

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

4. Records

Series Item # 5. Agency Item #

7. RETENTION PERIOD

Agency Storage Total 8. Archival 9. Remarks

ORIGINAL SUBMISSION
 RECERTIFICATION
 REPLACEMENT PAGE
 ADDENDUM PAGE

10. 106 No.

119 - CONTRACT OVERSIGHT AND SUPPORT SECTION								
Series Item #	Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.
	6530	REVIEW BY CERTIFIED PUBLIC ACCOUNTANT	AC+2		AC+2		(INCLUDES CPA AUDIT; TRACKING ENGAGEMENT LETTERS; RECEIPT OF COPIES OF ANNUAL AUDITS; REVIEW OF SAME INCLUDING ANY CORRECTIVE ACTION PLANS; MANAGEMENT LETTERS). AC=PUBLISHING OF REVIEW.	
	6531	DESK REVIEWS OF SELECTED COMMUNITY MHMR CENTERS	AC+2		AC+2		(INCLUDES CPA AUDIT, MONTHLY FINANCIAL STATEMENT ANALYSIS). AC=COMPLETION OF DESK REVIEW.	
	6532	QUARTERLY FINANCIAL STATEMENT ANALYSIS	FE+3		FE+3			
	6533	INTERGRATED CAM (COST ACCOUNTING METHODOLOGY) REVIEWS	AV		AV			
	6534	CONTRACT MONITORING RECORDS FOUND IN TEAMMATE	AC+3		AC+3		INCLUDES ASSOCIATED BULK PAPER RECORDS. AC=END OF FINANCIAL COMPLIANCE REVIEW.	
	6821	TRUST FUND MONITORING AT STATE SCHOOLS	5*		5*		*DADS NEEDS TO REVIEW ANY RECORDS BEFORE DESTRUCTION. INCLUDES TRUST FUND MONITORING REPORT; TRUST FUND MONITORING FINDINGS & CORRECTIVE ACTION LETTER; TRUST FUND LEDGERS; BANK STATEMENTS; RECEIPTS; IDT STAFFING REPORTS; CENSUS/ATTENDANCE FORMS; TRUST FUND AUTHORIZATION FORMS; CHECKBOOK REGISTERS.	
1.1.008	5392	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	1		1		INCLUDES SOME E-MAIL	
1.1.013	5395	DESK CALENDARS/APPOINTMENT BOOKS/OUTLOOK CALENDAR	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.	

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US - Until Superseded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 Archivist
R - Review by State Archivist
E - Exempt from sending

VITAL Record (Include in Field 9)

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4. Records Series Item #		5. Agency Item #	6. Records Series Title		7. RETENTION PERIOD			8. Archival	9. Remarks	10. 106 No.
Series Item #	Agency Item #		Agency	Storage	Total					
119 - CONTRACT OVERSIGHT AND SUPPORT SECTION										
1.1.024	5396	PLANS AND PLANNING RECORDS	AC+3		AC+3		R	AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS.		
1.1.057	6883	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.		
1.1.068	6107	REPORTS ON PERFORMANCE MEASURES	AC+6		AC+6			AC=SEPT. 1 OF ODD-NUMBERED CALENDAR YEARS.		
1.1.070	6108	AGENCY 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	6109	AGENCY RULES, POLICIES, AND PROCEDURES- WORKING FILES	AC+3		AC+3		R	Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.		
3.1	6686	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. BEGINNING 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.		
5.1	5389	CONTRACT MONITORING RECORDS FOR CONTRACTS NOT AT HHS ENTERPRISE CONTRACTING	AC		AC			AC=MOST RECENT FINANCIAL COMPLIANCE REVIEW ON FILE.		

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