

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

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4. Records

Series Item # 5. Agency Item #

6. Records Series Title

7. RETENTION PERIOD

Agency Storage Total 8. Archival 9. Remarks

10. 106 No.

102 - LEGAL SERVICES

4445	BOARD OF HEALTH RESOLUTIONS & RELATED DOCUMENTS	AC+2	1	AC+3		
4446	TEXAS REGISTER "OPEN MEETINGS" & "IN ADDITION"	CE+1	1	CE+2		
4450	CERTIFICATIONS BY CUSTODIAN OF RECORDS	2		2		
6164	SUBPOENAS (DSHS IS NOT A PARTY TO THE LITIGATION)	AC+1		AC+1		AC=DATE OF DSHS' RESPONSE TO THE SUBPOENA IN THE FORM OF COMPLETED QUESTIONS AND RESPONSIVE DOCUMENTS, AFFIDAVITS OF NO RECORDS, OR, IN THE CASE OF WITNESS SUBPOENAS, THE DATE ON WHICH DSHS EMPLOYEE APPEARED AS A WITNESS.
1.1	3604 ADMINISTRATIVE CASE FILES	AC+1		AC+1	R	
1.1.007	4394 CORRESPONDENCE, ADMINISTRATIVE	2	1	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	4395 CORRESPONDENCE, GENERAL	1		1		INCLUDES SOME E-MAIL.
1.1.014	4398 LEGAL OPINIONS & ADVICE	AV		AV	R	
1.1.020	4400 PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	AC+1		AC+1		AC=DATE REQUEST IS FULFILLED; INCLUDES WRITTEN REQUESTS FOR PUBLICATIONS (TEXAS GOVT CODE 552.002)
1.1.021	4401 PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+1	1	AC+2		AC=DATE OF DENIAL OF REQUEST
1.1.023	5227 ORGANIZATION CHARTS	US		US	A	
1.1.026	5229 TEXAS REGISTER SUBMISSIONS	AC+1		AC+1		

RETENTION CODES (Field 7)

ARCHIVAL CODES (Field 8)

VITAL Record (Include in Field 9)

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102 - LEGAL SERVICES

1.1.027	4402	PROPOSED LEGISLATION	AV		AV			
1.1.040	5230	SPEECHES AND PAPERS	AC		AC	R	AC=END OF TERM IN OFFICE OR TERMINATION OF SERVICE IN A STATE POSITION.	
1.1.043	4406	TRAINING MATERIALS	US+1		US+1			
1.1.048	4410	LITIGATION FILES	AC+1		AC+1	R	INFORMATION CONTAINED IN FILES DETERMINES IF THE FILE IS OPEN OR CONFIDENTIAL. PAPER & ELECTRONIC. AC=AS APPLICABLE, DECISION OF AN AGENCY NOT TO FILE A LAWSUIT OR DECISION THAT A LAWSUIT WILL NOT BE FILED AGAINST IT ON A MATTER; DISMISSAL OF A LAWSUIT OF WANT OF PROSECUTION OR ON A MOTION OF THE PLAINTIFF; OR FINAL DECISION OF A COURT (OR OF A COURT ON APPEAL, IF APPLICABLE) IN A LAWSUIT.	
1.1.053	2090	REGISTRATION LOGS	AC		AC			
1.1.057	1680	TRANSITORY INFORMATION	AC		AC		AC=PURPOSE OF RECORD HAS BEEN FULFILLED.	
1.1.063	5226	STAFF MEETING MINUTES	1		1			
1.1.067	4404	REPORTS AND STUDIES--NON-FISCAL	2	1	3			
1.1.072	5851	PUBLIC INFORMATION REPORTS	2		2		REPORTS MADE TO TBPC ON AGENCY'S PUBLIC INFORMATION ACT ACTIVITIES.	
1.1.075	51	ALTERNATIVE DISPUTE RESOLUTIONS - FINAL AGREEMENT	AC+4		AC+4		AC=DATE OF FINAL AGREEMENT. TEXAS CIVIL PRACTICE AND REMEDIES CODE, CHAPTER 154.071	
1.2.001	4412	DESTRUCTION SIGN OFF FORMS	FE+3		FE+3			
1.2.005	4413	RECORDS RETENTION SCHEDULE	US		US			

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1.2.010	2088	RECORDS DISPOSITION LOGS	10		10		CONVENIENCE COPY. SENT TO RECORDS MANAGEMENT OFFICER WHEN RECORDS ARE DESTROYED.
2.1.001	4414	AUTOMATED FILES - PROCESSING FILES	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.
2.1.001	4416	PROCESSING FILES	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.
2.1.002	4415	MASTER FILES - AUTOMATED FILES	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	4419	SOFTWARE PROGRAMS	AC		AC		Vital Record. DOES NOT INCLUDE COMMERCIALY AVAILABLE SOFTWARE PROGRAMS. 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

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2.1.009	4418	TECHNICAL DOCUMENTATION	AC		AC		Vital Record. 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.
3.1	6678	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.
3.1.002	2001	PERSONNEL FILES FOR ACTIVE EMPLOYEES	AC+5		AC+5		AC=TERMINATION OF EMPLOYMENT
3.1.006	1955	EMPLOYEE COUNSELING RECORDS	AC+3		AC+3		AC=TERMINATION OF COUNSELING
3.1.012	1948	EMPLOYMENT OPPORTUNITY ANNOUNCEMENTS	2		2		
3.1.014	4425	EMPLOYMENT SELECTIONS	2		2		Vital Record. MAY CONTAIN CONFIDENTIAL DATA. AccessHR PARTIALLY ASSUMED THIS FUNCTIONALITY IN MAY 2005.
3.1.018	4423	GRIEVANCE RECORDS	AC+2		AC+2		Vital Record. MAY CONTAIN SOME CONFIDENTIAL INFORMATION. AC=FINAL DECISION ON GRIEVANCE
3.1.019	4426	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.

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102 - LEGAL SERVICES										
3.1.020	4422	PERSONNEL CORRECTIVE ACTION DOCUMENTATION/PERFORMANCE ADVISEMENT FORMS	AC+5		AC+5			MAY CONTAIN SOME CONFIDENTIAL INFORMATION. AC=TERMINATION OF CORRECTIVE ACTION		
3.1.021	4424	PERSONNEL DISCIPLINARY ACTION - DOCUMENTATION	AC+5		AC+5			Vital Record. MAY CONTAIN CONFIDENTIAL INFORMATION. AC=TERMINATION OF EMPLOYMENT/PAPER, ELECTRONIC		
3.1.022	4427	PERSONNEL INFORMATION	2		2			CONVENIENCE COPY. AccessHR ASSUMED THIS FUNCTIONALITY IN OCTOBER 2005.		
3.1.023	4428	POSITION DESCRIPTIONS	AC+4		AC+4			Vital Record. AC=UNTIL SUPERCEDED OR JOB ELIMINATED. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.		
3.3.023	5837	TRAVEL AUTHORIZATION REQUESTS	FE+3		FE+3			TRAVEL OFFICE ASSUMED RETENTION OF THIS RECORD BEGINNING OCTOBER 2005.		
3.4.002	4434	LEAVE STATUS REPORTS	FE+1	2	FE+3			Vital Record. BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.		
3.4.004	5014	OVERTIME AUTHORIZATIONS	2		2			BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.		
3.4.006	2959	TIME SHEETS	4		4			40 TAC815.106(j); BEGINNING OCT 2005, TIME SHEETS SENT TO RECORDS MANAGEMENT OFFICER FOR RETENTION.		
3.4.007	4435	TIME OFF/SICK LEAVE REQUESTS	FE+3		FE+3			BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.		
4.2.005	1812	PURCHASE VOUCHERS	FE+3		FE+3					
4.5.002	4439	INTERNAL MANAGEMENT REPORTS	FE+3		FE+3					
5.1.001	4441	CONTRACTS & LEASES	AC+4		AC+4			Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS		

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5.1.014	1785	OFFICE PROCEDURES		US+1		US+1		
5.1.016	3514	TELEPHONE MESSAGE NOTIFICATIONS		1		1	INCLUDES E-MAILS, PHONE MESSAGE BOOKS AND SLIPS, ETC.	
5.3	5769	PROCUREMENT CARD PURCHASES - SUPPORTING DOCUMENTATION		FE+4		FE+4		
5.4.011	5184	VISITOR REGISTER LOG		3		3		
5.5.001	1772	BILLING DETAIL - TELECOMMUNICATIONS OTHER THAN TEX-AN		FE+3		FE+3		

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