

Automated Facsimile of SLR-105

2. AGENCY CODE: 537      3. AGENCY: TEXAS DEPARTMENT OF STATE HEALTH SERVICES

ORIGINAL SUBMISSION  
 RECERTIFICATION  
 REPLACEMENT PAGE  
 ADDENDUM PAGE

4. Records		7. RETENTION PERIOD			8. Archival	9. Remarks	10. 106 No.
Series Item #	5. Agency Item #	6. Records Series Title	Agency	Storage			
104 - HUMAN RESOURCES, HHS							
3.	2928	EMPLOYEE FILES (PERSONNEL ACTION, APPLICATIONS, CHECKOUT SHEETS, VERIFICATION OF STATE SERVICE)	AC	5	AC+5	AC=TERMINATION OF EMPLOYMENT. CONTAINS CONFIDENTIAL DATA. THIS RECORD SERIES INCLUDES 3.1.002 APPLICATIONS FOR EMPLOYMENT-HIRED; 3.1.011 EMPLOYEE INSURANCE RECORDS; 3.1.020 PERSONNEL CORRECTIVE ACTION DOCUMENTATION; 3.1.021 PERSONNEL DISCIPLINARY ACTION DOCUMENTATION; 3.1.022 PERSONNEL INFORMATION OR ACTION FORMS; 3.1.027 TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS; 3.1.031 EMPLOYEE BENEFITS; 3.1.038 PUBLIC ACCESS OPTION FORM; 3.2.001 EMPLOYEE DEDUCTION AUTHORIZATIONS; 3.3.028 APTITUDE & SKILLS TESTS (TEST PAPERS)	05-537-334
3.1.014	2508	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. ORIGINAL COPY OF HIRED APPLICATION IS FILED IN APPLICANT'S PERSONNEL FILE.	
3.1.019	5866	PERFORMANCE APPRAISALS	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. MAY BE MAINTAINED IN EMPLOYEE PERSONNEL FILE (See #2928).	
3.1.023	2896	POSITION DESCRIPTION FORMS	AC+4		AC+4	Vital Record. AC=UNTIL SUPERSEDED OR JOB ELIMINATED	
3.1.024	5867	PHYSICAL EXAMINATION/MEDICAL REPORTS	AC+2		AC+2	AC=UNTIL SUPERSEDED OR TERMINATION OF EMPLOYMENT.	
3.1.026	5868	CRIMINAL HISTORY CHECK	AC		AC	AC=THE CRIMINAL HISTORY RECORD HAS SERVED THE IMMEDIATE PURPOSE FOR WHICH IT WAS OBTAINED. CAPPs ASSUMED THIS FUNCTIONALITY IN MAY 2005.	

RETENTION CODES (Field 7)

AC - After Closed, Terminated, Completed, Expired, Settled  
 AV - As Long As Administratively Valuable  
 US -Until Superseded  
 CE - Calendar Year End  
 FE - Fiscal Year End  
 LA - Life of Asset  
 PM - Permanent

MO - Months  
 DA -Days

ARCHIVAL CODES (Field 8)

A - Transfer to State Archivist  
 R - Review by StateArchivist  
 E - Exempt from sending

VITAL Record (Include in Field 9)

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			Agency	Storage	Total			
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3.1.027	7147	HIPAA TRAINING RECORDS	AC		AC		AC=5 YEARS PAST THE TERMINATION OF EMPLOYEE OR 6 YEARS PAST THE TRAINING; WHICHEVER IS LONGER. RETENTION PERIOD REQUIRED UNDER HIPAA (45 CFR SECTION 164.530(j))(1)-(2)	
3.1.029	4307	INS-I9 FORMS (EMPLOYMENT ELIGIBILITY, DOCUMENTATION OR VERIFICATION OF)	AC+1		AC+1		AC=TERMINATION OF EMPLOYMENT. EXCEPT THAT FEDERAL REGULATION REQUIRES INS-I9 FORMS BE RETAINED FOR 3 YRS FROM DATE OF HIRE OR 1 YR AFTER TERMINATION OF EMPLOYEE, WHICHEVER IS LATER. 8 CFR 274A.2(b)(2)(i)(A) and (c)(2). SEE ALSO EMPLOYEE FILES #2928.	
3.2.007	2524	UNEMPLOYMENT COMPENSATION RECORDS	AC	5	AC+5		AC=TERMINATION OF EMPLOYEE.	
3.3.011	3315	FORMER EMPLOYEE VERIFICATION RECORDS (EMPLOYEE HISTORY FILES) (NAME, SOCIAL SECURITY NUMBER, EXACT DATES OF EMPLOYMENT, LAST KNOWN ADDRESS, AND PUBLIC ACCESS OPTION FORM)	AC+75		AC+75		INCLUDES MICROFILM. AC=TERMINATION OF EMPLOYMENT.	
3.3.015	2808	JOB POSITION/CLASSIFICATION REVIEW FILE	US+3		US+3			
3.3.024	5870	PERSONNEL POLICIES AND PROCEDURES	US+3		US+3			
3.3.027	5872	APTITUDE AND SKILLS TEST	US+2		US+2			
3.3.028	5873	APTITUDE AND SKILLS TEST (TEST PAPERS)	2		2			
3.3.029	5874	APTITUDE AND SKILLS TEST (VALIDATION RECORDS)	AC+2		AC+2		AC=AS LONG AS THE TEST IS USED BY AN AGENCY.	
3.4	2627	EMPLOYEE LEAVE FILE	5		5			

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