

**APPROVED 11/2/2006**

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

RECERTIFICATION

REPLACEMENT PAGE

ADDENDUM PAGE

4. Records

7. RETENTION PERIOD

Series Item #	5. Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.
---------------	------------------	-------------------------	--------	---------	-------	-------------	------------	-------------

642 - CONTRACTOR SERVICES SECTION (CMH&SA)

1.1.007	6424	CORRESPONDENCE, ADMINISTRATIVE	3		3	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	6426	CORRESPONDENCE, GENERAL	1		1		INCLUDES SOME E-MAIL	
1.1.010	6477	DIRECTIVES	US+1		US+1		(INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.)	
1.1.013	6428	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.	
1.1.020	6431	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	AC+1		AC+1		AC=DATE REQUEST FULFILLED	
1.1.021	6432	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2		AC+2		AC=DATE OF NOTIFICATION THAT RECORDS ARE EXEMPT	
1.1.024	6434	PLANS AND PLANNING RECORDS	AC+3		AC+3	R	AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS.	
1.1.043	6435	TRAINING MATERIALS	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	6437	TRANSITORY INFORMATION	AC		AC		AC=PURPOSE OF RECORD HAS BEEN FULFILLED.	
1.1.063	6438	STAFF MEETING AND MINUTES	1		1			
1.1.069	6441	REPORTS, ACTIVITY	1		1			

RETENTION CODES (Field 7)

AC - After Closed, Terminated, Completed, Expired, Settled

AV - As Long As Administratively Valuable

CE - Calendar Year End  
FE - Fiscal Year End  
LA - Life of Asset

MO - Months  
PM - Permanent  
US - Until Superseded

ARCHIVAL CODES (Field 8)

A - Transfer to State  
R - Review by State

VITAL Record (Include in Field 9)

**APPROVED 11/2/2006**

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

RECERTIFICATION

REPLACEMENT PAGE

ADDENDUM PAGE

4. Records

7. RETENTION PERIOD

Series Item #	5. Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.
---------------	------------------	-------------------------	--------	---------	-------	-------------	------------	-------------

642 - CONTRACTOR SERVICES SECTION (CMH&SA)

1.1.070	3869	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	6443	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	2383	STORED RECORDS REQUESTS (REQUESTS/RECEIPTS FOR RECORDS STORED AT STATE RECORDS CENTER)	AV		AV			
1.2.003	6445	FORMS HISTORY FILE	AC+1		AC+1		AC=DISCONTINANCE OF USE OF FORM	
1.2.006	2416	RECORDS TRANSMITTAL FORMS (RMD 101)	AC+2		AC+2		AC=DATE OF AUTHORIZATION FOR DESTRUCTION, PERMANENT TRANSFER FROM STORAGE, OR TRANSFER TO STATE ARCHIVES BY THE AGENCY RECORDS ADMINISTRATOR.	
2.1	6478	MASTER FILES (THE SOURCE DATABASE)	US		US		MODIFIED ON AS AN AS NEEDED BASIS. BACKED UP DAILY. DISASTER RECOVERY AT TSL-SRC.	
3.1	6461	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 AccessHR TO DOCUMENT SECOND AND THIRD LEVEL REMINDERS, BUT A PAPER COPY IS STILL FORWARDED TO HHSC HR FOR EMPLOYEE'S MASTER PERSONNEL FILE.	
3.1.001	6449	APPLICATIONS FOR EMPLOYMENT - NOT HIRED	2		2		AccessHR ASSUMED THIS FUNCTIONALITY IN MAY 2005.	
3.1.006	6451	EMPLOYEE COUNSELING RECORDS	AC+3		AC+3		AC=TERMINATION OF COUNSELING	
3.1.014	6453	EMPLOYEE SELECTION RECORDS	2		2		Vital Record. MAY CONTAIN CONFIDENTIAL DATA. AccessHR PARTIALLY ASSUMED THIS FUNCTIONALITY IN MAY 2005.	

RETENTION CODES (Field 7)

ARCHIVAL CODES (Field 8)

VITAL Record (Include in Field 9)

AC - After Closed, Terminated, Completed, Expired, Settled

AV - As Long As Administratively Valuable

CE - Calendar Year End  
FE - Fiscal Year End  
LA - Life of Asset

MO - Months  
PM - Permanent  
US - Until Superseded

A - Transfer to State  
R - Review by State

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

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

642 - CONTRACTOR SERVICES SECTION (CMH&SA)									
Series Item #	5. Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.	
3.1.019	6455	PERFORMANCE APPRAISALS	2		2		AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.		
3.1.020	6457	PERSONNEL CORRECTIVE ACTION DOCUMENTATION	AC+5		AC+5		AC=TERMINATION OF CORRECTIVE ACTION		
3.3.020	6459	WORK SCHEDULES / ASSIGNMENTS	1		1				
3.3.023	6463	REIMBURSABLE ACTIVITIES, REQUESTS & AUTHORIZATIONS (TRAVEL, TUITION REIMBURSEMENT, WORKSHOPS)	FE+3		FE+3		TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL REQUESTS BEGINNING OCTOBER 2005.		
3.3.025	6465	JOB PROCEDURE RECORDS	US+3		US+3				
3.3.030	6467	TRAINING ADMINISTRATION RECORDS	US+2		US+2		(MATERIALS AND RECORDS FOR IN-HOUSE TRAINING OF AGENCY PERSONNEL OF POLICES AND PROCEDURES.)		
3.4.006	6469	TIME CARDS & TIME SHEETS	4		4		40 TAC815.106(i); BEGINNING OCT 2005, TIME SHEETS SENT TO RECORDS MANAGEMENT OFFICER FOR RETENTION.		
3.4.007	6471	TIME OFF AND/OR SICK LEAVE REQUESTS	FE+3		FE+3		BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.		
4.5	3641	JBS (RATE VALIDATION) REPORTS	FE+3		FE+3		INCLUDES FINAL FULL REPORT, SITE VISIT REPORTS/WORKPAPERS, PHASE I & II SURVEYS & ALL OTHER SCHEDULES/WORKPAPERS.		
4.7	3825	FINANCIAL STATEMENT ANALYSIS	FE+1	2	FE+3		(FY SPREADSHEET FOR EACH PROVIDER; RESULTS OF THE REVIEW; COPY OF FINANCIAL STATEMENTS)		
4.7	3914	PROVIDER PROFILES	AC+1	2	AC+3		AC=CLOSEOUT OF CONTRACT.	05-537-507	
4.7	6486	ONE-TIME AGREEMENTS	FE+3		FE+3		DISTRIBUTION OF ADDITIONAL FUNDS		

RETENTION CODES (Field 7)

ARCHIVAL CODES (Field 8)

VITAL Record (Include in Field 9)

AC - After Closed, Terminated, Completed, Expired, Settled

AV - As Long As Administratively Valuable

CE - Calendar Year End  
FE - Fiscal Year End  
LA - Life of Asset

MO - Months  
PM - Permanent  
US - Until Superseded

A - Transfer to State  
R - Review by State

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 #		6. Records Series Title			7. RETENTION PERIOD			9. Remarks		10. 106 No.
Agency	Storage	Total	8. Archival									
642 - CONTRACTOR SERVICES SECTION (CMH&SA)												
4.7.008	6472	FEDERAL GRANT RECORDS	AC+3		AC+3			Vital Record. AC=SATISFACTION OF ALL UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS (THE COMMON RULE).				
5.1.001	2320	CONTRACTS - COMMUNITY SERVICES PERFORMANCES	AC	4	AC+4			Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS.		05-537-383		
5.1.001	4211	FEDERAL GRANT CONTRACT RECORDS (TRACKING SHEETS, CONTRACT, AMENDMENTS, REVIEW SUMMARIES, TRANSMITTAL LETTERS, CORRECTIVE ACTION PLANS, CORRESPONDENCE, AWARD NOTICES, REPORTS, MEASURES, CLOSE-OUT INFO, SANCTIONS, REPAYMENT AGREEMENTS, APPLICATIONS, RENEWALS, RFPs, COST ALLOCATION PLANS, TECHNICAL ASSISTANCE, TRAVEL POLICIES, ARTICLES OF INCORPORATION, & BOARD MINUTES)	AC+1	3	AC+4			Vital Record. AC=SATISFACTION OF ALL UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS (CLOSE-OUT). FOR REPAYMENT AGREEMENTS OVER 24 MONTHS IN DURATION OR TURNED OVER TO ATTORNEY GENERAL COLLECTIONS. RETAIN CONTRACT IN AGENCY AFTER PAID IN FULL.		05-537-483		
5.1.007	6474	REQUISITION FOR IN-AGENCY /INTER-AGENCY COPY/PRINTING SERVICE	AV		AV							
5.1.015	4044	COURIER AUTHORIZATION & MAILING AUTHORIZATION LOG (TRACKING RECORDS)	1		1							
5.1.016	6475	TELEPHONE MESSAGE NOTIFICATIONS	1		1							
5.2.010	6480	EQUIPMENT MANUALS	LA		LA							
5.2.011	6482	EQUIPMENT WARRANTIES	AC+1		AC+1			AC=DATE OF WARRANTY EXPIRATION				
5.4.002	6484	EVACUATION PLANS	US		US							

RETENTION CODES (Field 7)

AC - After Closed, Terminated, Completed, Expired, Settled

AV - As Long As Administratively Valuable

CE - Calendar Year End  
 FE - Fiscal Year End  
 LA - Life of Asset

MO - Months  
 PM - Permanent  
 US - Until Superseded

ARCHIVAL CODES (Field 8)

A - Transfer to State  
 R - Review by State

VITAL Record (Include in Field 9)