

November 12, 2020



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

Dear Mr. Michael Shea,

Amendment 3 of the 5th recertification of your agency's records retention schedule is approved for use as of **10/30/2020** and may be accessed on our website at <https://www.tsl.texas.gov/slrms/state/schedules>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state 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 black ink, appearing to read "C. Kelso".

Craig Kelso
Director and State Records Administrator

cc: Agency head

Lorenzo de Zavala
State Archives and
Library Building

1201 Brazos Street
Austin, Texas
78701

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

www.tsl.texas.gov

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Assistant State Librarian
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TSLAC

*Preserving yesterday
Informing today
Inspiring tomorrow*



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

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

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 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 Michael Shea

Name (Print or type) Michael Shea

Date May 6, 2020

Section 2. Approvals

(Submitting agencies do not write in this section)

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

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

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

Signature Gloria Meraz
Name (Print or type) Gloria Meraz
Date 10/30/2020

Cert/Recert No. 5 Amendment No. 3

CAUTION

A state record with an expired retention period 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 with a retention period that 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.

Amendment Note: If this schedule is amended at any point after certification, updated records series will be indicated by an asterisk (*) preceding the Agency Item Number (AIN).

State and Local Records Management Division
Texas State Library and Archives Commission
(Rev. 7/20)





STATE OF TEXAS
Records Retention Schedule

SLR 105
 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 |
| | | | | | Years | Months | Days | | | | |
| 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) |



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| 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. |



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| *0000.10 | 1.1.057 | Transitory Information | <p>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.</p> <p>Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Some examples of transitory information, which can be in any medium, (voicemail, 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 communications, but not for the documentation of specific agency transaction.</p> | AC | | | | AC = Purpose of record has been prefilled. | | <p>CAUTION: Records management officers should use caution in assigning this record series item number to records of an agency to make certain they are not part of another 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.</p> <p>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</p> | |
| *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 | | | | | | |



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| *0000.12 | 5..1 | Mailing Correspondence Tracking Documentation. | Mailing list for address change notices and similar source documentation. Also included mail returned by the postal or other mail serves as undeliverable. | | 1 | | | | | | |
| 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 | | | | | | |
| *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 | |
| *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. | |



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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 | |
| 0000.19 | 1.1.074 | Sunset Review Report and Documentation | | AC | 4 | | | AC = After the subsequent Sunset Review. | R | | |
| 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 | 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. | | | Government Code, Section 551.104(a) |
| *0000.22 | 1.1.101 | Directives | Any document that officially initiates, rescinds, or amends general office procedures. | US | 1 | | | | | | |
| *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 | | |



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| 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 | | |
| 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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| | | | | | Years | Months | Days | | | | |
| 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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| | | | | | Years | Months | Days | | | | |
| *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 | <p>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.</p> <p>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</p> | |



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| | | | | | Years | Months | Days | | | | |
| *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. | | | |
| 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 | | | | | | | |
| 0000.38 | 5.5.004 | VR - Call Detail Records | | FE | 2 | | | | | | |
| 0000.39 | 2.1 | VR -Statistical Data | | AV | | | | | | | |



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| | | | | | Years | Months | Days | | | | |
| 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 | | | | | | |



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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. | |
| 0000.48 | 1.1.021 | Public Information Requests Non- | Includes all correspondence and documentation relat | AC | 2 | | | AC=Date of Notification that records are exempted | | | |
| 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 | | |
| *0000.50 | 5.1.003 | Delivery Reports | | | 2 | | | | | | |
| *'0000.51 | 4.7.010 | Federal Bonding Program Correspondence and Bond Register | | AC | 3 | | | AC = Retirement of debt. | | | |



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| *0000.52 | 1.3.001 | Texas Workforce Commission Publications | Information in any format that is produced by the authority of or at the total or partial expense of a state agency or is required to be distributed under law by the agency, and is publicly distributed. | AC | 2 | | | AC = Until superseded or obsolete. | | 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. | |

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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A/I – Transfer to State/University Archivist
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| | | | | | Years | Months | Days | | | | |
| 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. | | | |
| 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. | |
| 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 | | |



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| 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 | | | | | | |



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| 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 | | | | | | | |
| 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 | |
| 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 | | |



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| 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. | |
| CRISS COLE REHABILITATION CENTER - (CCRC) | | | | | | | | | | | |
| 2801.02 | 1.1 | CCRC Electronic Files Database | Includes documents on SharePoint and Server 3. | AV | | | | | | | |
| 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 | |



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| 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. | | | |
| 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. | |



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| | | | | | Years | Months | Days | | | | |
| 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 |
| 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 | | | | | | |



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| | | | | | Years | Months | Days | | | | |
| 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 corrs. 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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| | | | | | Years | Months | Days | | | | |
| 5211.18 | 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 corrs. 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 |



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| | | | | | Years | Months | Days | | | | |
| 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 |
| 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 |



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| | | | | | Years | Months | Days | | | | |
| 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 | | | | | | |
| 2903.19 | 1.1.008 | General Correspondence | Monthly maintenance reimbursement documentation and letters to governmental agencies. | | 2 | | | | | | |



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| 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. | |
| 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. | |



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| | | | | | Years | Months | Days | | | | |
| 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 | | |



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| 5100.04 | 1.1.067 | Reports from Consultants and Committees | | | 3 | | | | R | | |
| 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 |



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Retention Codes (field 7)

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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 | | | | | | | | | |
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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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. | |
| 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 | |



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| | | | | | Years | Months | Days | | | | |
| 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. | |
| 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-suites and Dismissals. | PM | | | | | E | These are documents that are not available elsewhere. E=Archival Exemption | |



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| | | | | | Years | Months | Days | | | | |
| 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) |
| 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). |



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| | | | | | Years | Months | Days | | | | |
| 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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| | | | | | Years | Months | Days | | | | |
| 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 | | | | | | |
| *5102.2 | | Trust Fund Bond Refinancing | | PM | | | | | | | |

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. | | | |
|---------|-----|---|---|----|---|--|--|-------------------------------|--|--|--|

GRANT ADMINISTRATION



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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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 |
| 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 |
| 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. | | | |



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| | | | | | Years | Months | Days | | | | |
| CHIEF FINANCIAL OFFICER | | | | | | | | | | | |
| 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. | | | |
| 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) |



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| | | | | | Years | Months | Days | | | | |
| 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 | |
| 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) |



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| | | | | | Years | Months | Days | | | | |
| *5211.18 | 5.1.001 | Contract Closeouts-Documentation | All grant related contracts with pass-through funds to subrecipients executed, renewed, or amended on or before August 31, 2015. | AC | 4 | | | AC=Expiration or termination of the contract according to its terms. | | Government Code, 441.1855 | |
| *5211.18a | 5.1.001 | Contract Closeouts - Documentation | All grant related contracts with pass-through funds to subrecipients executed, renewed, or amended on or after September 1, 2015. | AC | 7 | | | AC = Expiration or termination of the contract according to its terms. | | | Government Code, 441.1855 |
| 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 | |
| 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 |
| 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 | |



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| 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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| 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. | |
| *5212.2 | | Social Security Administration (SSA) Reimbursement - Claims | | CE | 5 | | | | | Confidential & Vital | |
| RID - SUBRECIPIENT MONITORING | | | | | | | | | | | |
| 5213.01 | 1.1 | Monitoring Reports - All Titles | | AC | 8 | | | AC = After closed. | | | |



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| | | | | | Years | Months | Days | | | | |
| 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 | |
| 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



STATE OF TEXAS
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Retention Codes (field 7)

AC – See field 9 for specific records series definition
 AV – Administratively valuable
 CE – Calendar year end
 FE – Fiscal year end
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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 |
| | | | | | Years | Months | Days | | | | |
| 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 | |
| 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 | |
| 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 | |



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|---------------------|---------------------------|---|----------------|--------------|---------------------|--------|------|---|--------------|--|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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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| 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 |
| | | | | | 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 | |
| 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 | |



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| 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 |
| | | | | | Years | Months | Days | | | | |
| 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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Retention Codes (field 7)

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|---------------------|---------------------------|--|----------------|--------------|---------------------|--------|------|---|--------------|--|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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 | |



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| 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 |
| | | | | | Years | Months | Days | | | | |
| 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 | |
| 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 | |



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| 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 |
| | | | | | Years | Months | Days | | | | |
| 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 | |
| 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 | |



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|---------------------|---------------------------|--|----------------|--------------|---------------------|--------|------|---|--------------|--|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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| 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 |
| | | | | | Years | Months | Days | | | | |
| 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 | |



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| 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 |
| | | | | | Years | Months | Days | | | | |
| 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 | |
| 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 | |



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|---------------------|---------------------------|--|----------------|--------------|---------------------|--------|------|---|--------------|--|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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 | |
| 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 | |



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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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 | |



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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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 | |
| 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 | |



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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 |
| | | | | | Years | Months | Days | | | | |
| 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 | |
| 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 | |



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| 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 |
| | | | | | Years | Months | Days | | | | |
| 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 | |



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|---------------------|---------------------------|---|----------------|--------------|---------------------|--------|------|---|--------------|--|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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, 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 | |
| 5215.50 | 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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|--------------------------|---------------------------|--|---|--------------|---------------------|--------|------|--|--------------|---|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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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|--|---------------------------|---|--|--------------|---------------------|--------|------|--|--------------|---|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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 | |
| 5240.02 | 3.4.006 | Monthly Employee Timesheets – Time/Cost Sampling Reports (ADT) | | FE | 4 | | | | | Electronic only. VITAL | 40 TAC 815.106(i) |



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|---------------------|---------------------------|---|--|--------------|---------------------|--------|------|---|--------------|--|---------------------|
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| | | | | | Years | Months | Days | | | | |
| 5240.03 | 5.1.005 | Postage Expense and Usage Reports | Records and reports of postage expenses, including postal meter usage. | FE | 3 | | | | | Electronic only. | |
| 5240.04 | 4.5.002 | Management Internal Reports | | FE | 3 | | | | | | |
| 5240.05 | 4.6.002 | Reconciliations | | FE | 3 | | | | | | |
| 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. | | | |
| 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. | |



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|---|---------------------------|--|---|--------------|---------------------|--------|------|--|--------------|--|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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 | | |
| 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 | |
| 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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|-------------------------------------|---------------------------|---|--|--------------|---------------------|--------|------|--|--------------|---|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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 | |



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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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. |
| 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. | |



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|---------------------|---------------------------|---|--|--------------|---------------------|--------|------|--|--------------|---|---------------------|
| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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 | | | | | | |
| 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. | |



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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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) | Report collects employment and wages by individual work location in Texas. MWR submitted quarterly. | | | 1 | 6 | | R | Contains confidential information. | |



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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 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) | | | 5 | | | | E | Archival code "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



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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| *5379.01 | | State Office Maintenance and Custodial Records | | AV | | | | | | 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. | |
| *5320.14 | 5.1.004 | TWC Address and Telephone Listings (Y-9) | | US | | | | | | | |
| 5381.05 | 5.1.004 | Local Office Directory | | US | | | | | | Paper and Electronic. | |
| *5320.15 | 5.5.001 | Long Distance Telephone Charge Reports | | FE | 3 | | | | | Maintained electronically. | |
| 85320.16 | 5.5.001 | Long Distance Telephone Charge Data | For internal documentation purposes | FE | 3 | | | | | | |
| 5379.01 | | State Office Maintenance and Custodial Records | | AV | | | | | | Vital | |
| *5379.02 | 5.1.001 | Interagency Contracts (IAC) | | AC | 4 | | | AC = Expiration or termination of instrument according to its terms. | | VITAL | |

INFRASTRUCTURE PLANNING AND BUDGET

| | | | | | | | | | | | |
|---------|---------|---|---|----|---|--|--|------------------------------------|---|-----------------------|--|
| 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. | |
| 5631.09 | | Facility Master Plan | | AC | 3 | | | AC = Decision to implement or not. | R | | |
| 5631.10 | | Resource Efficiency Plan | | AC | 3 | | | AC = Decision to implement or not. | R | Pap | |



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| | | | | | Years | Months | Days | | | | |
| *5381.11 | 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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| 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 | |
| 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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| 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 | |



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| 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 | |
| 5411.22 | 1.1 | Chargeback Master File | | | 5 | 3 | | | | | |
| 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 | | | | | | |
| 5411.29 | 1.1.024 | Program Management Review - UI Budget Plans | | FE | 3 | | | | R | | |



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| 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 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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| 5411.33 | 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 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 | |
| 5411.34 | 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 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 | |
| 5411.35 | 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 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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| 5411.36 | 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 | |



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| 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 | |
| 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 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 | |
| 5411.41 | 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 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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| 5411.42 | 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 | |



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| 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 | |
| 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 | |



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| 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. | |
| 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 | |



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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| 5411.61 | 1.1 | Quality-Control Case Files – Non-Texas Investigation Cases | | AC | | 6 | | AC = Date of last transaction. | | | |
| 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 | | |
| 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. | | | |



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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. | |
| 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. | |



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| | | | | | Years | Months | Days | | | | |
| 5440.05 | 1.1.067 | Monthly Status Reports | Concerning appeals activity and production data, time lapse – MA-5's. | | 3 | | | | R | | |
| 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. | |
| 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. | |
| 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 | |



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| | | | | | Years | Months | Days | | | | |
| 5460.06 | 1.1 | Appeals Master Files | Appeals Department Data. | AC | | 6 | | AC = After Closed. | E | | |
| 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 | | Rule 13 Tax Hearing Decisions | | AC | 50 | | | AC = After decision is mailed | | | |
| *5470.03 | | Rule 13 Tax Liability (Digital Recordings) | | AC | 5 | | | AC = After decision is final. | | | |
| *5470.04 | | Summary Hearing Data | | AC | | 6 | | AC = After ompletion of hearing. | | | |
| *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. | |

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. | |



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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 | |



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| | | | | | Years | Months | Days | | | | |
| 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 | |
| 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 | |
| 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 | |



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



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| | | | | | Years | Months | Days | | | | |
| 5500.18 | 1.1 | QETP - Questionable Employment Tax Practices | | AV | | | | | | | |
| 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. | |
| *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. | |
| 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. | |
| 5603.03 | 4.4 | Tax Liens, Benefits Assessments and Judgements (Paper) | | AV | | | | | | Paper retained for no more than two years after scanned. | |
| RID - BENEFIT OP COLLECTIONS | | | | | | | | | | | |



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| | | | | | Years | Months | Days | | | | |
| 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 |

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 | |
| 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 | |
| 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 | |
| 5621.04 | 3.3 | Wellness Program Information and Resource Documents | | AV | | | | | | | |



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| 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 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 | State Archives will be contacted prior to transfer regarding confidential information. VITAL | |
| 5621.10 | 1.1.023 | TWC Departmental Organization Charts | | US | | | | | A | | |
| 5621.11 | 3.3.026 | EEO Staffing Profile | | US | 3 | | | | | | |



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| | | | | | Years | Months | Days | | | | |
| 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 | |
| 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. | |



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A/I – Transfer to State/University Archivist
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| 3. Agency Item No. | 4. Record Series Item No. | 5. Record Series Title | 6. Description | 7. Ret. Code | 8. Retention Period | | | 9. AC Definition | 10. Archival | 11. Remarks | 12. Legal Citations |
| | | | | | Years | Months | Days | | | | |
| *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) |
| 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 | | |
| 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 | | | | | | |



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| | | | | | Years | Months | Days | | | | |
| 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. |
| 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 1-9 forms be retained for 3 years from date of hire or 1 year after separation of the employee, whichever later. Agencies should make certain that the INS I-9 forms for employees who terminate from an agency less than 3 years from date of hire are kept for the 3 year retention period. | 8 CFR 274a.2(b)(2)(i)(A) and (c)(2). |
| *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. | | | |
| 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 | | | | | | |
| 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. | |



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| | | | | | Years | Months | Days | | | | |
| 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 |
| 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. | |
| 5628.09 | 1.1.006 | Policy Reviews of State Agencies and Institutions of Higher Education | | FE | 5 | | | | | All Audit Requirements will be met. | |
| 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. |
| CONSTRUCTION AND FACILITIES MANAGEMENT | | | | | | | | | | | |
| 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. |



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| | | | | | Years | Months | Days | | | | |
| 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 | | |



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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 |



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| | | | | | Years | Months | Days | | | | |
| 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. |
| *5631.07 | 5.2.003 | Building Plans and Specifications (State Owned) | Includes architectural and engineering drawings, profiles, and blueprints of occupied buildings. | LA | 1 | | | | R | | |
| *5631.08 | 5.2.003 | Building Plans and Specifications (Leased) | Includes architectural and engineering drawings, profiles, and blueprints of occupied buildings. | AC | 2 | | | AC = Termination or cancellation of Lease. | | | |
| *5631.09 | | Facility Master Plan | | AC | 3 | | | AC = Decision to implement or not. | R | | |
| *5631.10 | | Resource Efficiency Plan | | AC | 3 | | | AC = Decision to implement or not. | R | | |
| 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. | |



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| | | | | | Years | Months | Days | | | | |
| 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. | |
| 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. | |
| 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.). | |
| *5637.01 | | Community Rehabilitation Program (CRP) Certification Applications | Every three years CRPs are required to submit an application to participate in the State Use Program. | | 6 | | | | | Only two verification cycles for each application will be retained in an electronic format. (Each cycle is three years) Re-certification application will be disposed of after six years. May have confidential information. | Human Resources Code 122 |



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| | | | | | Years | Months | Days | | | | |
| *5637.02 | | Advisory Committee Members Documentation | Documents include members applications, appointments/training certifications, and resumes. | AC | 4 | | | AC = Expiration date of a member's term. | | | |
| 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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| | | | | | 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 | 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. 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). | |

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 | | | | | | | |



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| | | | | | Years | Months | Days | | | | |
| 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



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| | | | | | Years | Months | Days | | | | |
| 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. | |
| 5643.02 | 5.4 | Security Records | Security guard reports and related documents. | | 3 | | | | | | |
| 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. | | | |
| 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) | |
| 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. | |
| 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). |
| 5643.07 | 5.4.008 | Hazard Communication Plans | | US | 5 | | | | | | Texas Health and Safety Code, 502.009(g). |



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| | | | | | Years | Months | Days | | | | |
| 5643.08 | 5.4.009 | Workplace Chemical Lists | | | 30 | | | | | | Texas Health and Safety Code, 502.005(d). |
| 5643.09 | 5.4.010 | Safety Data Sheets | | AC | | | | AC = After sheets are updated or hazardous chemicals no longer stored by agency, as applicable. | | | |
| 5643.10 | 5.4.002 | Evacuation Plans | Plans for evacuation of agency facilities in cases of emergency. | US | | | | | | | |
| 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. | | | |
| 5643.12 | 5.4.013 | Continuity of Operations Planning (Business Continuity) | | US | | | | | | | |
| *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. | |
| 5643.14 | 1.1.067 | Reports/Studies (Non-Fiscal) | Includes ad hoc reports. | | 3 | | | | R | | |
| 5643.15 | 1.1.069 | Reports - Activity | | | 1 | | | | | | |
| 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. | |



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Archival Codes (Field 10)

A/I – Transfer to State/University Archivist
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| 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 |
| | | | | | Years | Months | Days | | | | |
| 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. | |
| 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 | |

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. | | | |



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| | | | | | Years | Months | Days | | | | |
| 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 | | | | | | | |
| 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. | | 10 | | | | | | |
| *5644.09 | 5.1.015 | Correspondence Tracking Records | Any record created by an agency to track any type of incoming and outgoing correspondence or packages by the U.S.Postal Service or by private couriers. | | 1 | | | | | | |
| 5644.10 | 1.2.003 | Forms History File & Control Register | | AC | 1 | | | AC = Discontinuance of use of form. | | | |



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



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| 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 | | Consumer Casr Files | Cases include Vocational Rehabilitation (VR) and Older Individuals who are Blind (OIB). | AC | 7 | | | | | After consumer cases are closed the records are kept in the field offices through the FE + 1 year then sent to the TWC Records Management Center for storage for 6 years. 20017 and current case files are scanned and stored in FileNet. Paper copies are destroyed after 60 days. | |
| 6331.02 | 5.1.015 | Bus Ticket Signature Logs | | | 1 | | | | | | |
| *6331.03 | | Opportunity to Register to Vote / Official Declaration of Registration Form | Form 1680 | | 2 | | | | | | |
| ADULT EDUCATION AND LITERACY | | | | | | | | | | | |
| *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 | | | | | | |



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| | | | | | Years | Months | Days | | | | |
| 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. | | | |
| 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 | | | | | | | | | | | |
| OPERATIONAL INSIGHT | | | | | | | | | | | |



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| | | | | | Years | Months | Days | | | | |
| 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. | |
| 6643.02 | 1.3 | Performance Measurement Documentation | | | 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. 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. | |
| 6643.04 | 1.1.068 | Monthly Legislative Report (MLR) | | AC | 6 | | | AC = September 1 of odd numbered calendar years. | | Paper and Electronic. | |



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| | | | | | Years | Months | Days | | | | |
| 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. | |
| 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. | | | |



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| | | | | | Years | Months | Days | | | | |
| 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 | | | | | | | | | | | |
| 6652.02 | 1.1 | Workforce Development Board Plans | | US | 8 | | | | | VITAL | |
| 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. | | | |



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| | | | | | Years | Months | Days | | | | |
| 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. | |
| 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. | |



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| | | | | | Years | Months | Days | | | | |
| 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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| | | | | | Years | Months | Days | | | | |
| 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 | | 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 | |
| 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 | | | | | | |



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| 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. | |
| WORKFORCE AND BOARD SUPPORT | | | | | | | | | | | |
| 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. | |
| CAREER SCHOOLS AND COLLEGES | | | | | | | | | | | |
| 6668.01 | 1.1 | Career Schools and Colleges Files | | AC | 3 | | | AC = Date of last transaction. | | | |



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| 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. | | | |
| 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 | | | | | | | | | | | |



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 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 |
| | | | | | Years | Months | Days | | | | |
| 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. | | | |