

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		7. RETENTION PERIOD			9. Remarks	
Series Item #	5. Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival
600 - DIVISION FOR REGULATORY SERVICES						
1.1	6138	PUBLIC COMMENTS TO PROPOSED RULES	AC+1		AC+1	AC=DATE OF PUBLICATION IN TEXAS REGISTER
1.1	6152	PUBLIC INFORMATION REQUESTS DETAIL	2		2	
1.1.002	2456	AUDITS	AC+7		AC+7	AC=PUBLICATION OR RELEASE OF FINAL AUDIT FINDINGS. THE RECORD COPY OF ANY AUDIT PERFORMED BY THE STATE AUDITOR'S OFFICE IS RETAINED PERMANENTLY BY THE AGENCY.
1.1.006	3136	COMPLAINT FILE/TECHNICAL ASSISTANCE	AC+2		AC+2	Vital Record. AC=FINAL DISPOSITION OF THE COMPLAINT
1.1.006	4531	COMPLAINT FILES	AC+2		AC+2	AC= FINAL DISPOSITION OF COMPLAINT
1.1.007	688	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	1323	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2		2	INCLUDES SOME E-MAIL.
1.1.010	5411	GENERAL OFFICE PROCEDURES/DIRECTIVES (DOCUMENTATION THAT OFFICIALLY INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.)	US+1		US+1	
1.1.013	6157	CALENDARS, APPOINTMENT AND ITINERARY RECORDS	CE+1		CE+1	R INCLUDES OUTLOOK CALENDAR. ONLY CALENDARS, APPOINTMENT, AND ITINERARY RECORDS OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.

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 AV - As Long As Administratively Valuable  
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1.1.020	6153	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	AC+1		AC+1		AC=DATE REQUEST IS FULFILLED; INCLUDES WRITTEN REQUESTS FOR PUBLICATIONS (TEXAS GOVT CODE 552.002)	
1.1.021	3160	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2		AC+2		AC=DATE OF DENIAL OF REQUEST	
1.1.024	4755	PLANNING RECORDS (BOUND VOLUMES, AUDIOVISUALS)	AC+3		AC+3	R	AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS	
1.1.040	1002	SPEECHES AND PAPERS	AC		AC	R	AC=END OF TERM IN OFFICE OR TERMINATION OF SERVICE IN A STATE POSITION.	
1.1.057	1322	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.	
1.1.067	1621	REPORTS AND STUDIES (NON-FISCAL)	3		3	R	IF REPORT HAS HISTORICAL RELEVANCE, DO NOT DESTROY REPORT BUT SEND IT TO THE STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.	
1.1.069	696	REPORTS, EMPLOYEE (ACTIVITY OR WORKLOAD MONITORING)	1		1			
1.1.070	6155	AGENCY RULES, POLICIES, AND PROCEDURES-FINAL	AC+3		AC+3	R	Vital record. INCLUDES POLICY LETTERS AND STANDARD OPERATING PROCEDURES. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.	
1.1.071	6156	AGENCY RULES, POLICIES, AND PROCEDURES-WORKING FILES	AC+3		AC+3	R	Vital record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.	
2.2.016	5996	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3		LA+3		Vital Record.	

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3.1	6717	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.
3.1.006	2181	EMPLOYEE COUNSELING NOTES	AC+3		AC+3	AC=TERMINATION OF COUNSELING
3.1.014	1324	EMPLOYMENT SELECTION RECORDS (INCLUDES APPLICATIONS FOR EMPLOYMENT-NOT HIRED)	2		2	Vital Record maintainted by CAPPS only. Send all records to CAPPS. CAPPS HAS FULLY ASSUMED THIS FUNCTIONALITY AS OF SEPT 2006.
3.1.018	857	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
3.1.019	1326	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	1764	POSITION DESCRIPTIONS	AC+4		AC+4	Vital Record. AC=UNTIL SUPERSEDED OR JOB ELIMINATED. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.

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3.1.037	1536	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.
3.2	1367	PAYROLL WARRANT LISTINGS	FE+5	FE+5	
3.3	1612	TRAINING SUPPORT DOCUMENTATION	AC+2	AC+2	AC= COMPLETION OF CLASS
3.3.023	1611	REIMBURSABLE ACTIVITIES, REQUESTS TO ENGAGE IN	FE+3	FE+3	TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL REQUESTS BEGINNING OCTOBER 2005.
3.4.004	4978	OVERTIME AUTHORIZATION	FE+5	FE+5	BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPS.
4.2.005	6154	PURCHASE VOUCHERS	FE+3	FE+3	
4.3	4615	PROGRAM & REGIONAL BUDGET & EXPENDITURES JOURNALS	FE+3	FE+3	
5.1.004	687	MAIL AND TELECOMMUNICATIONS LISTINGS	US	US	
5.1.015	689	CORRESPONDENCE LOGBOOKS	1	1	
5.2.016	5831	INVENTORY SYSTEM UPDATE LISTINGS	AC	AC	AC=TRANSFER OF INFORMATION INTO ANNUAL LISTING
5.3	2969	PROCUREMENT CARD PURCHASES SUPPORTING DOCUMENTATION	FE+3	FE+3	
5.6.003	6165	INSPECTION, REPAIR AND MAINTENANCE RECORDS - VEHICLES	LA+1	LA+1	
5.6.005	5834	VEHICLE USE REPORTS-OPERATION LOGS	FE+3	FE+3	INCLUDES MILEAGE, FUEL/OIL CONSUMPTION, PASSENGERS CARRIED AND OTHER RELATED INFORMATION.

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**APPROVED 5/23/2012**

State of Texas  
Records Retention Schedule

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5.6.005	6166	VEHICLE USE REPORTS	FE+3		FE+3	INCLUDES MILEAGE, FUEL/OIL CONSUMPTION, PASSENGERS CARRIED AND OTHER RELATED OPERATIONAL INFORMATION.	

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