

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

Series Item # 5. Agency Item #

6. Records Series Title

7. RETENTION PERIOD

Agency Storage Total 8. Archival 9. Remarks

10. 106 No.

503 - IMMUNIZATION BRANCH

Series Item #	Agency Item #	Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.
1.1	178	MONTHLY VACCINE REPORTING FORMS AND VFC FORMS 1		4	5		(INCLUDING MONTHLY REPORTING FORMS C33, VACCINE ORDER FORMS C-68, VACCINES FOR CHILDREN ENROLLMENT & PROFILE FORMS)	05-537-252
1.1	999	REFERENCE FILES	AV		AV			
1.1	1838	ASSESSMENTS/AUDITS	AC+2		AC+2		AC=PUBLICATION OR RELEASE OF FINAL AUDIT FINDINGS. REGIONS MAINTAIN ALL ORIGINALS.	
1.1	1893	INFORMED CONSENT STATEMENTS PART 1	10		10			
1.1	1910	VACCINE ADVERSE REACTION FILE	AC		AC		Vital Record. AC= 21ST BIRTHDAY OR 10 YRS. AFTER INCIDENT WHICHEVER IS LATER	
1.1	1911	VACCINE RECOMMENDATION BY AGE	US+5		US+5		Vital Record.	
1.1	1929	MONITORING SYSTEM FOR ADVERSE EVENTS FOLLOWING IMMUNIZATION (MSAEFI)	AC		AC		AC= 21ST BIRTHDAY OR 10 YRS. AFTER INCIDENT, WHICHEVER IS LATER	
1.1	1961	INFORMED CONSENT FORMS PART 2	AC		AC		AC= 21ST BIRTHDAY OR 10 YEARS AFTER APPLICATION OF THE VACCINE WHICHEVER IS LATER	
1.1	5436	ENCOUNTER FORMS	AV	3	AV+3		Vital Record.	05-537-202
1.1	6383	DATABASE (IMM TRAC)	AC		AC		Vital Record. AC=PARENTAL RELEASE TO HAVE CHILD'S NAME DELETED FROM DATABASE OR 18TH BIRTHDAY OF THE CHILD, WHICHEVER COMES FIRST.	
1.1.006	4328	COMPLAINT FILES - DATABASE	AC+2		AC+2		AC=FINAL DISPOSITION OF COMPLAINT	
1.1.008	1840	CORRESPONDENCE, GENERAL (INCLUDES RECORDS REQUESTS, LETTERS OF REQUEST)	1		1		INCLUDES SOME E-MAIL.	

RETENTION CODES (Field 7)

ARCHIVAL CODES (Field 8)

VITAL Record (Include in Field 9)

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503 - IMMUNIZATION BRANCH

1.1.013	6385	CALENDAR 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.	
1.1.038	1923	CUSTOMER SURVEYS	AC+3		AC+3		SEE ITEM NUMBER 1.1.067 FOR SUMMARY REPORTS COMPILED FROM CUSTOMER SURVEYS.	
1.1.043	1930	TRAINING MANUALS (TRAINING AIDES)	US+1		US+1			
1.1.057	1407	TRANSITORY INFORMATION	AC		AC		AC=PURPOSE OF RECORD HAS BEEN FULFILLED.	
1.1.064	458	PERFORMANCE MEASURES SUPPORTING DOCUMENTATION	FE+3		FE+3		Vital Record. DOCUMENTATION OF OUTPUT, OUTCOME, EFFICIENCY AND EXPLANATORY MEASURES IN AGENCY'S APPROPRIATIONS REQUEST OR STRATEGIC PLAN & PERFORMANCE MEASURES TO MANAGE AGENCY.	
1.1.065	1855	SPECIAL PROJECTS	1	9	10		SINCE THE STUDIES ARE STILL BEING PUBLISHED, THE DATA AS A WHOLE MUST BE INTACT. VARICELLA, HEPATITIS B PROJECTS.	05-537-322
1.1.065	1922	REPORTS & STUDIES (RAW DATA)	AV		AV			
1.1.067	1414	IMMTRAC EXECUTIVE STATUS REPORTS	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.	
1.1.067	1920	REPORTS & STUDIES (NON-FISCAL)	3		3	R	REPORTS TO CDC (CENTER FOR DISEASE CONTROL), ATLANTA, GEORGIA. IF REPORT HAS HISTORICAL RELEVANCE, DO NOT DESTROY REPORT BUT SEND IT TO THE STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.	

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1.1.067	1959	ADMINISTRATIVE REPORTS & INVESTIGATIONS (VACCINE)	AC		AC	R	Vital Record. REPORTS ARE MAINTAINED TO STUDY LIFE CYCLE OF VIRUS; AC=UNTIL PATIENT REACHES 21 YEARS OF AGE, OR 10 YEARS, WHICH EVER IS LONGER. 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	1914	POLICY AND PROCEDURES MANUAL- FINAL	AC+5		AC+5	R	Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES. VFC OPERATIONS MANUAL; ImmTrac PROCEDURE MANUAL	
1.2.003	1966	FORMS HISTORY FILE	AC+1		AC+1		AC=DISCONTINUANCE OF USE OF FORM	
1.2.004	1967	FORMS INVENTORY	US		US			
1.3.001	2961	PUBLICATIONS - TDH/DSHS RECORD COPY	US+10		US+10		FOR NEW PUBLICATIONS PRINTED AT HHS PRINTING, HHS PRINTING SENDS COPIES TO STATE PUBLICATIONS CLEARINGHOUSE/DSHS LIBRARY. FOR NEW PUBLICATIONS PRINTED ELSEWHERE, COPIES ARE SENT TO EXECUTIVE AND STAFF OPERATIONS (HHS PRINTING) FOR DISTRIBUTION TO CLEARINGHOUSE/LIBRARY; PUBLICATIONS DEALING WITH IMMUNIZATION PROCEDURES MUST BE RETAINED FOR 10 YEARS AFTER THEY ARE SUPERSEDED.	
2.1	3010	Y2K PROBLEM-SOLVING DOCUMENTATION	6		6		DELETE AFTER 9/1/2006.	
3.1	4440	EMPLOYEE IMMUNIZATION RECORDS	2	8	10			05-537-354

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3.1	6707	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	5100	APPLICATIONS - NOT HIRED	2		2		CONTAINS SOME CONFIDENTIAL INFORMATION. AccessHR ASSUMED THIS FUNCTIONALITY IN MAY 2005.
3.1.006	6384	EMPLOYEE COUNSELING RECORDS	AC+3		AC+3		AC=TERMINATION OF COUNSELING.
3.1.014	1981	INTERVIEW AND SELECTION NOTES	2		2		Vital Record. MAY CONTAIN CONFIDENTIAL DATA. AccessHR PARTIALLY ASSUMED THIS FUNCTIONALITY IN MAY 2005.
3.1.019	5098	PEFORMANCE APPRAISALS/JOURNALS	2		2		MAY CONTAIN SOME CONFIDENTIAL INFORMATION SUCH AS MEDICAL INFORMATION, SOCIAL SECURITY NUMBER, OR OTHER DATA PROTECTED BY THE PRIVACY DOCTRINE. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005. SEE ALSO DPI CENTRAL FILES.
3.1.020	1408	PERSONNEL CORRECTIVE ACTION DOCUMENTATION/PERFORMANCE ADVISEMENT FORMS	AC+5		AC+5		MAY CONTAIN CONFIDENTIAL INFORMATION. AC=TERMINATION OF CORRECTIVE ACTION
3.1.021	1990	PERSONNEL DISCIPLINARY ACTION DOCUMENTATION	AC+5		AC+5		Vital Record. MAY CONTAIN CONFIDENTIAL INFORMATION; AC=TERMINATION OF EMPLOYMENT
3.3	1985	TEMPORARY POSITION FUNDING INFORMATION	2		2		
3.3	1986	TRAINING SUPPORT DOCUMENTATION	AC+2		AC+2		AC=COMPLETION OF CLASS.

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4.2.002	1933	COLLECTION FOR THE SALE OF VACCINES	FE+3		FE+3		Vital Record.	
4.5	1412	BIENNIAL OPERATING REPORT ON AUTOMATION EXPENDITURES	FE+3		FE+3			
4.7	1934	REPLACEMENT OF VACCINE	FE+3		FE+3			
4.7	1936	PRIVATE PHYSICIANS WITH STOCK OF VACCINE SUPPLIED BY STATE	FE+3		FE+3			
4.7	6169	CLAIMS FILES (MEDICAID)	1 MO	6Y11MO	7		Vital Record. RETENTION BASED ON HIPAA REQUIREMENTS FOR MEDICARE-45 CFR 164.530 (J)(1)-(2).	06-537-528
4.7.008	3676	FEDERAL GRANT INFORMATION ON FILE	AC+3		AC+3		Vital Record. AC=SATISFACTION OF ALL UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS	
5.1.001	1409	CONTRACTS	AC+1	3	AC+4		Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS. INCLUDES IMMTRAC SUPPORT AGREEMENTS; LEASES; IMMTRAC OUTREACH TRACKING FORMS.	05-537-364
5.1.004	2007	OUTLOOK DISTRIBUTION LIST	US		US			
5.1.005	2008	POSTAGE EXPENSE REPORTS	FE+3		FE+3			
5.1.007	5421	REQUISITION FOR IN-AGENCY /INTER-AGENCY COPY/PRINTING SERVICE	AV		AV			
5.1.016	2295	TELEPHONE MESSAGE NOTIFICATIONS	1		1		INCLUDES E-MAILS, PHONE MESSAGE BOOKS AND SLIPS, ETC.	

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5.3.007	3704 REQUESTS FOR PROPOSALS	FE+3	FE+3	
				IF A FORMAL WRITTEN CONTRACT OR GRANT IS THE RESULT OF A SUCCESSFUL REQUEST FOR PROPOSAL, THE SUCCESSFUL RFP AND ITS SUPPORTING DOCUMENTATION MUST BE RETAINED FOR THE SAME PERIOD AS THE CONTRACT. (SEE #3676)

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