

State of Texas
Records Retention Schedule

Automated Facsimile of SLR-105

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

___ ORIGINAL SUBMISSION
X RECERTIFICATION
___ REPLACEMENT PAGE
___ ADDENDUM PAGE
10. 106 No.

4. Records Series Item #		5. Agency Item #	7. RETENTION PERIOD			8. Archival	9. Remarks	10. 106 No.
		6. Records Series Title	Agency	Storage	Total			
550 - PERFORMANCE MANAGEMENT UNIT								
1.1	1133	BCCS SERVICE PROVIDERS	FE+1	3	FE+4			05-537-300
1.1	1617	CONTRACTOR DATABASE	FE+2		FE+2			
1.1	3828	PHC/TITLE V DEVELOPMENT & CONTRACT WORK FILES	FE+2	3	FE+5			05-537-009
1.1.006	218	COMPLAINT FILES	AC+2		AC+2		AC=FINAL DISPOSITION OF COMPLAINT	
1.1.007	56	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	3234	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2		2		INCLUDES SOME E-MAIL	
1.1.010	1599	DIRECTIVES - ROUTINE ISSUANCES REGARDING GENERAL ADMINISTRATIVE AND OFFICE PROCEDURES	US+1		US+1			
1.1.011	1610	EXECUTIVE ORDERS - RECORDS WHICH DOCUMENT SIGNIFICANT CHANGES OR NEW AGENCY POLICIES, PROGRAMS, AND/OR PROCEDURES	US+3		US+3	A	Vital Record.	
1.1.024	5055	PLANNING RECORDS	AC+3		AC+3	R	AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS	
1.1.038	5074	CUSTOMER SURVEYS	AC		AC		AC=FINAL DISPOSITION OF SUMMARY REPORT. (SURVEYS CANNOT BE DESTROYED UNTIL SUMMARY REPORT HAS BEEN SENT TO STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.) SEE 1.1.067 FOR SUMMARY REPORTS COMPILED FROM CUSTOMER SURVEYS.	
1.1.040	5075	REPORTS, PAPERS & SPEECHES - CONFERENCES	AC		AC	R	AC=END OF TERM IN OFFICE OR TERMINATION OF SERVICE IN A STATE POSITION.	

RETENTION CODES (Field 7)

ARCHIVAL CODES (Field 8) VITAL Record (Include in Field 9)

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4. Records

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1.1.043	5076	TRAINING MATERIALS	US+1		US+1			
1.1.057	5077	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.	
1.1.058	5078	LEGISLATIVE MEETING AGENDA AND MINUTES	PM		PM	A		
1.1.062	5064	LEGISLATIVE MEETINGS SUPPORTING DOCUMENTATION	2		2	A		
1.1.063	5048	STAFF MEETING MINUTES	1		1			
1.1.065	5042	REPORTS & STUDIES - RAW DATA (NON-FISCAL)(PARS & NIADS)	AV		AV			
1.1.067	5043	REPORTS & 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.	
1.1.070	5073	POLICIES AND PROCEDURES MANUAL (NIADS)- FINAL	AC+3		AC+3	R	Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.	
1.1.071	1307	AGENCY RULES, POLICIES AND PROCEDURES-WORKING FILES	AC+3		AC+3	R	Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.	

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Series Item #	Agency Item #	Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.
1.3.001	5057	PUBLICATIONS	AC+2		AC+2		AC=UNTIL SUPERSEDED OR OBSOLETE. WEB PUBLICATIONS ARE MADE AVAILABLE ONLINE TO PUBLIC FOR AT LEAST SIX MONTHS. 13 TAC RULE 3.4(B). THEN RETAINED TO MEET THEIR RECORDS SERIES' RETENTION PERIOD OR THE PERIOD FOR PUBLICATIONS, WHICHEVER IS LONGER. REQUIRED NUMBER OF COPIES PRINTED AT HHS PRINTING ARE SENT TO CLEARINGHOUSE. IF OUTSIDE PRINTER, PROGRAM MUST SEND REQUIRED NUMBER OF COPIES TO HHS PRINTING FOR SUBMISSION TO CLEARINGHOUSE.	
1.3.002	5056	PUBLICATION DEVELOPMENT FILES	AV		AV	R	INCLUDES NEGATIVES	
2.1.001	5049	AUTOMATED FILES - PROCESSING FILE	AC		AC		Vital Record. AC=COMPLETION OF 3RD VERIFICATION CYCLE, OR AUDIT COMPLETION CONFIRMING SUCCESSFUL TRANSACTION PROCESSING, OR REQUIRED AUDIT TRAIL MAINTENANCE, OR THE ABILITY OT RESTORE OR MIGRATE WHEN ERRORS ARE DETECTED OR WHEN HARDWARE OR SOFTWARE CHANGES OCCUR.	
2.1.007	5050	SOFTWARE PROGRAMS AND JOB CONTROL LANGUAGE	AC		AC		Vital Record. AC=UNTIL ELECTRONIC RECORDS ARE 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. 13 TAC 6.94	
2.1.009	5051	SYSTEM AND FILE DOCUMENTATION	AC		AC		AC=UNTIL ELECTRONIC RECORDS ARE TRANSFERRED TO AND MADE USABLE IN A NEW HARDWARE OR SOFTWARE 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.	
2.2.016	5993	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3		LA+3		Vital Record.	

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3.1	6714	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	5053	EMPLOYMENT SELECTIONS - INCLUDING INTERVIEW NOTES; DOCUMENTATION OF SELECTION PROCESS; 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.	
3.1.019	5054	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	5079	POSITION/JOB DESCRIPTIONS	AC+4		AC+4		Vital Record. AC=UNTIL SUPERSEDED OR JOB ELIMINATED. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.	
3.3	5082	TRAINING SUPPORT DOCUMENTATION	AC+2		AC+2		AC=COMPLETION OF CLASS	
3.3.023	5087	TUITION ASSISTANCE AND TRAVEL REQUESTS	FE+3		FE+3		TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL REQUESTS BEGINNING OCTOBER 2005.	
3.4.004	5088	OVERTIME AUTHORIZATION	FE+5		FE+5		BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPs.	
5.1	5894	CONTRACT MONITORING RECORDS	AC	4	AC+4		Vital Record. AC=EXPIRATION OR TERMINATION OF THE CONTRACT ACCORDING TO ITS TERMS.	06-537-523

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5.1.001	5892	CONTRACTS	AC	7	AC+7	Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS.	(120)05-537-074; (500)10-537-555; (599)05-537-307; (550)10-537-554; (642)05-537-498; 05-537-383; 05-537-483
5.1.004	5091	ADDRESS AND TELEPHONE LISTINGS	US		US		
5.1.015	5664	CORRESPONDENCE LOGBOOK	1		1		

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