# **Vocational Rehabilitation Services Manual D-300: Records Management**

Revised October 1, 2018

**D-307: Processing Closed Case Files**

At the end of the fiscal year, closed customer case files from the previous fiscal year are boxed, sent, and stored at the TWC Records Management Center (RMC).

Each office is responsible for completing an Inventory and Transmittal Spreadsheet; staff must request blank spreadsheets from [claimant.files@twc.state.tx.us](mailto:claimant.files@twc.state.tx.us). Completed spreadsheets are emailed to [claimant.files@twc.state.tx.us](mailto:claimant.files@twc.state.tx.us). VR staff box and ship the closed customer case files to the RMC.

**D-307-1: Pulling Closed Case Files for Storage**

For each case file on the inventory sheet that is pulled for storage, VR staff should:

* Remove the sealed Computerized Criminal History (CCH) report from the paper case file. Write the customer’s last name, first initial, and case ID on the confidential envelope. Place envelope in a separate box bound for RMC for storage.
* Print any necessary records on CD and file the copies in the paper case file. Remove the CD from the case file and place in the locked confidential shredding container.
* Secure any loose papers to the file prongs and remove staples, clips and post-it notes from the entire file. Small sheets of paper must be copied to a standard 8 1/2x11 sized letter paper.
* Documents in six-sided files must be taken out and put into a regular two-sided file.
* Envelopes, with the exclusion of the sealed CCH envelopes, must be opened and the documents removed from the envelope. If the documents are folded, they must lay flat in the file.
* Record on the tab label the customer's last name, first name, and case ID.
* Stamp "Confidential" on the front and back of each file.
* Using a black felt-tip marker, write the fiscal year in which the case was closed on the outside of the file jacket.
* Change the file location status in ReHabWorks to "Records Center."

**D-307-2: Adding Files to Boxes**

When adding the closed customer files to boxes to be shipped, VR staff ensure that:

* Each box must contain only the closed case files from the previous fiscal year.
* There is approximately 2" of space in each box in case of interfiles. (Boxes are not over packed.)
* Only standard records storage boxes are used (hand-holds on either end, with a removable lid, 10" x 12" x 15"). Do not use copy paper boxes.
* Files are arranged within the box in alphabetical order by last name.
* Each box is labeled with "Box [number]" on the left side of the hand hold. Underneath the "Box [number]" the label must contain the “Cost Center [number]” and “Location Code[number]”.

**D-307-3: Completing Box Inventory Spreadsheet**

All files in each box must be listed on the Box Inventory Spreadsheet. To complete a Box Inventory Spreadsheet, update the fields "box\_nbr" and "rhw\_updated" for each file on your TWC Inventory Spreadsheet as follows:

* For "box\_nbr", number each box in the set as “department cost center number”-001, “department cost center number”-002, etc. (EXAMPLE: 4584-001)
* For "rhw\_updated", put "Y" after ReHabWorks has been updated to reflect the new location of that file.
* All the fields on this tab are mandatory:
  + Once the inventory is complete, VR staff filter the "box\_nbr" field for each box and print the inventory sheet.
  + A hard copy is placed in front of the first file of the corresponding box. One is kept for the unit reference.

**D-307-4: Completing the Transmittal Spreadsheet**

Once VR staff have completed the file inventory, a Transmittal Spreadsheet for all the files will need to be completed.

For each line of the transmittal, VR staff will list information about one box within the batch:

* Customer Box Number (4-digit cost center and box number)
* Major and Minor Description (Major description: example-FY'17 closed customer case files.) (Leave minor blank.)
* Alpha FROM and TO (this is the last name of the first customer in box and last name of the last customer in the box).
* Destruction Date (The close date of the fiscal year plus seven years. Example: For FY'17, this will be 8/31/2024.)
* Date FROM and TO (Example: From date: Beginning of Fiscal Year. For FY'17, this would be 9/1/16.  To date: End of Fiscal Year. For FY'17, this would be 8/31/17).

**D-307-5: Preparing Computerized Criminal History in Closed Case Files**

All CCHs from the previous fiscal year are stored in a separate box.

* CCHs must be in a sealed confidential envelope.
* Envelopes are arranged within the box in alphabetical order by last name.
* A separate Box Inventory Spreadsheet and Transmittal Spreadsheet is completed for CCHs.

Each box is labeled with the Region number, Unit name, and "Confidential CCH Records " on the left side of the hand hold and the top of the box.

**D-307-6: Requesting Pickup**

VR staff emails both the File Inventory and Transmittals worksheets in Excel format to [claimant.files@twc.state.tx.us](mailto:claimant.files@twc.state.tx.us) for approval and upload.

The following information is included in the email:

* On the subject line: Cost Center number, FY 17 Closed Customer Case, City of Field Office.
* Contact information (Contact Name and Phone number)
* Physical pickup location (street address, room or suite number, city, state, zip)
* Special instructions for location access (if any)
* Number of boxes you are requesting to have picked up.

A separate email is sent for CCHs. The following information is included in the email:

* On the subject line: “CCHs files”
* Contact information (Contact Name and Phone number)
* Physical pickup location (street address, room or suite number, city, state, zip)
* Special instructions for location access, if any
* Number of boxes you are requesting to have picked up

VR staff should double-tape all boxes (not covering the hand-holds) to secure the lids to the boxes and ensure that no records spill out during transit.

TWC RMC staff will review the inventory and transmittal~~s~~ sheets for approval. Upon approval from the RMC, the field office staff will schedule the shipment of the files to the address below:

Texas Workforce Commission  
Records Management Center  
4405 Springdale Road Suite C  
Austin, TX 78723

Field office staff will need to determine the supplies needed for shipping the files and coordinate with the third-party vendor.

Effective September 1, 2018, the TWC express shipping provider is FedEx. Please refer to the TWC Mail Services Instructions (PDF) (http://intra.twc.state.tx.us/intranet/phss/docs/mail\_services\_instructions.pdf) for further information on shipping using FedEx.

When using a third party shipping service, the TWC [EMA-65 Express Mail Authorization form](http://intra.twc.state.tx.us/intranet/gl/docs/ema-65.docx) must be completed and emailed only to [Alisha.Lewis@twc.state.tx.us](mailto:Alisha.Lewis@twc.state.tx.us). When emailing the [EMA-65 Express Mail Authorization form](http://intra.twc.state.tx.us/intranet/gl/docs/ema-65.docx), do not attach or include the Inventory and Transmittal spreadsheet.

VR staff must:

* Ensure personally identifiable information (PII) is not exposed.
* Make sure that all boxes are double-taped (not covering the hand-holds) to ensure that no records will spill during transit.
* Save file inventories in a secure place.