

State of Texas
Records Retention Schedule

Recertified: 5/23/2012 **Updated (with or without**
Amendment Approved: 2/19/2014 **amendment): 10/4/2017**

ORIGINAL SUBMISSION
 RECERTIFICATION
 REPLACEMENT PAGE
 ADDENDUM PAGE

Automated Facsimile of SLR-105

2. Agency Code: 537 3. Agency: Texas Department of State Health Services

4. Records Series Item #	5. Agency Item #	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.
			Agency	Storage	Total			

643 - QUALITY MANAGEMENT AND COMPLIANCE UNIT

	6487	COMPLAINTS ABOUT COMMUNITY SERVICES (COMPLIANCE & CONSUMER RIGHTS)	AC+2	AC+2		AC=FINAL DISPOSITION OF COMPLAINT; MAY BECOME A PART OF THE COMMUNITY SERVICES CONTRACT.
	6488	SPECIAL REVIEWS OF CONTRACTORS	3	3		
	6489	RAW DATA FOR AUDIT / ASSESSMENT (DATA ANALYSIS)	AC+1	AC+1		AC=AFTER PUBLICATION OF AUDIT / ASSESSMENT
	6490	REVIEW PROTOCOL (DATA ANALYSIS)	US+1	US+1		
1.1.006	6491	COMPLAINTS ABOUT AGENCY BY PUBLIC	AC+2	AC+2		AC=FINAL DISPOSITION OF COMPLAINT
1.1.007	6492	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	6493	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2	2		INCLUDES SOME E-MAIL
1.1.013	6494	CALENDARS, APPOINTMENT, AND ITINERARY RECORDS	CE+1	CE+1		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.
1.1.020	6495	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	AC+1	AC+1		AC=DATE REQUEST FILLED

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US -Until Superseded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)

State of Texas
Records Retention Schedule

Recertified: 5/23/2012 **Updated (with or without**
Amendment Approved: 2/19/2014 **amendment): 10/4/2017**

___ ORIGINAL SUBMISSION
X RECERTIFICATION
___ REPLACEMENT PAGE
___ ADDENDUM PAGE

Automated Facsimile of SLR-105

2. Agency Code: 537 3. Agency: Texas Department of State Health Services

4. Records Series Item #	5. Agency Item #	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.
			Agency	Storage	Total			

643 - QUALITY MANAGEMENT AND COMPLIANCE UNIT

1.1.021	6496	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2	AC+2			AC=DATE OF NOTIFICATION THAT RECORDS ARE EXEMPT.
1.1.024	6497	PLANS AND PLANNING RECORDS	AC+3	AC+3			AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS
1.1.038	6498	CUSTOMER SURVEYS (DATA ANALYSIS)	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.
1.1.043	6499	TRAINING MATERIALS (DATA ANALYSIS)	US+1	US+1			(Instruction materials developed by an agency for training entities or individuals it regulates or serves. Not internal training materials.)
1.1.057	6500	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	6501	STAFF MEETING MINUTES AND NOTES (COMPLIANCE & CONSUMER RIGHTS)	1	1			
1.1.065	6502	REPORTS AND STUDIES (NON-FISCAL) - RAW DATA	AV	AV			
1.1.067	6503	REPORTS AND STUDIES	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.

RETENTION CODES (Field 7)

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

ARCHIVAL CODES (Field 8)

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

VITAL Record (Include in Field 9)

State of Texas
Records Retention Schedule

Recertified: 5/23/2012 **Updated (with or without**
Amendment Approved: 2/19/2014 **amendment): 10/4/2017**

___ ORIGINAL SUBMISSION
X RECERTIFICATION
___ REPLACEMENT PAGE
___ ADDENDUM PAGE

Automated Facsimile of SLR-105

2. Agency Code: 537 3. Agency: Texas Department of State Health Services

4. Records Series Item #	5. Agency Item #	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.
			Agency	Storage	Total			

643 - QUALITY MANAGEMENT AND COMPLIANCE UNIT

1.1.070	6504	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	6505	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	6506	FORMS HISTORY FILE	AC+1	AC+1		AC=DISCONTINUANCE OF USE OF FORM.
1.2.006	6507	RECORDS TRANSMITTAL FORMS	AC+2	AC+2		AC=DATE OF AUTHORIZATION FOR DESTRUCTION OR TRANSFER
1.3.001	4497	STATE 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, WHICH EVER 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	6508	PUBLICATION DEVELOPMENT FILES	AV	AV	R	
2.2.016	6953	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3	LA+3		Vital Record.

RETENTION CODES (Field 7)

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

ARCHIVAL CODES (Field 8)

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

VITAL Record (Include in Field 9)

State of Texas
Records Retention Schedule

Recertified: 5/23/2012 **Updated (with or without**
Amendment Approved: 2/19/2014 **amendment): 10/4/2017**

ORIGINAL SUBMISSION
 RECERTIFICATION
 REPLACEMENT PAGE
 ADDENDUM PAGE

Automated Facsimile of SLR-105

2. Agency Code: 537 3. Agency: Texas Department of State Health Services

4. Records Series Item #	5. Agency Item #	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.
			Agency	Storage	Total			

643 - QUALITY MANAGEMENT AND COMPLIANCE UNIT

3.1	6509	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.
3.1.019	6510	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.
3.3.023	6511	REIMBURSABLE ACTIVITIES, REQUESTS & AUTHORIZATIONS (TRAVEL, TUITION REIMBURSEMENT, WORKSHOPS)	FE+3	FE+3		TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL REQUESTS BEGINNING OCTOBER 2005.
3.4.007	6513	TIME OFF AND/OR SICK LEAVE REQUESTS (UNIT LEVEL)	FE+5	FE+5		BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPs.
4.7	4349	GRANT FILES (INCLUDES DATA COLLECTION, SCHOOL SURVEY, SYNAR BLOCK COMPLIANCE REPORTS AND SURVEYS)	AC+3	AC+3		AC=SATISFACTION OF ALL UNIFORM ADMINSTRATIVE REQUIREMENTS FOR GRANTS. (RESEARCH AND EVALUATION)
4.7	4500	TREATMENT NEEDS ASSESSMENT GRANT FILES	AC+3	AC+3		Vital Record. INCLUDES MONTHLY REPORTS, CORRESPONDENCE, & GRANT APPLICATION. AC=SATISFACTION OF ALL UNIFORM ADMINSTRATIVE REQUIREMENTS FOR GRANTS.

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)

State of Texas
Records Retention Schedule

Recertified: 5/23/2012 **Updated (with or without**
Amendment Approved: 2/19/2014 **amendment): 10/4/2017**

___ ORIGINAL SUBMISSION
X RECERTIFICATION
___ REPLACEMENT PAGE
___ ADDENDUM PAGE

Automated Facsimile of SLR-105

2. Agency Code: 537 3. Agency: Texas Department of State Health Services

4. Records Series Item #	5. Agency Item #	6. Records Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.
			Agency	Storage	Total			

643 - QUALITY MANAGEMENT AND COMPLIANCE UNIT

5.1.007	6514	REQUISITIONS FOR IN-AGENCY / INTERAGENCY COPY/ PRINTING SERVICE	AV		AV			
5.6.004	6516	LICENSE AND DRIVING RECORD CHECKS	AC		AC		AC=UNTIL SUPERSEDED OR UNTIL TERMINATION OF EMPLOYMENT	

RETENTION CODES (Field 7)

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

ARCHIVAL CODES (Field 8)

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

VITAL Record (Include in Field 9)