuable	FE – Fiscal year end	PM – Permanent							

Records Retention Schedule

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0000.09	3.1	Employee Personnel Files - (Inactive/Separated Employees) Local Supervisor's Copy		AC	3			AC = Termination/Separation of Employee + FE (Fiscal Year End)		Official Personnel Files retained in Human Resources Department.		
0000.10	1.1.057	Transitory Information	Records of temporary usefulness that are not an integral part of a record series of an agency, that are not regularly filed within an agency's record-keeping system, and that are required only for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing record series. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Examples of transitory information routine messages (can be recorded on medium, such as hardcopy message slips or in an electronic format on email and voicemail); internal meeting notices; routing slips; incoming letters or memoranda of transmittal that add nothing of substance to enclosures; and similar routine information used for communications, but not for the documentation of specific agency transaction.	AC				AC = Purpose of record has been prefilled.		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 record series listed in this schedule or, record series unique to an agency, are not part of a record series that documents the of the statutory obligations of the agency or the documentation of its functions. The disposal of transitory information needed not be documented through distraction sign – office (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). Electronic & Paper		
0000.11	5.5.002	Long-Distance Telephone Charge Reports	Long-distance logs created by the agencies for internal documentation purposes. Includes any similar logs created for long-distance facsimile or electronic transmissions.		3					Electronic and Paper. Vista Plus electronic record is kept for 6 months. Paper records retained for 3 years.		

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0000.12	5.1.015	Mailing Lists and Mailing Documentation.	Address change notices and similar source documentation used to correct mailing lists.		1					Retention Note: Retain 1 year after correction made to mailing list.		
0000.13	5.1.015	Mailing Lists and Mailing Documentation.	Mail returned by the postal or other mail delivery services as undeliverable.		1					Retention Note: Retain for 1 year after return.		
0000.14	1.1.062	Meetings - Supporting Documentation	Documents submitted at meetings of state boards, commissions, committees, and councils including exhibit items, documentation for agenda items, etc. Includes documents sent in advance of meetings for briefing purposes, some of which may not be submitted at an actual meeting.		2				A			
0000.15	1.1.063	Staff Meeting Agenda, Minutes and Notes	Minutes or notes, and supporting documentation, taken at internal agency staff meetings.		1							C
0000.16	1.1.064	Agency Performance Measures Documentation. Any records of an agency needed for documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan, and for performance measures used to manage the agency.		FE	3					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. VITAL		N
0000.17	1.1.065	Reports and Studies (Non-Fiscal) - Raw Data. Information or data collected and compiled for the purpose of producing non-fiscal reports.		AV						CAUTION: Does not include source documentation used for information or data included in or directly related to another		N

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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0000.18	1.1.066	Reports - Biennial or Annual Agency (Narrative). Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by status.		AC	6			AC = September 1 of odd-number calendar years.	A	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		N
0000.19	1.1.074	Sunset Review Report and Documentation		AC	4			AC = After the subsequent Sunset Review.	R			N
0000.20	5.1.015	Mailing Lists and Mailing Documentation.	Run list affidavits, certificate of mailing forms, and similar records evidencing the mailing of notices to recipient/respondent or claimant.		1							
0000.21	1.1.059	Meetings, Certified Agendas or Tape Recordings of Closed	Certified agendas or tape recordings of closed meetings of the Commission.	AC	2			AC = The date of the meeting or completion of pending action involving the meeting, whichever is later.		Paper and Electronic.	Government Code, Section 551.104(a)	
0000.22	1.1.010	Directives	Any document that officially initiates, rescinds, or amends general office procedures.	US	1					Paper and Electronic.		
0000.23	1.1.011	Executive Orders	Any document that initiates, rescinds, or amends a regulation, policy or procedure that governs the programs, services or projects of an agency.	US	3				A	Paper and Electronic.		

Retention Codes (Field 7)

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

1. Agency Code: 320		2. Agency Name: Texas Workforce Commission										
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9.	10. Archival	11. Remarks	12. Legal Citations	13. N, C, S, O
					Years	Months	Days					
0000.24	1.1.013	Calendars, Appointment and Itinerary Records	Calendars, appointment books or programs and scheduling or itinerary records, purchased with state funds or maintained by staff during business hours that document appointments, itineraries and other activities of agency officials or employees.	CE	1				R	<p>ARCHIVES NOTE: Only the calendars, appointment, and itinerary records of elected officials, executive staff, board or commission members, division directors, and program heads require archival review. Contact the State Archives when the records have met their retention.</p> <p>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>		
0000.25	1.1.040	Speeches, Papers and Presentations	Notes or text of speeches, papers, presentations or reports delivered in conjunction with agency work.	AC				AC = End Of Term in Office or termination of service in a state position.	R	Paper and Electronic.		
0000.26	1.1.014	Legal Opinions and Advice	From agency legal counsel or the AG's office; attorney case summaries and case notes. Includes requests eliciting the opinions.	AC	1			AC = Date legal opinion rendered.	R	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.		

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0000.27	1.3.001	Texas Business Today	Newsletter issued by the Commissioner representing Employers to subscribing employers.	US	5					US = For serial publications issued in successive parts bearing numerical or chronological designation (e.g., news – letters, annual statistical reports of regulated activities), from the date of release of the next part in the series. CAUTION: Many state publications must be submitted to the Texas State Publications Depository Program, Texas State Library and Archives Commission by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.	Government Code 441.101-441.106 (13 TAC 3.1.-3.16) For additional information and requirements concerning state publications made available to the public through the internet, consult the administrative rules of the Texas State Publications Depository Program of the Texas State Library and Archives Commission (13 TAC 3.1.-3.16).	
0000.28	5.1.007	Braille/Large Print Requests		FE	5							
0000.29	5.3.008	Purchasing Logs. Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status		FE	3							

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0000.30	1.1.007	Correspondence - Administrative Incoming/outgoing and internal correspondence pertaining to the formulation, planning, implementation, interpretation, modification, or redefinition of the programs, services, or projects of an agency and the administrative regulations, policies, and procedures that govern them.		4	4				R	CAUTION: Caution: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series 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. See Also item number 1.1.011. VITAL		
0000.31	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 policies, programs, services, or projects of an agency.			2							
0000.32	1.1.038	Customer Surveys Surveys returned by the customers or clients of an agency, and the statistical data maintained rating an agency's performance.		AC				AC = Final disposition of summary report. SEE item number 1.1.067 for summary reports compiled from customer surveys.				
0000.33	5.4	VR Accident and/or Injury Report			3					Includes supporting documentation. Excludes Workers Compensation Claims, Grievances, Civil Rights and EEO charges. DARS1404.		
0000.34	1.1.053	VR - Registration Logs		AC	1			AC = Report filed with the Texas Ethics Commission.				

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0000.35	5.5	VR - Telecom Access Tracking		LA								
0000.36	5.5.001	VR - Billing Detail - Telecommunications		FE	3							
0000.37	5.5.003	VR - Customer Request Tracking		AV								

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					Years	Months	Days					
0000.38	5.5.004	VR - Call Detail Records		FE	2							
0000.39	2.1	VR -Statistical Data		AV								
0000.40	2.1.002	VR -Enterprise Consumer (Real Time)		AC	5			AC = FE after close of consumer file.				
0000.41	2.1.002	VR -Enterprise Financial (Data Warehouse)	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 or computer programs.	AC	10			AC = FE after close of consumer file OR completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.				
0000.42	2.1.002	VR -Enterprise Consumer (Data Warehouse)	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 or computer programs.	AC	10			AC = FE after close of consumer file.				
0000.43	2.1.002	VR -Enterprise Financial (Real Time)		AC	5			AC = FE after close of consumer file.				
0000.44	4.2	VR -BEP Stand Reports/Log Book		CE	3					All audit requirements are met prior to final disposition.		
0000.45	4.5.005	VR -Reports - B5143 reports		FE	3							
0000.46	1.1	VR - Consumer Case Files		AC	7			AC = FE after close of consumer file.				

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0000.47	1.1.004	Legislative Appropriations Request	Including any supporting documentation created and/or used to justify and support legislative appropriations requests by an agency	AC	6			AC=September 1 of odd-number calendar years.	A	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.		N
0000.48	1.1.021	Public Information Requests Non-Exempted	Includes all correspondence and documentation related to public information requests.	AC	2			AC=Date of Notification that records are exempted				N
0000.49	1.1.073	Administrative Hearings	Transcripts and final decisions of hearings conducted as part of the regulatory process, and hearings on proposed rules and changes. The records may be maintained with related information including meeting notices, proofs of publication, and meeting minutes.	AC	3			AC=Last Action	R			N

PROVIDER SERVICES

01	1.1	PST School Course Information		AC				AC = When school or provider is closed from program or license is replaced, whichever is applicable.		Proprietary School Training.		
02	1.1	Provider Record		AC				AC = When school or provider is closed from program or license is replaced, whichever is applicable.				
03	1.1	PST School Certificate or License		AC				AC = When school or provider is closed from program or license is replaced, whichever is applicable.		Proprietary School Training.		
04	1.1	Specification Record		US						US= when licenses are replaced.		

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VR PROGRAM OPERATIONS												
2410.01	1.1.069	Monthly Office Activity Report			1					CAUTION: SEE item number 1.1.064		
2410.02	1.1	Official Monitoring Report (monthly)			1							
2410.03	4.2	VR/Administrative Purchase Orders		FE	1					NOTE: Record copies of all Purchase Orders are maintained in Central Office Purchasing and Supply.		
VR BUSINESS SYSTEMS												
2420.01	1.1.043	QVRC/CSPD Program	QVRC = Qualified Vocational Rehabilitation Counselor - includes records related to individual progress toward meeting standards.	AC	1			AC = Completion of Masters.				

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2420.02	1.1.008	Consumer Initial Contacts (no application completed)			1							
VR PROGRAM POLICY AND SUPPORT												
2430.01	1.1	Rehabilitation Council of Texas - Subcommittees		AV						Rehabilitation Council of Texas.		

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2430.02	1.1	Rehabilitation Council of Texas - Membership		US	1					Rehabilitation Council of Texas.		
2430.03	1.1	Rehabilitation Council of Texas - Newsletter		PM								
2430.04	1.1.007	Rehabilitation Council of Texas - Correspondence, official			3				R	VITAL		
2430.05	1.1.058	Rehabilitation Council of Texas - Meeting Minutes		PM					A			
VR EMPLOYMENT, MEDICAL, TECH SVCS												
2450.01	1.1	Local Medical Consultants		US						Filed alphabetically.		
2450.02	1.1	Maximum Affordable Payment Schedule (MAPS)		US	4					Filed by subject.		
2450.03	1.1	Medical Director Courtesy Cases		FE	1							
2450.04	1.1	Employment Policy Documentation		AV								
2450.05	1.1	Supported Employment - Projects		AC	3			AC = Completion				
2450.06	1.1	Community Rehabilitation Program (CRP), including Official Correspondence		US								
2450.07	1.1	Vehicle Modification		AC	5			AC = Fiscal year end of the Close of consumer case file.				
2450.08	1.1	Medical Devices		US								
2450.09	1.1	Self-Employment and Small Businesses		AV								
2450.10	1.1.065	Supported Employment - Reports/Stats		AV								
2450.11	1.1.065	Supported employment - Studies/Evaluations/Assessments		AV								
2450.12	4.7	Supported Employment - Grants		AC	5			AC = Renewal of Grant.				
2450.13	5.3.007	Supported Employment - Proposals		FE	3							
VR TARGET POPULATIONS												
2460.01	1.1	Psychological Services - General		AV								
2460.02	1.1	Hearing Aids		US								
2460.03	1.1	Workers' Compensation - Reports		AV								

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VR EVALUATION & SUPPORT SVCS												
2471.01	2.1	Vocational Diagnostic Unit (VDU) Consumer Demographic Database	Serves as tracking system of consumer services statuses in unit.	AV								
2471.02	2.1	VDU Consumer Test Data	Used to update and revise text norms by VDU only (research data).	AV								
VRS DIVISION DIRECTOR												
2501.01	1.1	Regional Support Administrator Correspondence		US	3					Fed. Rehabilitation Services Administration		N
2501.02	1.1.006	Complaint Records		AC	2			AC = Final Disposition.				
2501.03	1.1	Federal/State Reports			10						RSA 2,15,62,911,113,722	
2501.04	1.1.024	State Plans - Record Copy		AC	3			AC = Decision made to implement plan or not implement result of planning process.	R			
2501.05	1.1.024	Vocational Rehabilitation State Plans		AC	3			AC = Decision made to implement or not to implement results of planning process.	R			
2501.06	1.1.024	Project Management Files		AC	3			AC = Date project closed or proposed project idea rejected.	R	PMF no longer exist. Process		
2501.07	1.1.071	Agency Rules, Policies and Procedures - Working Files	Working files used in the development of manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of policy or procedure. VITAL	R	SEE ALSO Records Series Item Number 1.1.070		
2501.08	1.1	Revision Logs		AV								
2501.09	3.1	Volunteer Records		AC	5			AC = Separation of volunteer.		Records series could include DARS 1622, DARS 1626, application, position description, checklist, confidentiality statement, evaluation, exit interview, time log, computer agreement.		

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CRISS COLE REHABILITATION CENTER - (CCRC)												
2801.01	1.1	Consumer Case Files		AC	7			AC = FE after close of consumer file.				
2801.02	1.1	CCRC Electronic Files Database	Includes documents on SharePoint and Server 3.	AV								
2801.03	1.1	Correspondence with Vendors		FE	3							
2801.04	1.1.043	Training Curriculums		US	1							
2801.05	1.1.070	CCRC Procedures	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of policy or procedure.	R	SEE ALSO Records Series Item Number 1.1.071		
BUSINESS ENTERPRISES OF TEXAS (BET)												
2903.01	5.2	BET Facility File - Active and Inactive	One for each BET business in the program. Visitations, facility permit, general correspondence during creation, original advertisement, BE 155 quarterly sanitation review.	AC	5			AC = After Facility is closed.				
2903.02	3.1	BET Manager File - Active and Inactive	Assigned document (BE 121), Equipment Loan Agreement with initial equip. inventory, letters to manager, license, correspondence.	AC	10			AC = After license terminated.		One for each manager in the program.		
2903.03	3.1.027	BET Training	Training of managers. Application; training; tests.	AC	5			AC = Termination of license.				

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2903.04	4.2.007	Equalization	Transfer of funds. Payment to managers from vending machine venues, etc.	FE	3							
2903.05	1.1.058	Elected Committee of Managers (ECM) Agenda and Minutes	Roster, meeting minutes, elections, correspondence.	PM					A	ECM = Elected Committee of Managers. Statutory requirements dictate vital retention.		
2903.06	3.2.009	Retirement	Administration; correspondence with actuarial; retirees, beneficiaries; quarterly distributions.	AC	5			AC = Phase out date of Retirement Plan or date of deceased manager.		Program is phased out as of December 2011.		
2903.07	1.1.070	BET Manuals	BET Manual of Operations. Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Records Series Item Number 1.1.071 VITAL		
2903.08	5.1.013	Insurance	Bids, Contracts, Policy; claims; audits.	AC	7			AC = Expiration or termination of the insurance policy according to it's terms.		Paper and electronic. NOTE: Executed, renewed, or amended ON or AFTER September 1, 2015. SEE ITEM 5.1.001. Grants/Contracts Bids, Contracts for the retention of Bids, and Contracts.	Government Code 441.1855	

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2903.09	5.1.013	Insurance	Bids, Contracts, Policy; claims; audits.	AC	4			AC = Expiration or termination of the insurance policy according to it's terms.		Paper and electronic. NOTE: Executed, renewed, or amended ON or BEFORE August 31, 2015 . SEE ITEM 5.1.001. Grants/Contracts Bids, Contracts for the retention of Bids, and Contracts.	Government Code 441.1855	
2903.10	4.2.007	RHIVS Payments	Calculation; distribution. Similar to Longevity pay. This Program replaces retirement and vacation plans.	FE	5							C
2903.11	5.1.001	Vending Services Contract Files	Contract files contain a copy of the initial contract (2 years) and possibly 2 extensions (2 years each). Contracts can last six years. Contract files also contain general correspondence with host facilities as well as contractor. General corr. To 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	7			AC= Expiration or Termination of the instrument according to its terms.		NOTE: Executed, renewed, or amended ON or AFTER September 1, 2015 . Paper and electronic.	Government Code 441.1855	

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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.	10. Archival	11. Remarks	12. Legal Citations	13. N, C, S, O
					Years	Months	Days					
2903.12	5.1.001	Vending Services Contract Files	Contract files contain a copy of the initial contract (3 years) and possibly 2 extensions (2 years each). Contracts can last seven years. Contract files also contain general correspondence with host facilities as well as contractor. General corr. To 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	4			AC= Expiration or Termination of the instrument according to its terms.		NOTE: Executed, renewed, or amended ON or BEFORE August 31, 2015. Paper and electronic.	Government Code 441.1855	
2903.13	5.1.001	Contracts and Leases	Includes Military Base contracts, Vendor Service Contracts (can have 2 extensions), contract mods, payments, and correspondence. To 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	7			AC=Expiration or Termination of the instrument according to its terms.		NOTE: Executed, renewed, or amended ON or AFTER September 1, 2015. Paper and electronic.	Government Code 441.1855	

Retention Codes (Field 7)

AC – After closed, terminated, completed, expired, settled
AV – Administratively valuable

CE – Calendar year end
FE – Fiscal year end

LA – Life of asset
PM – Permanent

US – Until Superseded

Archival Codes (Field 10)

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

Code (Field 13)

S – Same
N – New
C – Changed
O – Obsolete

Records Retention Schedule

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					Years	Months	Days					
2903.14	5.1.001	Contracts and Leases	Includes Military Base contracts, Vendor Service Contracts (can have 2 extensions), contract mods, payments, and correspondence. To 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	4			AC=Expiration or Termination of the instrument according to its terms.		NOTE: Executed, renewed, or amended ON or BEFORE August 31, 2015. Paper and electronic.	Government Code 441.1855	
2903.15	5.2.008	Equipment History File, Equipment Service Agreements	Agreements or contracts between the agency and equipment vendor to provide maintenance service for equipment. Includes request for installation, moves, service, etc., and service/repair logbooks, etc. Pertains to asset values that are in excess of \$5000.	LA	3							
2903.16	1.1.064	Facility Monthly Report File	Current and previous calendar year BE 117s (BET Monthly Facility Report), supporting documentation such as inventories and repair work.	FE	10					One for each BET business in the region.		
2903.17	5.2.008	Facility Equipment File	DARS 2162 (Issue, Transfer or Turn-In), equipment inventories, any correspondence related to equipment and BET database equipment property listing. All correspondence for equipment with a value of \$5000 or more must be maintained for the life of the asset.	LA	3					One for each BET facility in the region.		
2903.18	5.2	Potential New Facilities	Site surveys, blue prints/floor plans, and general correspondence.	FE	3							

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					Years	Months	Days					
2903.19	1.1.008	General Correspondence	Monthly maintenance reimbursement documentation and letters to governmental agencies.		2							
2903.20	4.2	Purchasing File	Working documents and research. Supplier Information with ID number, payment remittance address, contact names and phone numbers, HHSAS requisitions and purchase orders, copies of invoices, cancellation of HHSAS p.o.s, and general correspondence from supplier.	FE	3							
2903.21	5.6.005	State Vehicle File	Monthly vehicle mileage log with copies of receipts for gas or maintenance.	FE	3							
OFFICE OF INTERNAL AUDIT												
5004.01	1.1.002	Audits	Audits and reviews, including the working papers that support the audit. Also includes audit performed on the agency. Reports Documentation and or workpapers.	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.		

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					Years	Months	Days					
5004.02	1.1.002	Audit Reports (Operational/Financial/EDP)		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.		
5004.03	1.1	VR - Peer Review - Report and Self Assessment		US	3					Required every three years per Government Auditing Standards.		
5004.04	1.1.024	VR - Annual Audit Plan and Risk Assessment		AC	3			AC = Decision made to implement or not to implement.	E	TX Internal Auditing Act requirement. Annual planning work paper kept until Peer Review completed. Archival review code removed subsequent to appraisal by the Archives and Information Services Division, Texas State Library and Archives Commission, February 4, 2008. Final audit report deposited in the Texas Documents Collection of the TSLAC.	E=Exempt from Archival Review. See Remarks.	
5004.05	1.1.066	VR - Annual Internal Audit Report		AC	7			AC = Sept 1 of odd numbered years.	A	TX Internal Auditing Act requirement.		
5004.06	1.1.070	VR-Internal Audit Charter		AC	3			AC = Completion or termination of policy or procedure.	R			
5004.07	3.3	VR - Professional Continuing Education Records		FE	3					CPE required by auditing standards. CPE records kept until Peer Review completed.		

EXECUTIVE DIRECTOR

5100.01	1.1.002	Audits - State Auditor's Office		AC	7			AC=Publication or release of final audit.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		
5100.02	1.1.002	Audits - Governor's Audit, Federal Audits, and Special Audits		AC	7			AC=Publication or release of final audit.		The State Auditor's Office retains any copies of its audits performed on Texas state agencies.		
5100.03	1.1.067	Conference and/or meeting reports and documents			3				R			
5100.04	1.1.067	Reports from Consultants and Committees			3				R			

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					Years	Months	Days					
5100.05	1.1.043	U.S. DOL Training Employment Guidance Letters (TEGL)		US	3					VITAL		
GOVERNMENTAL RELATIONS												
5101.01	1.1.069	Legislative Implementation Report (LIR)			1							
OFFICE OF GENERAL COUNSEL												
5102.01	1.1.026	Texas Register Submissions	Correspondence and forms posted in accordance with the Administrative Procedure and Texas Register Act.	AC	1			AC = Date of publication in Texas Register.		Paper and Electronic.		
5102.02	1.1.058	Meetings - Agenda and Minutes	Official agenda and minutes of the Commission, as required by Government Code, Chapter 551	PM					A	Agency retains permanent record copy in electronic format. The archival requirement will be met by sending the original to the Archives and Information Services Division, Texas State Library and Archives Commission.	Government Code, Chapter 551	
5102.03	1.1.060	Meetings - Audio or Videotapes of Open	Audio or video tapes of open meetings of the Commission.	AC			90	AC = Official approval of written minutes 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.		
5102.04	1.1.061	Meetings - Notes	Notes taken during open meetings of the Commission from which written minutes are prepared.	AC			90	AC = Official approval of written minutes by the governing body of an agency.				
5102.05	3.1	EEOC/TCHR Complaints		AC	3			AC = Final EEOC/TCHR decision on matter.		Paper and Microfilm.		

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5102.06	1.1	Court Orders for Records		AC	1			AC = Date of last transaction. As applicable, decision of agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	E	E = Archival Exemption		
5102.07	1.1.048	Litigation and Claim Files - Records created by or on behalf of an agency in anticipation of or in the adjudication of a lawsuit.	Includes both state and federal litigation, administrative hearings, legal claims and other adjudicatory proceedings not covered by another record series.	AC	3			AC = Date of last transaction. As applicable, decision of agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of a court (or of a court on appeal, if applicable) in a lawsuit.	R	ARCHIVES NOTE: Cases that set legal precedent or exhibit historical value will be evaluated by the Archives and Information Services Division of the Texas State Library and Archives Commission for archival preservation.		

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					Years	Months	Days					
5102.08	1.1.048	Benefits Lawsuits	Records relating to civil litigation, tax lawsuits, child labor lawsuits, UI Benefits cases appealed to a court; proprietary schools lawsuits, payday lawsuits, and any other causes. Created by or on behalf of the agency in anticipation of or in the adjudication of a lawsuit.	AC	2			AC = As applicable, decision of agency not to file a lawsuit or a decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit by the court or on motion of the plaintiff in a lawsuit; decision of a court affirming or reversing the Commission's action in the matter; settlement of the matter by parties involved in lawsuit.	E	NOTE: Benefit Lawsuits are Exempt from Archival Review. Paper and Microfilm.		
5102.09	1.1.048	Lawsuits - Petitions, Complaints, Opinions, Settlements, Judgments	Includes DWOP, Non-suits and Dismissals.	PM					E	These are documents that are not available elsewhere. E=Archival Exemption		
5102.10	1.1.014	Legal Opinions and Advice	From agency legal counsel, including any requests eliciting the opinions. Includes interpretations of laws and governing the operations of and programs administered by the agency.	AV					R	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. Keep for OAG Letter Rulings on Open Records TWC will select cases that have historical value and transfer to TSLAC for review.		
5102.11	1.1.020	Public Information Request-Non-Exempt (Non-Subpoena)	Includes all correspondence except responsive documents relating to request for records that are furnished to the public.	AC	1			AC = Date Request fulfilled.		This includes any records in any format and in any medium in this record series. NOTE: Responsive documents requested are not retained except to the extent they are retained in other departments per their separate records retention schedule. Paper or Electronic.	Public Information Act (Chapter 552, Government Code)	

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					Years	Months	Days					
5102.12	1.1	Public Information Request-Exempted.	Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Request.	AC	2			AC=Date of notification that records are exempt.		Subpoena Requests includes Public or Government Entity Subpoena (Federal or State). Includes all correspondence and documentation relating to requests for records that are exempt under the Public Information Act.	Public Information Act (Chapter 552, Government Code).	
5102.13	4.5.002	Information Request Summary Accounting Information		FE	3				E			
5102.14	1.1	Government Information Requests		AC	1			AC = Date Request Filled.				
5102.15	1.1.057	Reference and Transitory Information	These are records of temporary usefulness that are not an integral part of a records series or regularly filed with OGC's recordkeeping system. Material required for a limited period of time for the completion of an action by an official or employee of the agency or in the preparation of an ongoing records series. Examples include drafts of correspondence, rules, legal memos, policy and manual development, source materials found and retained by other sources other than the agency, or other special projects.	AC				AC = Purpose of Record has been fulfilled.		Paper and electronic. CAUTION: Records that fall under some other record series should be maintained and disposed of in accordance with that record series. SEE item number 1.1.014.		
5102.16	1.1	Dockets	Civil Litigation, Foreclosures and Condemnation proceedings, or any docket maintained relating to lawsuits.		25				R	Paper and Electronic.		
5102.17	3.1.018	Grievance Files	Grievance Statement that leads to an administrative hearing (Form P45).	AC	2			AC = Final decision on the grievance/complaint leads to an administrative hearing (Form P – 45).		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Opportunity Commission of the US Department Of Labor. SEE item number 1.1.048.		

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5102.18	3.1.018	Complaint/Response Files	Employees written complaint with appeal rights (form P-45a).	AC	2			AC = Final decision on the grievance/complaint.		CAUTION: Does not include formal complaints filed by an agency employee with the Equal Employment Opportunity Commission of the US Department Of Labor. SEE item number 1.1.048.		
5102.19	1.1	Subrogation Files		FE	1							

CONFERENCE PLANNING AND MEDIA SERVICES

5106.01	1.1	Event/Conference Administration Records	Records that document the efforts of TWC to provide informative sessions, short-courses, workshops, training programs, excursions, and celebratory events for the agency and the communities it serves. May include, but is not limited to: materials on planning and arrangements; reports; promotional and publicity materials; press releases and news clippings; photographs; presentation materials and handouts; schedules of speakers and activities; registration and attendance lists; participant evaluations; audio visual, photographs, images, recordings and other non textual media, and related documentation and correspondence.	AC	4			AC = Completion of the event.				
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GRANT ADMINISTRATION

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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					Years	Months	Days					
5120.01	5.1.001	Grant/Contract Documentation (in contract files); documents and correspondence	Contracts, grants, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, performance bonds, contracts, 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	7			AC = Expiration or termination of the instrument according to its terms.		Paper and Electronic. NOTE: Executed, renewed, or amended ON or AFTER September 1, 2015. VITAL	Government Code, 441.1855	C
5120.02	5.1.001	Grant/Contract Documentation (in contract files); documents and correspondence	Contracts, grants, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, performance bonds, contracts, 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	4			AC = Expiration or termination of the instrument according to its terms.		Paper and Electronic. NOTE: Executed, renewed, or amended ON or BEFORE August 31, 2015. VITAL	Government Code, 441.1855	C
5120.03	1.1	Memoranda of Understanding (MOU)		US	3				R			
5120.04	5.3.008	Purchasing Logs	Log, register, etc., providing a record of purchase orders issued, orders received, and similar data on procurement status	FE	3							
5120.05	4.7.008	Coordination Forms		AC	4			AC = FE after the satisfaction of all grants and agreements.				

CHIEF FINANCIAL OFFICER

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5200.01	1.1.066	Reports	Narrative reports to the governor.	AC	6			AC = September 1 of odd-numbered calendar years.	A	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.		
5200.02	1.1.002	Internal Audits		AC	7			AC = Publication or release of final audit findings.				
5200.03	1.1.002	State Audits		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.		

PAYABLES AND PAYROLL

5211.01	4.2.007	Expenditure Vouchers	Vouchers to record payment to vendors for goods and services.	FE	3					Paper and Electronic. VITAL		
5211.02	4.2.007	Expenditure Vouchers for Assets and Capital Projects	Vouchers to record payment to vendors for goods and services related to Assets in SPA and Capital Projects.	AC	3			AC = Asset is sold or disposed of; Capital project is approved as complete.				C
5211.03	4.7.001	Payables and Payroll – Department Policies and Procedures		US	3					Paper and Electronic.		
5211.04	4.2.005	Purchase Vouchers	Payment requests and support documentation. Requisitions, receiving reports, invoices, or statements, change orders, best value determinations, etc.	FE	3					Paper and Electronic. VITAL		
5211.05	3.2.002	Terminated Employee Records		AC	4			AC = After terminated.		Paper and Electronic. VITAL	40 TAC 815.106(i)	
5211.06	3.2.002	Employee Earning Records		FE	4					Paper and Electronic. VITAL	40 TAC 815.106(i)	
5211.07	3.2.003	Federal Tax Records	Includes W-2 and Form 1099.	AC	4			AC = Tax due date, date the claim is filed, or date tax is paid whichever is later.		VITAL	26 CFR 31.6001 - 1(e)(2).	
5211.08	4.2	Daily Payroll Transactions			10					Paper and Electronic. VITAL		
5211.09	4.2	Regular Payroll			10					Paper and Electronic. VITAL		

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5211.10	4.2	Lump Sum Payroll			10					Paper and Electronic. VITAL		
5211.11	4.2	Additional Payroll			10					Paper and Electronic. VITAL		
5211.12	4.2	ACHV Bonus Payroll			10					Paper and Electronic. VITAL		
5211.13	4.2	Prior Payroll			10					Paper and Electronic. VITAL		
5211.14	4.2	Monthly Payroll Reports			10					Paper and Electronic. VITAL		
5211.15	3.3.026	Staffing Reports	Any reports compiled by the 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							
5211.16	4.1.002	Billing Details/Documents		FE	3					CAUTION: Does not include long-distance telephone billing detail. SEE item numbers 5.5.001. VITAL		
5211.17	3.2.003	Payroll Quarterly Reports		AC	4			AC = Tax due date, date claim is filed or date tax is paid, which ever is later.		VITAL	29 CFR 31.6001-1(e)(2)	
5211.18	5.1.001	Contract Closeouts-Documentation		AC	4			AC=Expiration or termination of the contract according to its terms.		Paper and Electronic. VITAL		
5211.19	3.2.001	Employee Deduction Authorization	Documents used to start, modify, or stop all voluntary or required deductions from payroll, including garnishment or other court-ordered attachments.	AC	4			AC = After termination of employee or after amendment, superseded, obsolete, expiration, or termination of authorization, whichever sooner.		VITAL		N
5211.20	3.2.008	Direct Deposit Authorization Form (74-176)	Direct Deposit Authorization form (74-176)	AC	2			AC = Termination of employee.		VITAL	Texas Administrative Code, Title 34, Part 1, Chapter 5, Subchapter B	N

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REVENUE AND TRUST MANAGEMENT												
5212.01	4.2.002	Issued Field Receipts		FE	3					VITAL		
5212.02	4.2.005	Refund Vouchers Request to State Comptroller on Employment Related Overpayments		FE	3							
5212.03	4.2	TWC Deposit List C-110 and Allocation of Remittance C-52		CE	1					Paper		

Retention Codes (Field 7) AC – After closed, terminated, completed, expired, settled AV – Administratively valuable	CE – Calendar year end FE – Fiscal year end	LA – Life of asset PM – Permanent	US – Until Superseded	Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist	Code (Field 13) S – Same N – New C – Changed O – Obsolete
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STATE OF TEXAS
Records Retention Schedule

1. Agency Code: 320			2. Agency Name: Texas Workforce Commission									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9.	10. Archival	11. Remarks	12. Legal Citations	13. N, C, S, O
					Years	Months	Days					
5212.04	4.2	TWC Deposit List C-110 and Allocation of Remittance C-52		CE	5					Microfilm		
5212.05	4.3	Fiscal Year Documents - Recapitulation of Posted Documents		FE	2							
5212.06	4.4.001	General Accounting Ledger for UI Funds and Expenditures		FE	3							
5212.07	4.5.002	Federal Report Analysis (ETA 8401) Monthly Benefit Account Transactions		FE	3							
5212.08	4.5.002	Federal Report Analysis (ETA 8405) Monthly Analysis of Clearing Account Transactions		FE	3					VITAL		
5212.09	4.5.002	Federal Report Analysis (ETA 2112) Monthly UI Financial Transaction Fund		FE	3					VITAL		
5212.10	4.5.002	Federal Report Analysis (ETA 8413) - Income/Expense Analysis Benefit Account		FE	3					VITAL		
5212.11	4.5.002	Federal Report Analysis (ETA 8414)- Income/Expense Analysis Clearing Account		FE	3							

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					Years	Months	Days					
5212.12	4.2.005	Special Handling Form for Exception Processing of Payment/Voucher Authorization		FE	3							
5212.13	4.7.003	Returned Checks		AC	3			AC=After deemed uncollectable.				
5212.14	4.7.006	Comptroller Statements		FE	3							
5212.15	4.7.006	Cash Management Improvement Act Agency Information for Comptroller's Annual Report		FE	3							
5212.16	4.5.001	Cash Worksheets	To complete daily Federal Cash Reports used to order money.	FE	3							
5212.17	4.5.005	Federal External Reports	Financial Status (SF-269), Quarterly Return of Withholding Federal Income Tax (941E), Federal Tax Deposit (8109A), and Federal Cash Transaction Report (POS 272).	FE	3							
5212.18	4.1.002	Billing Detail Documents		FE	3					CAUTION: Does not include long-distance telephone billing detail. SEE item number 5.5.001.		
5212.19	1.1	Program Payments Received (microfilmed checks)			10					Microfilm - Original at TSL, duplicate at agency (R&TM) for 10 years.		
RID - SUBRECIPIENT MONITORING												
5213.01	1.1	Monitoring Reports - All Titles		AC	8			AC = After closed.				
5213.02	1.1	Audit Resolution Files		AC	10			AC = After closed.				
5213.03	1.1.007	Technical Assistance Documentation (site visits) - Financial		AC	4			AC = Date of last transaction.	R	VITAL		

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5213.04	1.1.006	Civil Rights Center (CRC) Complaint System Files		AC	3			AC=Final disposition of complaint		CAUTION: If a complaint becomes the subject of a litigation, it must be included in and is subject the minimum retention period of item number 1.1.048		
5213.05	1.1.006	CRC Complaint Log		AC	3			AC=Final disposition of complaint		CAUTION: If a complaint becomes the subject of a litigation, it must be included in and is subject the minimum retention period of item number 1.1.048		
5213.06	1.1.006	EO Compliance Reviews and Desk Audits		AC	3			AC=Final disposition of complaint		CAUTION: If a complaint becomes the subject of a litigation, it must be included in and is subject the minimum retention period of item number 1.1.048		
5213.07	1.1.006	TWC Complaint Fact Finding Reports		AC	3			AC=Final disposition of complaint		CAUTION: If a complaint becomes the subject of a litigation, it must be included in and is subject the minimum retention period of item number 1.1.048		
TELECOMMUNICATIONS INFRASTRUCTURE FUND BOARD												
5215.01	4.7	PS-1- Funded Applicants for Internet Access Secondary Schools		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		

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5215.02	4.7	PS 1 - Non-Funded Applicants		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	Years	Months	Days								
5215.03	4.7	PS 1 - Not Eligible Applicants		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).	CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL						
5215.04	4.7	PS 2 - Funded Applicants for Internet Access Enrollment of 1000		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).	CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL						
5215.05	4.7	PS 2 - Non Funded Applicants		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).	CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL						
5215.06	4.7	PS 3 - Public School Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).	CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL						

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					Years	Months	Days					
5215.07	4.7	PS 4 Public School Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.08	4.7	PS 5 - Public School Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		

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5215.09	4.7	PS 6 - Public School Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.10	4.7	PS 7 - Public School Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.11	4.7	PS 8 - Public School Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.12	4.7	PS 9 - Public School Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		

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5215.13	4.7	PS SP - Public Schools Special Program Grants		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.14	4.7	PS 10 - Public School Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.15	4.7	PS 11 - Public School Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.16	4.7	LB 1 - Public Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		

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3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	Years	Months	Days							
5215.17	4.7	LB 2 - Public Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).	CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL					
5215.18	4.7	LB 3 - Public Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).	CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL					
5215.19	4.7	LB 4 - Public Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).	CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL					
5215.20	4.7	LB 5 - Public School Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).	CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL					

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5215.21	4.7	LB 6 - Public Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.22	4.7	LB 7 - Public Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.23	4.7	LB 8 - Higher Education Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.24	4.7	LB 9 Higher Education Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		

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5215.25	4.7	LB 10 - Public Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.26	4.7	LB 11 - Public Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.27	4.7	LB 12 - Public School Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.28	4.7	LB 13 - Public School Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		

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5215.29	4.7	LB 14 - Public School Library Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL				
5215.30	4.7	HE 2 Higher Education Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL				
5215.31	4.7	HE 2 - Higher Education Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL				
5215.32	4.7	HE 3 - Higher Education Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL				

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5215.33	4.7	HE 4 - Higher Education Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).	CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL						
5215.34	4.7	PH 1 - Public Health Care Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).	CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL						
5215.35	4.7	PH 2 - Public Health Care Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).	CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL						
5215.36	4.7	PH 3 - Public Health Care Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).	CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL						

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					Years	Months	Days					
5215.37	4.7	PH 4 - Public Health Care Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.38	4.7	PH 5 - Public Health Care Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.39	4.7	PH 6 - Public Health Care Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.40	4.7	PH 7 - Public Health Car Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		

Retention Codes (Field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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Code (Field 13)

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STATE OF TEXAS

Records Retention Schedule

1. Agency Code: 320			2. Agency Name: Texas Workforce Commission									
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	13. N, C, S, O
					Years	Months	Days					
5215.41	4.7	PH 8 - Public Health Care Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.42	4.7	CN 1 - Community Network Planning Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.43	4.7	CN 1 - Community Network Project Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.44	4.7	CN 2 - Community Network Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		

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STATE OF TEXAS

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					Years	Months	Days					
5215.45	4.7	CN 3 - Community Network Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.46	4.7	DI 1 - Discovery Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.47	4.7	DI 2 - Discovery Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.48	4.7	DI 3 - Discovery Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments (the Common Rule).		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are retained for the appropriate retention period. VITAL		
5215.49	4.7	DI 4 - Discovery Grants and Non-Funded Applications		AC	5			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal,		CAUTION: Retention requirements may vary depending on the specific funding agency. Agencies must ensure that all records are		

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5215.50	4.7	SPEC - Special Project Grants		AC	5			AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, TSLAC, by the agency records administrator.		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. VITAL		

TRAVEL AND VENDOR SERVICES

5217.01	4.2.007	Travel Vouchers	Authorization requests, paid voucher reports and documentation.	FE	3							
5217.02	4.7.002	Advance Travel - Bank Records		FE	3							
5217.03	4.2.007	Rental Car Records		FE	3							
5217.04	3.3.023	Corporate Charge Card Application Reimbursable Activities, Requests and Authorizations to Engage in.		FE	3							
5217.05	4.2.007	Corporate Charge Card Report		FE	3							

DIRECTOR OF BUDGET MANAGEMENT

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					Years	Months	Days					
5230.01	1.1.004	Fiscal Note	Includes file copy and support documents.	AC	6			AC = September one of odd – numbered calendar years.	A	Original are maintained with Legislative Budget Board. Paper and Electronic ARCHIVAL NOTE: The archival requirement is met by sending 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.		

BUDGET MANAGEMENT

5230a.01	1.1.004	Biennial Budget Requests		AC	6			AC = September one of odd -numbered calendar years.	A	The archival requirement is met by sending 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.		
5230a.02	4.5.006	Budget Amendments		FE	3							
5230a.03	4.5.002	Operating Budget Input		FE	3							

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5230a.04	1.1.070	TWC Administrative Services Manual – Finance Department Letters.	Source of policies and procedure issuance. To include manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies or procedures.	R	Paper and Electronic. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071		
5230a.05	1.1.070	Fiscal Program Guidance Letters and Rules		AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Paper and Electronic.		
5230a.06	4.1.004	Encumbrance Detail: Support and Documentation		FE	3							
5230a.07	4.5.002	Financial Technical Assistance Correspondence and Support		US	3					Paper and Electronic.		

ACCOUNTING AND FINANCIAL REPORTING SERVICES

5240.01	4.4.001	Ledgers – Accounting Ledgers for Special Program Funds and Expenditures		FE	3					Electronic only. VITAL		C
5240.02	3.4.006	Monthly Employee Timesheets – Time/Cost Sampling Reports (ADT)		FE	4					Electronic only. VITAL	40 TAC 815.106(i)	C
5240.03	5.1.005	Postage Expense and Usage Reports	Records and reports of postage expenses, including postal meter usage.	FE	3					Electronic only.		C
5240.04	4.5.002	Management Internal Reports		FE	3							
5240.05	4.6.002	Reconciliations		FE	3							

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					Years	Months	Days					
5240.06	4.7.008	Funding Grants & Agreements		AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements To Federal, State and Local Governments.				

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					Years	Months	Days					
5240.07	2.1.002	Automated Files - Master Computer		AC				AC = Until transferred to usable environment.				
5240.08	4.5.003	Annual Financial Reports	Includes both annual and/or quarterly reports required by the General Appropriations Act, as well as annual and/or monthly Statutory reports. Required by the General Appropriations Act (100 Day Report).	AC	6			AC = September one of odd-numbered calendar years.		CAUTION: If an agency does not produce a biennial or annual narrative report as described in item number 1.1.066, then these annual financial reports must be marked with Archival Code A. The archival requirement, when a biennial or annual narrative report is not produced, is met by sending the required copies of the reports to the Texas State Publications Depository Program, Texas State Library and Archives Commission.		
5240.09	4.5.005	Federal External Reports, i.e., Federal Expenditure Reports (9130).		FE	3					Paper and Electronic.		N

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					Years	Months	Days					
5240.10	5.2.002	Sold – Agency Owned Building Files	Planning, design, and construction records; accepted and rejected bids; correspondence, etc.	AC	10			AC = After contract Completed and accepted.	R			N
FINANCIAL SYSTEMS SUPPORT												
5241.01	2.1.010	Audit Trail Records	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC				AC = All required audit requirements have been met.		VITAL		N
DIRECTOR OF INFORMATION TECHNOLOGY												
5300.01	1.1.024	Information Resources Deployment Review (IRDR) (formerly Information Resources Strategic Plan)		AC	3			AC = Decision to implement or not.		Paper and Electronic.		
APPLICATION, DEVELOPMENT AND MAINTENANCE												
5310.01	2.2.012	Computer Production Output Reports	Reports showing transactions that were accepted, rejected, suspended, and/ or processed.	AV						Paper and Electronic. VITAL		
5310.02	2.1.009	Technical Documentation	System, Program & File, User Operations/Run.	AC				AC = Until transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. Paper and Electronic. VITAL	13 TAC 6.94.	

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					Years	Months	Days					
5310.03	2.1.007	Software Programs		AC				AC = Until 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.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. VITAL	13 TAC 6.94.	
5310.04	1.1.024	Planning Records	Reports, studies and analysis.	AC	3			AC = Decision made to implement or not to implement result of planning process.	R	ARCHIVES NOTE: Data processing planning records are not archival. Paper and Electronic. VITAL		
5310.05	1.1.070	Administrative & Technical Procedure Manual	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	NOTE: Computer Records & Processing Files belong to the User departments & are listed in the appropriate User Department Section. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
TECHNOLOGY BUSINESS SERVICES												
5315.01	2.2.012	Computer Production Output Reports	Reports showing transactions that were accepted, rejected, suspended, and/or processed.	AV						Paper and Electronic		
5315.02	2.1.009	Technical Documentation	System, Program & File, User Operations/Run.	AC				AC = Until transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records. Paper and Electronic.	13 TAC 6.94.	

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5315.03	2.1.007	Software Programs		AC				AC = Until Transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet the approved retention period that require the documentation to be retrieved and read.		CAUTION: Software needed for access to electronic records must be retained for the period of time required to access the records.	13 TAC 6.94.	
5315.04	1.1.024	Planning Records	Reports, studies and analysis.	AC	3			AC = Decision made to implement or not to implement result of planning process.	R	ARCHIVES NOTE: Data processing planning records are not archival. Paper and Electronic.		
5315.05	1.1.070	Administrative & Technical Procedure Manual	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	NOTE: Computer Records & Processing Files belong to the User departments & are listed in the appropriate User Department Section. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.		

IT INFRASTRUCTURE SERVICES

5320.01	2.2.001	Activity Monitoring Records	Console logs, physical and online access records.	AV								
5320.02	2.2.004	Shift Reports: 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.	US	1							
5320.03	5.2.008	Computer Hardware Maintenance Records	Repair and service documents, and inspection of hardware report (mainframe and microcomputers).	LA	3							

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					Years	Months	Days					
5320.04	2.2.004	Zeke Logs: 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.			3						
5320.05	1.1.024	Data Processing Planning Records	Reports, studies and analysis.	AC	3			AC= Decision to implement or not.		Paper and Electronic.		
5320.06	2.1.009	Operating System Files and Documentation		AC				AC = Until electronic records are transferred to and made usable in a new hardware or software environment with new documentation or there are no electronic records being retained to meet an approved retention period that require the documentation to be retrieved and read.		CAUTION: If an electronic record is scheduled for permanent retention, technical documentation needed for access to the record must also be retained permanently. VITAL	13 TAC 6.97(a). 13 TAC 6.94.	
5320.07	5.4.013	Disaster Recovery Plan (manual) ADP		US						Paper and Electronic. VITAL		
5320.08	2.2	Internet Usage Logs				6						
5320.09	2.2	Security Logs		AV								
5320.10	2.1	Internal Programs & Job Control Language	Software Programs. Programs that run TWC Business and Customer Services, i.e., WIT, UI Benefits, Rehab Works, Chaps, etc.	US								
5320.11	2.1	Data Dictionaries and Meta Data		US								
5320.12	2.1	Computer Software Media		AC				AC = Until terminated.				
5320.13	2.1	Computer Software Documentation	Productivity, utility software such as MSOffice, Adobe, Firefox, Splunk, McAfee, etc.	LA								
LABOR MARKET AND CAREER INFORMATION												
5340.01	1.1.067	Multiple Worksite Report (BLS-3020) - Quarterly				3			R	State Archives will be contacted prior regarding confidential information.		

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5340.02	1.1.067	EXPO Automated Refiling Controlling System (EARS)			3				R	State Archives will be contacted prior regarding confidential information.		
5340.03	1.1.067	Industry Verification and Classification Forms (ES-202, BLS-3023)			3				E	E=Exempt from Archival Review		
5340.04	1.1.067	Current Employment Statistics (CES)- Reports and Correspondence for Program Operations	Federal Administrative Reports - BLS 790A, B, BM, E, H, JF, J-FD, JL & S etc.		3				R	Paper and Electronic. State Archives will be contacted prior to transfer regarding confidential information.		
5340.05	1.1	CES - Solicitation Materials for Respondents	Registry listing of firms in the CES program.	US					R	State Archives will be contacted prior regarding confidential information.		
5340.06	1.1	Occupational Employment Statistics (OES SPAM) Files and Schedules		AC	4			AC = Date of last transaction.				
5340.07	1.1	OES Estimates Delivery System		AC	3			AC = Until superseded or obsolete.				
5340.08	1.1.065	Employment and Statistics-202 Summary Data		AV								
5340.09	5.1.004	Employment and Statistics-202 Quarterly Enhanced Unemployment Insurance Address (EQUI) File	Magnetic tapes of covered employers.	US								
5340.1	1.1.065	Current Employment Statistics (CES)		AV								
FACILITIES SUPPORT SERVICES												
5381.01	5.2	State Office Maintenance and Custodial Records		AV						Paper and Electronic. VITAL		
5381.02	5.4.012	Key Receipts - F-158		AC	2			AC = Date keys have been returned.				
5381.03	5.6.009	TWC Parking Records	Applications, waiting list, assigned spaces, vehicle descriptions, and parking rules.	US						Paper and Electronic.		

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5381.04	5.1.004	TWC Address and Telephone Listings (Y-9)		US								
5381.05	5.1.004	Local Office Directory		US						Paper and Electronic.		
5381.06	5.5.001	Long Distance Telephone Charge Reports		FE	3					Maintained electronically.		
5381.07	5.5.001	Long Distance Telephone Charge Data (For internal documentation purposes)		FE	3							
5381.08	5.1.001	Interagency Contracts (IAC)		AC	4			AC = Expiration or termination of instrument according to its terms.		VITAL	Government Code, 441.1855	

INFRASTRUCTURE PLANNING AND BUDGET

5382.01	4.5.001	Infrastructure Planning and Budget Working Papers		FE	3							
5382.02	1.1.004	Legislative Appropriations Request (LAR) Working Papers		AC	6			AC = September 1 of odd-numbered calendar years.	A	The archival requirement is met by sending the required copies to the Texas State Publications Depository Program, TSLAC. Only copies of supporting documentation submitted to the Legislative Budget Board are archival.		
5382.03	1.1.067	Texas Project Delivery Framework (Framework) Monitoring Reports	(formerly Quality Assurance Team Reports).		3				R			
5382.04	1.1.024	Information Technology Detail	(Formerly Biennium Operating Plan and Documentation).	AC	3			AC = Decision to implement or not.	R	Paper and Electronic.		
5382.05	5.1	Facility Master Plan		AC	3			AC = Decision to implement or not.	R	Paper and Electronic.		
5382.06	5.1	Resource Efficiency Plan		AC	3			AC = Decision to implement or not.	R	Paper and Electronic.		

Retention Codes (Field 7)				Archival Codes (Field 10)			Code (Field 13)
AC – After closed, terminated, completed, expired, settled	CE – Calendar year end	LA – Life of asset	US – Until Superseded	A/I – Transfer to State/University Archivist	R/O – Review by State/University Archivist	S – Same	N – New
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STATE OF TEXAS
Records Retention Schedule

1. Agency Code: 320		2. Agency Name: Texas Workforce Commission										
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9.	10. Archival	11. Remarks	12. Legal Citations	13. N, C, S, O
					Years	Months	Days					
5382.07	5.2.002	Vacant Agency Owned Buildings Files	Includes Building Construction Project Files, Planning, design & construction records, accepted and rejected bids, contracts, inspections, correspondence, etc., for agency owned property that has been sold.	AC	10			AC = Contract complete and accepted.	R	VITAL		
5382.08	5.2	Planned Procurement Schedule – (HB1516)	Planned Commodity Procurements reported to DIR.	AC	3			AC = After Closed.	R			
5382.09	5.1.001	Original Property Leases		AC	4			AC = Termination of Instrument.				
5382.10	4.7.004	Property Master Records		LA	3							

UNEMPLOYMENT INSURANCE SUPPORT SERVICES

5411.01	1.1	Unemployment Insurance (UI) Benefits Claimant Files (UI, UCFE, UCX)	Includes UI application; benefit assessment; claim certification (IB-2); duplicate warrant request; wage investigation findings; charge liability decisions; and general claimant correspondence.	CE	4					CONFIDENTIAL		
5411.02	1.1.048	UI Court Files (Held for the Legal Department)		AC	5			AC = Date of settlement or end of statute of limitations.	R	State Archives will be contacted prior to transfer regarding confidential information. CONFIDENTIAL		
5411.03	1.1	General UI Claim Correspondence	Includes Congressional inquiries of a general nature.		2							
5411.04	1.1	Statement of Benefits Form B-11 (held for BPC)			50					TSL and Electronic image. VITAL		
5411.05	1.1	Determination of Payment of Benefits B-33 (held for BPC)		AC	1			AC = Date of last transaction.		Microfiche and Electronic image. VITAL		

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STATE OF TEXAS

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					Years	Months	Days					
5411.06	2.2.001	Customer Information Control System (CICS)			5					Microfiche at TSL; Electronic image/document at TWC. VITAL		
5411.07	1.1	Claim Correction Messages			1							
5411.08	1.1	Form B-78 Register			10					Microfiche at TSL; Electronic image/document at TWC. VITAL		

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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					Years	Months	Days					
5411.09	2.2	CICS Data Entry Cross Reference			5					Microfiche at TSL; Electronic image/document at TWC.		
5411.10	1.1	Notice of Maximum Potential Chargeback Responses			5							
5411.11	1.1.008	General Correspondence - Chargeback			3							
5411.12	5.1.004	Special Mailing Addresses (SMA Reg)	Regular employer address file for mailing of benefit chargeback notices.	US								
5411.13	1.1	Labor Management Dispute Master File		CE	5							
5411.14	1.1	Unemployment Compensation for Federal Employees/Unemployment Compensation for X-Service Members	Quarterly detail of benefits paid to former employees.	CE	5							
5411.15	1.1	Combined Wage Claim Files	Records of wage transfers to other states and charges from other states.	CE	5							
5411.16	1.1	Statement of Benefits Paid to Combined Wage Claimants		CE	5							
5411.17	1.1	Trade Readjustment Allowance (TRA) Claim Files		AC	3			AC = Date of last transaction.				

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					Years	Months	Days					
5411.18	1.1.070	Unemployment Insurance Manual and Transmittal Letters	Management and operations/procedures. To include: Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic Image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.19	1.1.070	Non-monetary Determination Statements Manual	Management and operations/procedures. To include: Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic Image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.20	1.1.070	Trade Readjustment Assistance (TRA) Handbook	Management and operations/procedures. To include: Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic Image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.21	1.1.070	Systematic Alien Verification for Entitlement (SAVE) Procedures Manual	Management and operations/procedures. To include: Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic Image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		

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STATE OF TEXAS

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					Years	Months	Days					
5411.22	1.1	Chargeback Master File			5	3						

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STATE OF TEXAS

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					Years	Months	Days					
5411.23	1.1	Claimant Master File (VSAM) and Benefits System Tables (DB2)			10							
5411.24	4.2	Employer Payroll Report		CE	5							
5411.25	1.1	Child Support Documentation		AC	3		AC=Date of Last Transaction.					
5411.26	1.1	Shared Work Plans		CE	4							
5411.27	1.1	Glossary of Terms Listing		US	1							
5411.28	1.1.069	UI Program Reports and Data Details		FE	3							

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					Years	Months	Days					
5411.29	1.1.024	Program Management Review - UI Budget Plans		FE	3				R			
5411.30	1.1.065	UI Workload Validation Report		AV					R	CAUTION: Does not include source documentation used for information or data included in or directly related to another record series in this schedule. See especially item number 1.1.064. NOTE: Retain longer if it still has Administrative Value.		
5411.31	1.1.070	Employment & Training Handbook 301 Nonmonetary Quality Control	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.32	1.1.070	Employment & Training Handbook 336 Program Budget Plan	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.33	1.1.070	Employment & Training Handbook 356 Disaster Unemployment Assistance (DUA)	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.34	1.1.070	Employment & Training Handbook 361 Data Validation	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		

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					Years	Months	Days					
5411.35	1.1.070	Employment & Training Handbook 376 Internal Security	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.36	1.1.070	Employment & Training Book 38 for Unemployment Compensation for Ex-Military (UCX)	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.37	1.1.070	Employment & Training Book 391 Unemployment Compensation for Federal Employees (UCFE)	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.38	1.1.070	Employment & Training Handbook 392 Interstate Claim Staking Procedures	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.39	1.1.070	Employment & Training Book 394 Unemployment Insurance Financial Data	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		

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5411.40	1.1.070	Employment & Training Handbook 395 Benefit Quality Control Operations	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.41	1.1.070	Employment & Training Book 396 UI Quality Control Monitoring	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		

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					Years	Months	Days					
5411.42	1.1.070	Employment & Training Handbook 399 Combined Wage Claims (CWC)	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.43	1.1.070	Employment and Training Handbook 400 UI Benefit Quality-Control ADP Guide	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.44	1.1.070	Employment & Training Handbook 401 UI Reports	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5411.45	1.1.070	Employment & Training Handbook 402 UI Reports Entry System Users Manual	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		

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					Years	Months	Days					
5411.46	1.1.070	Employment & Training Handbook 407 Revenue Quality Control Operations	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Electronic image. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.		
5411.47	1.1	Interstate Continued Claim Forms (IB-2)			5							
5411.48	1.1	Notice of Maximum Potential Chargeback (C-66)			10					TSL and Electronic Image at TWC		
5411.49	4.1	Warrants Issued Register			5					TSL and Electronic Image at TWC		
5411.50	4.1	Warrants (Compensation) Register			10					TSL and Electronic Image at TWC		
5411.51	5.1	Designated Employer Address Requests			5							
5411.52	1.1.069	Claim Staking Activities (weekly); Extended Benefits			10					TSL and Electronic Image at TWC		
5411.53	4.4	Overpayment Accounting System (OPAC)		AC				AC = Date of Last Transaction.				
5411.54	4.4	Federal Discharge Overpayment Account Sheets		AC				AC = Date of Report.				
5411.55	4.4	Overpayment Account Record Sheets (excludes TRA/DUA/CWC)		AC				AC = Date of final restitution payment or agreed settlement.		Microfilmed and Electronic Image.		
5411.56	4.4	Active Claimant Overpayment Files – Subsection 16(d) & 16(e) cases		AV						Paper retained for no more than 2 years and then filmed. Paper. Electronic Image.		

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					Years	Months	Days					
5411.57	4.4	Active Claimant Overpayment Files – Subsection 16(d) & 16(e) cases		AC	1			AC = Date overpaid has been repaid, waived, written off or zeroed out + 1 year.		Original at TSL, duplicate at agency. Microfilm TSL and Electronic Image.		
5411.58	1.1.067	Overpayment Statistics/Status Reports - MIS 3303		FE	3				R			
5411.59	1.1.065	Wage/Benefit Fraud Survey		AC	1			AC = one year from the date of satisfying the full overpayment including court costs and interest.		CAUTION: Does not include source documentation used for information or data included in or directly related to another record series in this schedule. See especially item number 1.1.064.		
5411.60	1.1	Quality Control Case Files – Texas Investigation Cases		CE	3					VACANT		
5411.61	1.1	Quality-Control Case Files – Non-Texas Investigation Cases		AC		6		AC = Date of last transaction.				

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					Years	Months	Days					
5411.62	1.1	Data Entry Documents for Department of Labor		FE	2							
5411.63	1.1.070	Quality-Control Handbook & Letters	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures-Working Files, 1.1.071 VACANT		
5411.64	1.1	Disaster Unemployment Assistance (DUA) Claim Files		CE	4							
5411.65	1.1.024	Benefits Redesign Documentation		AC	6			AC = Decision made to implement or not to implement result of planning process.	R			

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
AC – After closed, terminated, completed, expired, settled	CE – Calendar year end	LA – Life of asset	US – Until Superseded	A/I – Transfer to State/University Archivist	S – Same	N – New
AV – Administratively valuable	FE – Fiscal year end	PM – Permanent		R/O – Review by State/University Archivist	C – Changed	O – Obsolete

STATE OF TEXAS

Records Retention Schedule

1. Agency Code: 320		2. Agency Name: Texas Workforce Commission										
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9.	10. Archival	11. Remarks	12. Legal Citations	13. N, C, S, O
					Years	Months	Days					
5411.66	1.1	Civil Complaint Files for Fraud Cases		AC				AC = Date Of Final Restitution Payment or Agreed Settlement.				
5411.67	1.1	Fraud Survey History Files		AV								
5411.68	4.1	Benefit Payment Database – Overpayments		AC				AC = Greater of (1) the standard retention period for claims without an overpayment 5411.23 or (2) 1 year from the date of satisfying the full overpayment including court costs, and interest plus.				

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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					Years	Months	Days					
RID - PROGRAM INVESTIGATIONS												
5431.01	1.1.006	Complaint Records	Complaints received by the Agency from the public concerning the Agency and records pertaining to the resolution of the complaint.	AC	3			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 of item 1.1.048.		
5431.02	1.1	Investigation Records	Includes criminal investigation files compiled by the Office of Investigation. Case files consist of items such as a completed criminal investigation package, search warrants, interview reports, investigation reports, indictments, plea agreements, business records affidavits, and related records.	AC	8			AC=Closure of Case or the decision to not try a case.	R	RETENTION: Retain precedent-setting litigation records not scheduled by special schedule eight years after case closed, dismissal or final judgment, as applicable. Paper, electronic, voice and video recordings.		
STATE OFFICE APPEALS												
5440.01	1.1	Appeals Claimant Files	Folders containing claim determinations, local office records, copies of lower and higher level appeal decisions, and related items.	AC	4			AC = Date of last transaction.		Paper & Electronic		
5440.02	1.1	Appeals Claimant Files	Folders containing claim determinations, local office records, copies of lower and higher level appeal decisions, and related items.	AC	4			AC = Date of last transaction.		The paper documents will be destroyed within 60 days of scanning.		
5440.03	1.1	UI Appeals Hearing Audiocassette Tapes and Appeals Folders		AC	4			AC = Date of las recorded hearing.		O=Paper and Electronic.		C
5440.04	1.1	UI Appeals Hearing Digital Recordings		AC	4			AC = Date of last recorded hearing.		O=Digital recording. After November 1, 2000 for the official recording of any hearing will be a digital recording if it exists.		C
5440.05	1.1.067	Monthly Status Reports	Concerning appeals activity and production data, time lapse – MA-5's.		3				R			

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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STATE OF TEXAS

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					Years	Months	Days					
5440.06	1.1.070	Hearing Officer's Handbook	Guidelines and procedures for adjudication officers.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	VITAL		
5440.07	1.1	Appeals Master Files	Both Appeals and Commission Appeals Department Data.	AC		6		AC = After Closed.	E	VITAL		
COMMISSION APPEALS												
5460.01	1.1.059	Commission Benefits Meeting Dockets				4					Government Code, 551.104(a)	
5460.02	1.1	Commission Decisions with Summaries				4						
5460.03	1.1	Commission Appeals - Hearing Audio Cassette		AC		4		AC = Date of hearing.		Paper and Electronic.		C
5460.04	1.1	Commission Appeals Hearing Digital Recordings		AC		4		AC = Date of last recorded hearing.		NOTE: After November 1, 2004, the official recording of any hearing will be digital recording, if it exists.		C
5460.05	1.1.070	Appeals Policy and Precedent Manual (agency and court decisions)	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC		3		AC = Until superseded or completion or termination of program, rules, policies, or procedures.	A	SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071 VITAL		C
5460.06	1.1	Appeals Master Files	Appeals Department Data.	AC		6		AC = After Closed.	E			C

Retention Codes (Field 7) AC – After closed, terminated, completed, expired, settled AV – Administratively valuable	CE – Calendar year end FE – Fiscal year end	LA – Life of asset PM – Permanent
Archival Codes (Field 10) A/I – Transfer to State/University Archivist R/O – Review by State/University Archivist	Code (Field 13) S – Same N – New C – Changed O – Obsolete	

STATE OF TEXAS
Records Retention Schedule

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					Years	Months	Days					
5460.07	3.3.024	Wage Claim precedent Manual	Manuals, guidelines, administrative rules similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency	US		3						

SPECIAL HEARINGS

5470.01	1.1	Tax Rule 13 Hearing Decisions			50							
5470.02	1.1	Tax Rule 13 Hearing Audio Cassette Tapes			5					Paper and Electronic.		
5470.03	1.1	Tax Rule 13 Digital Recordings		AC		6		AC = Date of last recorded hearing.		NOTE: After November 1, 2004, the official recording of any hearing will be digital recording, if it exists.		
5470.04	1.1	Summary Hearing Data		AC		6		AC = After Closed.				
5470.05	1.1	Payday Law Appeals		AC		3		AC = Date of Last Transaction				

RID - LABOR LAW INVESTIGATIONS

5490.01	1.1	Payday Law Complaints and Investigative Files	Includes Payday Wage Claim Documents.	AC		6		AC = Date of last transaction.		Electronic -Neubus		
5490.02	1.1	Payday Law Administrative Liens				25						
5490.03	1.1	Payday Law Administrative Liens				1						
5490.04	1.1	Payday Wage Claim Documents		AC		10		AC = Date of final decision.		Microfilmed from 1991 – 1994.		

Retention Codes (Field 7)

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US – Until Superseded

Archival Codes (Field 10)

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

Code (Field 13)

S – Same
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STATE OF TEXAS
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					Years	Months	Days					
5490.05	1.1	Payday Law Wage Claims in Bankruptcy		AC	6			AC = Date of last transaction.		Paper and Electronic.		
5490.06	1.1	Payday Law Wage Claims in Bankruptcy Chapter 13		AC	6			AC = Date of last transaction.		Paper and Electronic.		
5490.07	1.1	Child Labor Law Investigation Files – violation		PM						Paper and Electronic. Paper retained for 3 years.		
5490.08	1.1	Child Labor Law Investigation Files – non— violation		AC	3			AC = Date of last transaction.		Paper and Electronic. Paper retained for 3 years.		
5490.09	1.1	Payday Law Complaints and Investigative Files	Includes Payday Wage Claim Documents.	AC			60	AC = After document is scanned		Paper		
RID - VR CONTRACT OVERSIGHT AND SUPPORT												
5495.01	5.1	Consumer Service Contractor Monitoring Files	Includes each program's monitoring correspondence, monitoring reports, and clearing of findings.	AC	7			AC = FE after contract expires, terminated, settled or closed.				
5495.02	5.1	Remedial Action Review	Includes documentation of TWC action regarding contractors found to be in noncompliance with Program Standards and contract terms and conditions.	AC	7			AC = After the final action imposed through the Remedial Action Review is completed or accomplished + Fiscal Year End		Contract Oversight and Support has the full official file for Remedial Action Review related activities.		
TAX												
5500.01	1.1	Entity Status					10			Original at TSL, Duplicate at agency for 10 years. VITAL		
5500.02	1.1	Wage Lists (Form C-3/4)					10			VITAL		
5500.03	1.1	Data Entry Tax Film					10			Original at TSL, Duplicate at agency for 10 years. VITAL		
5500.04	1.1.070	Tax Manual and Tax Letters	Operations and procedure guide.	AC	3			AC = Until superseded or completion or termination of program, rules, policies or procedures.	R	All are on the Intranet. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071 VITAL		

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STATE OF TEXAS

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					Years	Months	Days					
5500.05	1.1.070	Tax Forms Manual	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		

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					Years	Months	Days					
5500.06	1.1.070	Employer Masterfile User's Guide	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071. VITAL		
5500.07	1.1	Employer Master File		AV						VITAL		
5500.08	1.1	Tax Rate Summary File			10					VITAL		
5500.09	1.1	Wage Record Master File			1	3				VITAL		
5500.10	1.1	Wage Record Adjustments File				4				VITAL		
5500.11	1.1.070	Field Tax Operations - Audit Manual	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071		
5500.12	1.1.070	Field Tax Operations - Procedures Manual	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071		
5500.13	1.1	Controller Batch Film			10					Original at TSL, duplicate at agency Microfilm NOTE: After Jan 1, 2005, records will be digitally imaged.		

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					Years	Months	Days					
5500.13a	1.1	Controller Batch Film			10					Paper and Electronic.		

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					Years	Months	Days					
5500.14	1.1	Wage Distribution (C-83)			10							
5500.15	5.1.004	Field Tax Data File		AC	1			AC = Last transaction.		Paper and Electronic.		
5500.16		Service Agent Payment Allocations					180					S
5500.17	3.2.003	Electronic and Non-Electronic Federal Tax Information (FTI) Logs	Used to track location of FTI received by IRS.		5					NOTE: IRS Publication 1075. Tax Information Security Guidelines.		N
5500.18	1.1	QETP - Questionable Employment Tax Practices		AV								N
5500.19		Tax eCorrespondence	Informational documents sent to employers to notify them about changes to their TWC Tax Account. Includes statements of account, Tax Rate Notices, and requests for a Federal ID Number.		3					Document availability requires employer subscriptions to Tax eCorres in the Unemployment Tax Services System. Original source of document is TWC Tax mainframe system where all source information is located and retention is covered under 5500.15.		N

RID - TAX COLLECTIONS UNIT

5603.01	1.1	Inactive Paid Out (IPO) Status Lien Assembly		AC	10			AC = Date of last transaction.		Microfilm – Original at TSL, duplicate at agency. After January 1, 2005, records will be digitally imaged.		
5603.02	4.4	Tax Liens, Benefits Assessments and Judgements		AC	1			AC = Date overpaid has been repaid, waived, written off or zeroed out + one year.		Microfilm, Microfiche & Digital Image.		N
5603.03	4.4	Tax Liens, Benefits Assessments and Judgements (Paper)		AV						Paper retained for no more than two years after scanned.		N

RID - BENEFIT OP COLLECTIONS

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5606.01	1.1	Benefit Correspondence		AC	4			AC = Last Action Date.		Letters for claimant or response to letters or phone calls. VITAL		
5606.02	2.1.010	TOP Electronic Transactions	Files needed for electronic data audits such as files or reports showing transactions accepted, rejected, suspended, and/or processed; history files/tapes; records of on-line updates to application files or security logs.	AC	7			AC = Last TOP action in automated Benefits System.		NOTE: IRS Publication 1075. Tax Information Security Guidelines. VITAL	IRC 7213 or 7213(A), IRC 7431	N
HUMAN RESOURCES												
5621.01	3.1	Employee Personnel Files	Employment application, certification of personal actions taken, and performance appraisals.	AC	5			AC = Date of employment Termination		Paper or electronic. VITAL		C
5621.01a	3.3.011	Former Employee Personnel Files	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 = Date of employment termination.		Microfilm/Fiche. VITAL		C

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					Years	Months	Days					
5621.02	3.1.011	Employee Benefit Files	Medical Insurance and TexFlex Program Forms and Documents.	AC				AC = Until superseded or termination of employment.		Paper and electronic. CAUTION: Documents that serve as payroll deduction authorizations must be maintained for the retention period prescribed for item number 3.2.001. VITAL		
5621.03	3.2.009	Deferred Compensation Files		AC	5			AC = After final distribution.		VITAL		C
5621.04	3.3	Wellness Program Information and Resource Documents		AV								
5621.05	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.		Paper and Electronic. VITAL		
5621.06	3.1.001	Employment Applications - Not Hired	Applications, resumes, transcripts, letters of reference, and similar documents whose submission by candidates for vacant positions is required on the application form, by application procedures, or in the employment advertisement.		2						29 CFR 1602.31	
5621.07	3.1.014	Interviewing Reports	Notes and documentation of selection process.		2					CAUTION: Does not include criminal history checks. SEE item number 3.1.026. VITAL	29 CFR 1602.31	
5621.08	3.1.012	Job Posting Files	Applications and Notice of Selections.		2						29 CFR 1602.31	
5621.09	1.1.048	Lawsuits Filed by TWC Employees		AC	3			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	R	State Archives will be contacted prior to transfer regarding confidential information. VITAL		
5621.10	1.1.023	TWC Departmental Organization Charts		US					A			

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5621.11	3.3.026	EEO Staffing Profile		US	3							
5621.12	1.1.070	TWC Human Resources Manual and Personal Letters	Policy and procedures documents. Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	US	3			Until superseded or completion or termination of program, rules, policies or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures Working Files, 1.1.071. VITAL		C
5621.13	1.1.070	Employees Classification and Compensation Plan Manual	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures Working Files, 1.1.071 VITAL		
5621.14	1.1.065	Investigation Reports and Studies – Raw Data		AC	3			AC = Date of final report.				
5621.15	1.1	ADP Personnel Cross Match File			3							
5621.16	1.1.043	Training Materials (Films and Tapes)		US	1					Paper and Electronic.		
5621.17	3.1.026	Criminal History Checks. Criminal history record information on job applicants or agency employees obtained from the Department of Public Safety (DPS).		AC				AC = The criminal history record has served the immediate purpose for which it was obtained.		CAUTION: An agency that is authorized to obtain a criminal history record information from DPS must refer to its agencies legislation or see Subchapter F, Chapter 411, Government Code for appropriate retention and use of this information.		
5621.18	1.1.056	ADA Documentation			3						28 CFR 35.105(c)	

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5621.19	1.1	Transition Files		AC	2			AC = Purpose of record has been fulfilled.		Paper and Electronic.		
5621.20	1.1.007	Reduction-In-Force/Staff Realignment Files			4				R			C
5621.21	3.1.006	Human Resources Notes and Mediation Agreements	Notes, memoranda, or reports relating to the counseling of an employee for work-related, personal, or substance abuse problems. Usually maintained at the supervisor level except in those agencies with counseling staff.	AC	3			AC = Termination of employment.				
5621.22	3.3.031	EEO-4 Reports	Includes documentation used to complete EEO reports.	AC	3			AC = After closed.			29 CFR 1602.32, 1602.39, 1602.41, 1602.48, and 1602.50	
5621.23	3.4.008	Leave Records		FE	3							
5621.24	3.4.008	Sick Leave Pool Records		FE	3							
5621.25	3.4	Extended Sick Leave Records		FE	3							
5621.26	1.2	Star Award Nomination Files		FE	1							
5621.27	5.4.001	Workers Compensation Claim and Tort Claim Files		CE	5					The Texas Department of Insurance retains copies of the reports submitted to it for 50 years. VITAL	29 CFR 1904.33.	

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					Years	Months	Days					
5621.28	3.1.029	Employment Eligibility, Documentation or Verification of Federal reporting form (INS I-9).	Employment verification documents including form INS I-9.	AC	3			AC = Termination of employment		CAUTION: Federal regulation requires that INS I-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).	C
CIVIL RIGHTS												
5628.01	1.1.002	Policy Review - Audits	External and Internal Audits and reviews by CRD on external entities, on CRD by others.	AC	7			AC = Release of final audit findings.		The record copy of any audit performed by the SAO, permanently retained at CRD.	Pursuant to Chapter 21, TX Labor Code.	
5628.02	1.1.008	Correspondence - General			2					Civil Rights Division		
5628.03	4.2.003	Daily Cash Receipts Logs		FE	3							C
5628.04	5.1.001	Agency Statutory Agreements		FE	4							
5628.05		Non-Jurisdictional Tendered Documents			2					NOTE: Retain longer if it still has Administrative Value.		S
5628.06	1.1.006	Individual Complaint Case Files - Housing		AC+FE	3			AC = Final disposition of complaint + Fiscal Year End.		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.	Pursuant to Chapter 21, TX Labor Code	
5628.07	1.1.006	Individual Complaint Case File -Employment		AC+FE	3			AC = Final disposition of complaint + Fiscal Year End.		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.	Pursuant to Chapter 21, TX Labor Code	

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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AV – Administratively valuable	FE – Fiscal year end	PM – Permanent				N – New
						C – Changed
						O – Obsolete

STATE OF TEXAS
Records Retention Schedule

1. Agency Code: 320		2. Agency Name: Texas Workforce Commission										
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9.	10. Archival	11. Remarks	12. Legal Citations	13. N, C, S, O
					Years	Months	Days					
5628.08	1.1.006	FEOC Form 212 Deferrals		AC	2			AC = Final disposition of the complaint.		NOTE: Retain longer if it still has Administrative Value.		S
5628.09	1.1.006	Policy Reviews of State Agencies and Institutions of Higher Education		FE	5					All Audit Requirements will be met.		C
5628.10	1.1.075	Employment and Housing Cases with Settlements/Conciliations		AC	4			AC = After Closed + Fiscal Year End of the settlement / conciliation is closed.			Texas Civil Practice and Remedies Code, Chapter 154.071.	N

CONSTRUCTION AND FACILITIES MANAGEMENT

Retention Codes (Field 7)				Archival Codes (Field 10)			Code (Field 13)
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STATE OF TEXAS
Records Retention Schedule

1. Agency Code: 320		2. Agency Name: Texas Workforce Commission										
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9.	10. Archival	11. Remarks	12. Legal Citations	13. N, C, S, O
					Years	Months	Days					
5631.01	5.2	Asbestos Containing Materials (ACM) Records, Operations and Maintenance Manual and Related Documents	This includes semiannual inspections in ambient air testing reports, asbestos abatement records.		30					VITAL	29 CFR 1910, 29 CFR 1926, 1101, Texas Department Of State Health Services, Texas Asbestos Health Protection Rules 295.62, Recordkeeping.	
5631.02	5.2.002	Building Construction Project Files	Agency owned building plans, specifications and construction project files. Includes architectural and engineering drawings and blueprints (for buildings vacated).	AC	10			AC = Date buildings are vacated.	R	All files, plans and information for the building (except original asbestos files) become part of these records are transferred to the Infrastructure Planning & Budget Department once buildings are vacated. A courtesy copy of the asbestos information is included with information sent on the building. See 5.2.003 VITAL		
5631.03	5.2.002	Building Construction Project Files - Capital Projects \$25K and more	Planning, design and construction records, progress reports and project correspondence. (This does not include roof replacements, HVAC replacements, structural reports and projects, asbestos projects).	AC	10			AC = Completion of Project.	R			

Retention Codes (Field 7)				Archival Codes (Field 10)			Code (Field 13)
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					Years	Months	Days					
5631.04	3.1.035	Performance Bonds		AC	4			AC = Date Contract is accepted and complete.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.003 and 5.2.002. NOTE(a): Expiration or termination of the instrument according to its terms or decision not to proceed with the bid. NOTE: Associated with a contract executed, renewed, or amended ON or BEFORE August 31, 2015.	Government Code, 441.1855	
5631.05	3.1.035	Performance Bonds		AC	7			AC = Date Contract is accepted and complete.		CAUTION: Does not include construction or architectural surety bonds. SEE item number 5.2.003 and 5.2.002. Expiration or termination of the instrument according to its terms or decision not to proceed with the bid. NOTE: Associated with a contract executed, renewed, or amended ON or AFTER September 1, 2015.	Government Code, 441.1855	
5631.06	5.2	Asbestos-Containing Materials (ACM) Records Operations and Maintenance	Manual and related Construction documents.		30					VITAL	29 CFR 1910, 29 CFR 1926, 1101 Texas Department Of Health, Texas Asbestos Health Protection Rules 295.62, Recordkeeping.	

Retention Codes (Field 7)

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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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Code (Field 13)

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STATE OF TEXAS
Records Retention Schedule

1. Agency Code: 320			2. Agency Name: Texas Workforce Commission									
3. Agency Item No.	4. Record Series Item No.	5. Record Series Title	6. Description	7. Ret. Code	8. Retention Period			9.	10. Archival	11. Remarks	12. Legal Citations	13. N, C, S, O
					Years	Months	Days					
5631.07	5.2.003	Agency Owned Building Plans and Specifications	Includes architectural and engineering drawings, profiles, and blueprints of occupied buildings.	LA	1				R	LEASED Bldg: Retain for 2 yrs after termination or cancellation of lease. See Also 5.2.002. VITAL		
PROCUREMENT SERVICES												
5636.01	5.1.013	Insurance Policies		AC	4			AC = Expiration or termination of the policy according to its terms.			Government Code, 441.1855	
5636.02	5.6.005	TWC Owned Motor Vehicle Records - Mileage Use Reports; fuel receipts.		FE	3					Paper and Electronic.		
5636.03	5.6.003	TWC Owned Motor Vehicle Records - Inspection Repair and Maintenance Records		LA	1					Paper and Electronic.		
5636.04	5.3.007	Purchase Requisitions and Invitation to Bid - Commodity Codes and Prices		FE	3							
5636.05	5.3.007	Purchase Requisitions and Invitations to Bid - High Tech	Includes bid requisition/ authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/ evaluations.	AC	7			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		NOTE: Associated with a contract executed, renewed, or amended ON or AFTER September 1, 2015.		N
5636.06	5.3.007	Purchase Requisitions and Invitations to Bid - High Tech	Includes bid requisition/ authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/ evaluations.	AC	4			AC = Expiration or termination of the instrument according to its terms or decision not to proceed with the bid.		NOTE: Associated with a contract executed, renewed, or amended ON or BEFORE August 31, 2015.		C

Retention Codes (Field 7)				Archival Codes (Field 10)		Code (Field 13)
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Records Retention Schedule

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					Years	Months	Days					
5636.07	5.3.007	Purchase Requisitions and Invitations to Bid - High Tech	Includes bid requisition/ authorizations, invitations to bid or propose, bid specifications, successful and unsuccessful bids, and bid tabulation/ evaluations.	AC	2			AC = Date of notification of denial or date withdrawal, as applicable.		NOTE: 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.).		N
COMMUNICATIONS												
5640.01	1.1.019	News or Press Releases			2				R			
5640.02	1.1.019	TWC Media regarding unemployment in Texas and Public Service Announcements (PSA)			2				R	Paper and Electronic.		

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STATE OF TEXAS Records Retention Schedule

1. Agency Code: 320		2. Agency Name: Texas Workforce Commission										
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	13. N, C, S, O
					Years	Months	Days					
5640.03	1.3.001	Official Publications - Record Copy	One copy of each state publication as defined in this schedule, except a publication that is subject to a different retention period in this schedule. For example, a meeting agenda (see item number 1.1.058) also meets the definition, but it must be retained permanently; item 1.1.068, and 4.5.003, which also meet the definition, are closely associated with the appropriations process and must be retained AC+6.	AC	2			AC = Until superseded or obsolete.	A	<p>CAUTION: Many state publications must be submitted to the Texas State Publication Depository Program, Texas State Library and Archives Commission, by law (Government Code 441.101-441.106). The Texas State Library and Archives Commission will retain a copy of all state publications submitted to it on a continuing basis, subject to periodic evaluation to determine if the publication merits further retention.</p> <p>For additional information and requirements concerning state publications made available to the public through the Internet, consult the administrative rules of the Texas State Publications, Depository Program of the Texas State Library and Archives Commission (S13 TAC 3.1-3.16).</p>		N

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STATE OF TEXAS Records Retention Schedule

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WAREHOUSE OPERATIONS

5641.01	4.7.004	Capital Asset Records		LA	3							
5641.02	4.7.009	Fixed Asset Sequential Number Log		US	3							
5641.03	5.2	State Property - Loan of		US								
5641.04	5.2.009	Equipment Inventory Detail Report	Pass documentation. Includes inventory entry sheets.	FE	3							
5641.05	5.2.015	Notice of Equipment Removed from Inventory		FE	3							
5641.06	5.2.016	Property Transaction - Inventory System Update Listing	Shows all additional, changes, deletions, and transfer times for the monthly processing period.	AC				AC = Transfer of information into annual listing.			34 CFR 80.42	
5641.07	5.2.021	Surplus Property Sale Reports		FE	3					All audit requirements are met prior to final disposition.	34 CFR 80.42	
5641.08	5.2.009	Property Record Change Notice and Receipt		FE	3							
5641.09	5.2.014	Annual Property/Supply Inventory Records	Property, equipment, supply verification.	FE	3					Paper and Electronic.		
5641.10	1.2.004	Forms Directory and Supply Catalog		US						Paper and Electronic.		
5641.11	5.2.017	Lost & Stolen Property Reports		FE	3							
5641.12	5.2.023	Year-To-Date Activity - Inventory Listing		FE	3					Paper and Electronic.		
5641.13	5.6.007	Vehicle Titles & Registrations		LA								

RISK AND SECURITY MANAGEMENT

5643.01	1.1.070	Security Guard Procedures	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	Paper and Electronic. SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071.		C
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					Years	Months	Days					
5643.02	5.4	Security Records	Security guard reports and related documents.		3							C
5643.03	5.4.012	Security Access Records	Records relating to the issuance of keys, identification cards, building passes, passwords, signed statements or similar instruments of access to agency or state facilities, equipment or automated systems.	AC	2			AC = Until superseded, date of expiration, or date of termination, whichever sooner.				C
5643.04	5.4.011	Visitor Control Registers	Logs, registers, or similar records documenting visitors to limited access or restricted areas of agency facilities.		5					NOTE: IRS Publication 1075 (9.3.11.7)		C
5643.05	5.4.003	Inspection Records	Fire, safety, and other inspection records of agency facilities and equipment.	AC	3			AC = Inspection, or date of correction of the deficiency (if the inspection report reveals a deficiency).		CAUTION: Does not include inspection reports of building construction. SEE also item number 5.2.002 and 5.2.003.		C
5643.06	5.4.007	Hazardous Materials Training Records	Records of training given to TWC employees in hazard communications program. Includes NEO Employee Safety Orientation.		5						Texas Health and Safety Code, 502.009(g).	C
5643.07	5.4.008	Hazard Communication Plans		US	5						Texas Health and Safety Code, 502.009(g).	C
5643.08	5.4.009	Workplace Chemical Lists			30						Texas Health and Safety Code, 502.005(d).	C
5643.09	5.4.010	Safety Data Sheets		AC				AC = After sheets are updated or hazardous chemicals no longer stored by agency, as applicable.				C

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5643.10	5.4.002	Evacuation Plans	Plans for evacuation of agency facilities in cases of emergency.	US								C
5643.11	5.4.004	Fire Orders	Orders issued by Fire Marshal to correct deficiencies in compliance with the fire code.	AC	3			AC = Deficiency corrected.				C
5643.12	5.4.013	Continuity of Operations Planning (Business Continuity)		US								C
5643.13	3.3.030	Training Administration Records	Instructional materials and other records associated with in-house training of agency personnel on personnel policies and procedures that govern an agency's programs, services, or projects.	US	2					CAUTION: Does not include hazardous material training records. SEE item number 5.4.007.		N
5643.14	1.1.067	Reports/Studies (Non-Fiscal)	Includes ad hoc reports.		3				R			N
5643.15	1.1.069	Reports - Activity			1							N
5643.16	2.1.011	Indexes and Tracking Systems		AC				AC = The related records have been destroyed.		CAUTION: These records must carry the same retention period and archival code of the records they support.		N
5643.17	5.4.013	Homeland Security Implementation and Emergency Management Plans	These plans provide overview of agency Homeland Security and Emergency Management strategy, processes and guidelines.	US								
5643.18	1.1	Security Incident Report			3					VRS 1741.		

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5643.19	5.4	Surveillance Video	Security camera video	AV						In the case of an investigation, video could become supporting document of another record series		N

DOCUMENT SERVICES

5644.01	1.2.005	Agency Records Retention Schedule	Agency copy. Formerly RMD 105. Includes documentation of certification and approval - forms SLR 105C (formerly RMD 105C), and/or other forms designated by the State Records Administrator.	US						Paper and Electronic. Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
5644.02	1.2.001	Destruction Sign-Offs	Agency level documents authorizing destruction of records under a certified record retention schedule listing "records" destroyed - documents, dates, method of destruction and person authorized.	FE	3							
5644.03	1.2.006	Records Transmittal Forms	Agency Copy (includes RMD101, TX-R-5, 306-58-1, and Agency Storage Forms). Forms indicate records transferred to storage or a transfer of legal custody.	AC	2				AC = Date of authorization for destruction, permanent transfer from storage, or transfer to the Archives and Information Services Division, Texas State Library and Archives Commission, by the agency records management officer.			
5644.04	1.2.008	Request for Authority to Dispose of State Records (RMD 102)	Agency copy.	FE	3					Original is retained by the State and Local Records Management Division, Texas State Library and Archives Commission.		
5644.05	1.2.011	Record Center Storage Approval Forms (RMD 106)	Agency copy.	US								

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5644.06	1.2.014	Records Management Plans	Records management plans and similar records that establish the policies and procedures under which records and information are managed in an agency.	US	1							
5644.07	1.2.015	Disaster Recovery Service Transmittals (RMD 109)	Also includes documentation for disaster recovery services provided by other entities.	FE	1							
5644.08	1.2.010	Records Disposition Logs	Logs or similar records listing records destroyed or transferred to the Archives and Information Services Division, Texas State Library and Archives Commission, showing records series title, dates of records, and date destroyed or transferred.		20							
5644.09	5.1.015	Correspondence Tracking Records	Any record created detailing the incoming and outgoing of files and/or boxes; Delivery/Pick-Up Confirmation Receipts.		1							
5644.10	1.2.003	Forms History File & Control Register		AC	1			AC = Discontinuance of use of form.				
5644.11	1.3.002	Publication Development Files	Includes background material, copy (drafts), original artwork, photo negatives, prints, flats, etc. This includes all work performed both inside and outside the agency.	US					R			
5644.12	1.2.003	Forms History File - Completed Cards		AC	1			AC = Discontinuance of use of form.		Paper and Electronic.		
5644.13	5.1.007	Copy/Printing Requisition (Y-85) and Log	Requisitions for In-Agency/Inter-Agency Copy/Printing Services.	AV								
5644.14	5.1	Outside TWC Print Contract Requests File		AC	2			AC = After closed.		Paper and Electronic.		
5644.15	5.1.005	Postage Meters Usage Report		FE	3							

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5644.16	5.1.003	Certified Mail Firm Delivery Receipt - Postal Services Form 3883-A.		2								

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5644.17	5.1	Firm Mailing Books - Postal Service Form 3877.		5								
5644.18	5.1.004	Mail Distribution Lists	Any mailing address, telephone or fax number, or e-mail address records maintained by an agency on its employees or on entities or persons it serves.	US								
5644.19	5.1.015	Manifest by Recipient-Certified and Express Mail Sent by TWC		1								
5644.20	5.1.012	Charge Schedules/Price Lists	Schedules of prices charged by an agency for services to the public or other agencies, including any documentation used to determine the charges	US	3							
5644.21	5.1.014	Office Procedures	Any internally distributed manual, guidelines, or similar records that establish standard office procedures for an agency; for example, agency style manuals, telephone protocols, mail room procedures, print shop and photocopy ordering instructions.	US	1							

VR FIELD SERVICES DELIVERY

6331.01	1.1	Consumer Records (VR, IL, CRS)	VR = Vocational Rehabilitation	AC+FE	7				AC = Until closed.	NOTE: Closed client records are maintained in the field office until the end of the fiscal year plus one year after they are closed (AC+FE+1), they are transferred to TWC Records Center for further Storage.		
6331.02	5.1.015	Bus Ticket Signature Logs			1							

ADULT EDUCATION AND LITERACY

Retention Codes (Field 7)			Archival Codes (Field 10)			Code (Field 13)
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STATE OF TEXAS

Records Retention Schedule

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					Years	Months	Days					
6333.01	4.7.008	Grant Files - Federal Grant Administration Files		AC	3			AC = After closed.				
6333.02	1.1.043	Training Materials - (Developed by HCDE)		US	1							
6333.03	1.1.002	Audits		AC	7			AC=Publication or release of final audit findings. The State Auditor's Office retains any copies of the audits performed on Texas state agencies.				
6333.04	1.1.002	Monitoring and Sanction Documentation		AC	7			AC=Publication or release of final audit findings. The State Auditor's Office retains any copies of the audits performed on Texas state agencies.				
DEPUTY FOR WORKFORCE PROGRAMS												
6630.01	1.1	Local Workforce Development Area Assistance Correspondence Files		AC	3			AC = Date of last transaction.				

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6630.02	1.1.026	Texas Register Rules	Correspondence and Forms relating to TWC Rules posted in accordance with the Administrative Procedures and Texas Register Act.	AC	1			AC = Date published in Texas Register.		Paper and Electronic.		
WORKFORCE TECHNICAL ASSISTANCE & CHILD CARE												
6634.01	1.1	Child Care Program Materials		FE	3					NOTE: Retain longer if it still has an Administrative Value. FE = following final report.		
DIRECTOR OF WORKFORCE DEVELOPMENT												
6640.01	1.1.065	Data Integrity Board Requests		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.		
OPERATIONAL INSIGHT												
6643.01	1.1.064	Monthly Performance Reports			15					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. Data Sets - Electronic. Reports - Paper and Electronic.		

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					Years	Months	Days					
6643.02	1.3	Performance Measurement Documentation		AC	15				A	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. VITAL Data Sets - Electronic. Reports - Paper and Electronic.		
6643.03	1.1.055	TWC Strategic Plan (PAR Portions)		AC	6		AC = September 1 of odd-numbered calendar years.	A		The archival requirement is met by sending the required copies of the plans to the Texas State Publication Depository Program of the Texas State Library and Archives Commission.		

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6643.04	1.1.068	Monthly Legislative Report (MLR)		AC	6			AC = September 1 of odd numbered calendar years.		Paper and Electronic.		
6643.05	1.1.024	Texas Workforce Investment Council Annual Report (TWC Portion)		AC	3			AC = Decision made to implement or not to implement result of planning process.	R			
6643.06	1.1.068	Automated Budget and Evaluation System of Texas (ABEST) Reporting (includes PAR's portion of Legislative and Operating Budgets)		AC	6			AC = September 1 of odd-numbered calendar years.		VITAL		
6643.07	1.3	Federal Reports			15				R	Paper and Electronic.		

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6643.08	1.3	Statistical Modeling			15				R	Paper and Electronic.		
ELIGIBLE TRAINING PROVIDER												
6647.01	1.1	Training Provider Applications				6				Paper records. NOTE: Effective 01/01/05 all records will be imaged and kept electronically.		
SERVICES FOR DISLOCATED WORKER												
6649.01	1.1	Trade Adjustment Assistance; Trade Readjustment Assistance (TRA) Correspondence	Includes Closeouts - Completed training, Withdrawals and Denials - letters which affect appeals, Job Search/Job Relocation - approvals of costs for moving or doing out-of-area job search, and Waivers from training which affect benefits.	AC	3			AC = Date of last transaction.				
6649.02	1.1	Trade Adjustment Assistance Petitions Files		PM						Permanent per US Department of Labor mandate related to Trade. VITAL NOTE: Paper retained for 6 months then microfilmed.		
6649.03	1.1	Trade Adjustment Assistance Reports		PM						Permanent Per US Department of Labor mandate related to Trade. VITAL Electronic and CD.		
6649.04	1.1	Trade Adjustment Assistance-3 Form		AC	3			AC = After closed				
6649.05	1.1	Trade Adjustment Assistance Billing System		AC	3			AC = After closed.				
WORKFORCE PROGRAM POLICY AND SERVICES												

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					Years	Months	Days					
6652.01	1.1	Eco. Dislocated Worker Adjustment & Assistance Correspondence Files		AC	3			AC = Date of last transaction.				
6652.02	1.1	Workforce Development Board Plans		US	8					VITAL		
6652.03	1.3.001	Publications - Child Care		US	5					Copies sent to the Texas State Library Depository Program.		
6652.04	1.3.001	Texas Child Care Magazine		US	5					Copies sent to the Texas State Library Depository Program.		
6653.05	5.1.001	Child Care Contracts		AC	4			AC=Termination of Instrument.				
6653.06	1.3.001	Publications - Work & Family Clearinghouse		US	5					Copies sent to the Texas State Library Depository Program.		
6655.07	5.1.001	Work & Family Contracts		AC	4			AC = Contract termination date.				
6656.08	1.1.066	Legislative Budget Board Reports		AC	6			AC = September 1 of odd numbered years.	A	Copies sent to TSL Depository Program.		
6652.09	1.1002	State & Federal Audit Reports		AC	7			AC = Publication or release of final audit.	R			
6652.10	1.1.002	State & Federal Review Reports		AC	7			AC = Publication or release of final audit.				
6652.11	1.1.002	State Program Plans		AC	7			AC = Program period ending date.				
6652.12	4.7.008	Federal Grant Approval Letters		AC	3			AC = Satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to Federal, State and Local Governments.				
6652.13	1.1	Data sets - Budget and Payment Application			3					NOTE: Retain longer if it still has an Administrative Value.		

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6652.14	1.1	Data sets - Child Care Services Delivery Centralized Data			3					NOTE: Retain longer if it still has an Administrative Value.		
6652.15	1.1	Data sets - TWC Data Warehouse			3					NOTE: Retain longer if it still has an Administrative Value.		
6652.16	1.1	Child Care Error Rate		AC	5			AC = Date of final/last submission.		Records Retention - Records pertinent to the case reviews and submission of error rate reports shall be retained for a period of five years from the date of submission of the applicable error rate report or, if the error rate report was revised, from the date of submission of the revision. Records must be made available to Federal staff upon request.		
6652.17	1.1.070	Food Stamp Program Handbook	Manuals, guidelines, administrative rules, or similar records distributed internally for the use of employees or externally to the public or those individuals or entities regulated by an agency that sets out the rules, policies, and procedures that govern an agency's programs, services, or projects.	AC	3			AC = Until superseded or completion or termination of program, rules, policies, or procedures.	R	SEE ALSO Agency Rules, Policies and Procedures - Working Files, 1.1.071 VITAL		

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6652.18	1.1.007	Food Stamp Program Correspondence			4				E	E = Archival Exemption CAUTION: This records series and item number 1.1.008 should be used only for correspondence that is not included in or directly related to another records series in this schedule. For example, a memorandum that documents an appropriations request must be retained for the minimum retention period prescribed by item number 1.1.004; a letter concerning an audit for that prescribed by item number 1.1.002, etc. SEE ALSO item number 1.1.011.		
6652.19	1.1.067	Food Stamp Program Reports			3				E	E = Archival Exemption		
WORKFORCE CONTRACTS OPERATIONS												
6659.01	1.1	Work Opportunity Tax Credit (WOTC) Correspondence Files		AC	5			AC = After closed.		VITAL	DOL TEGL 10-12	
6659.02	1.1	Agricultural Clearance Orders - Other state referrals of groups		FE	3							
6659.03	1.1	Targeted Jobs Tax Credit (TJTC) - COOP Education Eligibility Determinations			10							
6659.04	1.1.048	Alien Certification - Litigation Files		AC	10			AC = Date of last transaction.	R			
6659.05	1.1	Alien Certification - Applications for Employment		AC	3			AC = Date of application.				
6659.06	1.1	Foreign Labor Certification - Application for Employment			2					Paper records are retained after scanned for up to two years then destroyed.		

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WORKFORCE AND BOARD SUPPORT												
6662.01	4.7.010	Federal Bonding Program Correspondence and Bond Register		AC	3			AC = Retirement of debt.				
6662.02	5.1.004	Local Workforce Development Board Directory		US								
6662.03	1.1	Workforce Customer Support Correspondence			1							
6662.04	1.1.008	Dissemination Notifications	Disseminate information to assist boards in their operations. Includes ongoing grant notices, grant awards in Texas, proposed Federal Rules, upcoming conferences, and other updates to policy and/or program information.		2					Paper and Electronic.		
6662.05	1.1	Work Opportunity Tax Credit (WOTC) Master File		AV					R			
CAREER SCHOOLS AND COLLEGES												
6668.01	1.1	Career Schools and Colleges Files		AC	3			AC = Date of last transaction.				
6668.02	3.1.014	Career Schools and Colleges Job Applicant Interview Files	Includes notes of interviews with candidates, questions asked of applicants, audio and videotapes of job interviews, driving record and previous injury checks, pre-employment physical examinations, pre-employment drug screening test results, polygraph examination results; and all other records that document the selection process.		3					29 CFR 1602.31 CAUTION: Does not include criminal history checks. SEE item number 3.1.026.		
6668.03	5.1.015	Career Schools and Colleges MSRL			1							
6668.04	1.1	Career Schools and Colleges Complaint Files		AC	2			AC = Date of completion.				

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6668.05	1.1	Career Schools and Colleges Instructor Files		FE	3							
6668.06	1.1	Career Schools and Colleges School Financial Documentation	Includes S&T files and financial statement files.	FE	3							
6668.07	1.1	PECOS - Career Schools Database	Current and historical data on schools.	PM								
6668.08	5.1.001	Career Schools and Colleges Teach Out Contracts for Closing Schools		AC	4			AC = After closed.				
WORKFORCE EDITING												
6671.01	1.1	Workforce Development Letters		US								
WORKFORCE BUSINESS SERVICES												
6677.01	1.1	All Grant/Contract Documentation for SDF/SSF Proposal Documents and Correspondence		AC	4			AC = Date of last transaction.				
6677.02	1.1	SDF/SSF Proposal Documents for non-awarded		AC	3			AC = Date of last transaction.				

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