

Automated Facsimile of SLR-105

2. AGENCY CODE: 537

3. AGENCY: TEXAS DEPARTMENT OF STATE HEALTH SERVICES

ORIGINAL SUBMISSION

RECERTIFICATION

REPLACEMENT PAGE

ADDENDUM PAGE

10. 106 No.

4. Records Series Item #	5. Agency Item #	6. Records Series Title	7. RETENTION PERIOD			8. Archival	9. Remarks
			Agency	Storage	Total		
250 - CHIEF FINANCIAL OFFICER / DEPUTY CHIEF FINANCIAL OFFICER							
1.1.007	1761	CORRESPONDENCE, ADMINISTRATIVE (LIMITED TO FORMULATION, PLANNING, IMPLEMENTATION, INTERPRETATION, MODIFICATION, OR REDEFINITION OF THE PROGRAMS, SERVICES OR PROJECTS & THE ADMINISTRATIVE REGULATIONS, POLICIES AND PROCEDURES THAT GOVERN THEM.)	4		4	R	Vital Record. ONLY ADMINISTRATIVE CORRESPONDENCE OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.
1.1.008	2986	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2		2		INCLUDES SOME E-MAIL.
1.1.010	6931	DIRECTIVES (DOCUMENTATION THAT OFFICIALLY INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.)	US+1		US+1		
1.1.011	6932	EXECUTIVE ORDERS (INITIATES, RESCINDS, OR AMENDS A REGULATION, POLICY OR PROCEDURE THAT GOVERNS PROGRAMS, SERVICES, OR PROJECTS OF AN AGENCY)	US+3		US+3	A	Vital Record.
1.1.013	5350	DESK CALENDARS/APPOINTMENT BOOKS	CE+1		CE+1	R	ONLY CALENDARS, APPOINTMENT, AND ITINERARY RECORDS OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.
1.1.023	1418	ORGANIZATION CHARTS	US		US	A	
1.1.024	4887	PLANS AND PLANNING RECORDS	AC+3		AC+3	R	AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS.
1.1.057	1752	TRANSITORY INFORMATION	AC		AC		AC=PURPOSE OF RECORD HAS BEEN FULFILLED. INCLUDES TELEPHONE MESSAGE NOTIFICATIONS & SOME E-MAIL CONTAINING ROUTINE INFORMATION USED FOR COMMUNICATION, BUT NOT FOR THE DOCUMENTATION OF A SPECIFIC AGENCY TRANSACTION.
1.1.063	1421	STAFF MEETING MINUTES	1		1		

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ARCHIVAL CODES (Field 8)

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1.1.066	5072	REPORTS - BIENNIAL OR ANNUAL AGENCY	AC+6		AC+6	AC=SEPTEMBER 1 OF ODD-NUMBERED CALENDAR YEARS.
1.1.070	6928	AGENCY RULES, POLICIES, AND PROCEDURES- FINAL	AC+3		AC+3	R Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.
1.1.071	6929	AGENCY RULES, POLICIES AND PROCEDURES-WORKING FILES	AC+3		AC+3	R Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.
1.2.003	6930	FORMS HISTORY FILE	AC+1		AC+1	AC=DISCONTINUANCE OF USE OF FORM
2.2.016	5973	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3		LA+3	Vital Record.
3.1	6693	POSITIVE PERFORMANCE RECORDS (MAINTAINED BY SUPERVISORS)	AC		AC	AC=FIRST LEVEL REMINDER IS 3 MONTHS; SECOND LEVEL REMINDER IS 6 MONTHS WITH A COPY TO EMPLOYEE'S MASTER EMPLOYEE FILE; THIRD LEVEL REMINDER IS 12 MONTHS WITH A COPY TO EMPLOYEE'S MASTER EMPLOYEE FILE. BEGINING AUGUST 2005 SUPERVISORS USE Employee Development Notes IN CAPPS TO DOCUMENT SECOND AND THIRD LEVEL REMINDERS, BUT A PAPER COPY IS STILL FORWARDED TO HHSC HR FOR EMPLOYEE'S MASTER PERSONNEL FILE.
3.1.014	5344	EMPLOYMENT SELECTION RECORDS (INCLUDES APPLICATIONS FOR EMPLOYMENT-NOT HIRED)	2		2	Vital Record maintained by CAPPS only. Send all records to CAPPS. CAPPS HAS FULLY ASSUMED THIS FUNCTIONALITY AS OF SEPT 2006.
3.1.018	7237	GRIEVANCE RECORDS	AC+2		AC+2	Vital Record maintained only by HHS-Civil Rights.. MAY CONTAIN CONFIDENTIAL DATA; AC=FINAL DECISION ON GRIEVANCE. BECAUSE OF CONSOLIDATION OF HUMAN RESOURCES IN HHS ENTERPRISE, MAINTAINED IN HHS-CIVIL RIGHTS

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3.1.019	1420	PEFORMANCE APPRAISALS/JOURNALS	AC+5	AC+5		MAY CONTAIN SOME CONFIDENTIAL INFORMATION SUCH AS MEDICAL INFORMATION, SOCIAL SECURITY NUMBER, OR OTHER DATA PROTECTED BY THE PRIVACY DOCTRINE. AC=TERMINATION OF EMPLOYEE. CAPPS ASSUMED THIS FUNCTIONALITY IN AUGUST 2005. HHS-HR MUST RECEIVE ALL PERFORMANCE APPRAISALS THAT ARE NOT ALREADY IN CAPPS. HHS-OGC REQUESTED LONGER RETENTION PERIOD.
3.1.023	1419	POSITION/JOB DESCRIPTIONS	AC+4	AC+4		Vital Record. AC=UNTIL SUPERSEDED OR JOB ELIMINATED. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.
3.1.037	1416	EMPLOYEE RECOGNITION RECORDS	AC+5	AC+5		AC=TERMINATION OF EMPLOYMENT; FORWARD PRINTED COPY TO HHS MANAGER FOR HUMAN RESOURCE RECORDS FOR EMPLOYEE MASTER PERSONNEL FILE.
3.3.030	4973	TRAINING ADMINISTRATION RECORDS	US+2	US+2		(MATERIALS AND RECORDS FOR INHOUSE TRAINING OF AGENCY PERSONNEL OF POLICES AND PROCEDURES.) TRAINING MATERIAL NOT FOUND IN TRAIN OR CAPPS. (DOES NOT INCLUDE HAZARDOUS MATERIAL TRAINING RECORDS).
3.4.004	5347	OVERTIME AUTHORIZATIONS	FE+5	FE+5		BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPS.
3.4.007	5119	TIME OFF AND SICK LEAVE REQUESTS/DAILY ABSENCE REPORTS	FE+5	FE+5		BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPS.
4.1	6171	CANCELED CHECK/WARRANTS	AC	AC		AC=WHEN CANCELED; COMPLIES WITH THE RETENTION PERIOD FOR THIS RECORD SERIES ON THE RETENTION SCHEDULE FOR THE COMPTROLLER OF PUBLIC ACCOUNTS.
5.1.014	6933	OFFICE PROCEDURES (MANUAL, GUIDELINES, OR SIMILAR RECORDS THAT ESTABLISH STANDARD OFFICE PROCEDURES FOR AN AGENCY)	US+1	US+1		

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**APPROVED 5/23/2012**

State of Texas  
Records Retention Schedule

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5.3    5112 PROCUREMENT CARD PURCHASES SUPPORTING DOCUMENTATION    FE+3    FE+3

5.4.012    6912 SECURITY CLEARANCES    AC+2    AC+2

Vital Record. AC=UNTIL SUPERSEDED, DATE OF EXPIRATION, OR DATE OF TERMINATION, WHICHEVER, SOONER. INCLUDES RECORDS RELATING TO PASSWORDS, SIGNED STATEMENTS OR SIMILAR INSTRUMENTS OF ACCESS TO AGENCY FACILITIES, EQUIPMENT OR AUTOMATED SYSTEMS

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