

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

7. RETENTION PERIOD

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

Series Item #	5. Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.
		403E - NUTRITION SVS - NUTRITION EDUCATION & CLINIC SERVICES (NECS)						
1.1	685	TRAINING INFORMATION	AC+3		AC+3		AC=MARCH 1 OF FOLLOWING FISCAL YEAR. RETENTION PERIOD REQUIRED BY USDA FEDERAL REGULATION 7 CFR PART 3016. (INCLUDES REGISTRATIONS; EVALUATIONS; AND CONTINUING EDUCATION CREDITS FOR LOCAL AGENCY STAFF & GROCERS)	
1.1	2453	LOCAL AGENCY ADMINISTRATIVE FILE	AC+1 MO	2Y11MO	AC+3		Vital Record. AC=MARCH 1 OF FOLLOWING FISCAL YEAR. RETENTION PERIOD REQUIRED BY USDA FEDERAL REGULATION 7 CFR PART 3016 (FILE INCLUDES: HOURS OF OPERATION; LA/CLINIC POLICY & PROCEDURES; CORRESPONDENCE TO/FROM LA/CLINIC; TA TRAINING INFORMATION; TRAINING PLANS)	05-537-358
1.1	2515	COMPLAINTS REGARDING PARTICIPANTS	AC+AV+3		AC+AV+3		AC=FINAL DISPOSITION OF THE COMPLAINT. AV=MARCH 1 OF FOLLOWING FISCAL YEAR. RETENTION PERIOD REQUIRED BY USDA FEDERAL REGULATION 7 CFR PART 3016.	
1.1	2520	NUTRITION EDUCATION AND BREASTFEEDING PROMOTION PLANS	AC+1	2	AC+3		AC=MARCH 1 OF FOLLOWING FISCAL YEAR. RETENTION PERIOD REQUIRED BY USDA FEDERAL REGULATION 7 CFR PART 3016.	
1.1	2523	MODEL OR TALENT RELEASE FORMS	AC+5/US+5		AC+5/US+5		Vital Record. AC= PROJECT DISCONTINUED FOR WHICH MODEL OR TALENT WAS USED; US=PROJECT SUPERCEDED FOR WHICH MODEL OR TALENT WAS USED. (SEE ALSO 1.3.001/2014 STATE PUBLICATONS)	
1.1	2526	STATE AGENCY VIDEO PRODUCTION FILES	AV/US		AV/US		INCLUDES VIDEO; FINAL SCRIPT; DOCUMENTATION OF PERMISSION TO USE OR OWERSHIP OF COPYRIGHTED MATERIALS AND COPIES OF AGREEMENTS FOR ARTWORK; TALENT LISTS; MUSIC SELECTIONS/SOUND EFFECTS USED; LOCATION INFORMATION; AND CREW LISTS.	
1.1	4169	USDA CIVIL RIGHTS COMPLAINTS	AC+AV+3		AC+AV+3		AC=FINAL DISPOSITON OF COMPLAINT; AV=MARCH 1 OF FOLLOWING FISCAL YEAR. RETENTION PERIOD REQUIRED BY USDA FEDERAL REGULATION 7 CFR PART 3016.	

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

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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

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10. 106 No.

Series Item #	Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks
403E - NUTRITION SVS - NUTRITION EDUCATION & CLINIC SERVICES (NECS)							
1.1	4170	PARTICIPANT FAIR HEARING FILES	AC+3		AC+3		AC=MARCH 1 OF FOLLOWING FISCAL YEAR. RETENTION PERIOD REQUIRED BY USDA FEDERAL REGULATION 7 CFR PART 3016
1.1	4297	REFERENCE FILES	AV		AV		LIMITED TO CORRESPONDENCE FROM USDA OR ANOTHER ENTITY PROVIDING NEW POLICY AND PROCEDURES; OR E-MAIL SENT FROM A DSHS EMPLOYEE CONCERNING CIRCUMSTANCES THAT DO NOT OCCUR FREQUENTLY BUT AN ELECTRONIC VERSION IS REQUIRED FOR TRANSMITTAL.
1.1	5645	PROGRAM CORRESPONDENCE	AC+3		AC+3		AC=MARCH 1 OF FOLLOWING FISCAL YEAR. RETENTION PERIOD REQUIRED BY USDA FEDERAL REGULATION 7 CFR PART 3016.
1.1	5658	REQUISITIONS/ORDERS FILLED FOR TEXAS WIC MATERIALS	AV		AV		
1.1.007	5646	DEPARTMENT ADMINISTRATIVE CORRESPONDENCE	3		3	R	Vital Record. NON-USDA RELATED CORRESPONDENCE. ONLY ADMINISTRATIVE CORRESPONDENCE OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.
1.1.007	5649	PROGRAM ADMINISTRATIVE CORRESPONDENCE	AC+3		AC+3	R	Vital Record. . AC=MARCH 1 OF FOLLOWING FISCAL YEAR. RETENTION PERIOD REQUIRED BY USDA FEDERAL REGULATION 7 CFR PART 3016. ONLY ADMINISTRATIVE CORRESPONDENCE OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.
1.1.008	5640	DEPARTMENT GENERAL CORRESPONDENCE	1		1		NON-USDA RELATED CORRESPONDENCE
1.1.038	5660	NUTRITION EDUCATION STAFF/PARTICIPANT SURVEY	AC+3		AC+3		SEE ITEM NUMBER 1.1.067 FOR SUMMARY REPORTS COMPILED FROM CUSTOMER SURVEYS.

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ARCHIVAL CODES (Field 8)

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VITAL Record (Include in Field 9)

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403E - NUTRITION SVS - NUTRITION EDUCATION & CLINIC SERVICES (NECS)

Series Item #	Agency Item #	Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks
1.1.043	2525	AGENCY NUTRITION EDUCATION LESSONS	US+1		US+1		FOR PAPER LESSONS, UPON CREATION, REQUISITE NUMBER OF COPIES IS SENT TO STATE PUBLICATIONS CLEARINGHOUSE VIA HHS PRINTING SERVICES.
1.1.043	5659	NUTRITION EDUCATION TRAINING MODULES	US+1		US+1		TRAINING MATERIALS FOR TEXAS WIC NUTRITION EDUCATION AND BREASTFEEDING PROMOTION CLASSES FOR STAFF TRAINING.
1.1.057	5654	TRANSITORY INFORMATION	AC		AC		AC=PURPOSE OF RECORD HAS BEEN FULFILLED.
1.1.069	2469	PROGRAM ACTIVITY REPORTS	AC+3		AC+3		AC=MARCH 1 OF FOLLOWING FISCAL YEAR. RETENTION PERIOD REQUIRED BY USDA FEDERAL REGULATION 7 CFR PART 3016. (INCLUDES DOMINION AND OPERATORS PHONE TRAFFIC REPORTS)
1.1.069	2500	LOCAL AGENCY ACTIVITY REPORTS	AC+3		AC+3		PAPER AND ELECTRONIC. AC=MARCH 1 OF FOLLOWING FISCAL YEAR. RETENTION PERIOD REQUIRED BY USDA FEDERAL REGULATION 7 CFR PART 3016. (INCLUDES: PARTICIPATION; DUAL PARTICIPATION)
1.3.001	2014	PUBLICATIONS	AC+2		AC+2		PAPER, ELECTRONIC AND VIDEO. AC=UNTIL SUPERCEDED OR OBSOLETE. WEB PUBLICATIONS ARE MADE AVAILABLE ONLINE FOR AT LEAST TWO YEARS, THEN RETAINED TO MEET THE RETENTION PERIOD PRESCRIBED FOR THEIR RECORDS SERIES OR PUBLICATIONS, WHICH EVER IS LONGER. REQUIRED NUMBER OF COPIES IS SENT TO CLEARINGHOUSE WHEN PRINTED AT HHS PRINTING. IF OUTSIDE PRINTING, SECTION MUST SUBMIT REQUIRED NUMBER OF COPIES TO EXECUTIVE & STAFF OPERATIONS FOR SUBMISSION TO CLEARINGHOUSE. (SEE ALSO 1.1 / 2523 MODEL/TALENT RELEASE FORMS)
1.3.002	2015	PUBLICATION DEVELOPMENT FILES	AV		AV		PAPER AND ELECTRONIC

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403E - NUTRITION SVS - NUTRITION EDUCATION & CLINIC SERVICES (NECS)

3.1	6702	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.	
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3.1.006	4957	EMPLOYEE COUNSELING RECORDS	AC+3		AC+3		AC=TERMINATION OF COUNSELING. NOTES, MEMORANDA, OR REPORTS RELATING TO THE COUNSELING OF AN EMPLOYEE FOR WORK-RELATED, PERSONAL, OR SUBSTANCE ABUSE PROBLEMS. MAINTAINED AT THE SUPERVISORIAL LEVEL. ORIGINAL DOCUMENTATION FOR 3.1.006 AND 3.1.020 MUST BE KEPT SEPARATE FROM THE PERFORMANCE APPRAISAL. COPY OF DOCUMENTATION FOR 3.1.006 AND 3.1.020 MAY BE INCLUDED IN THE PERFORMANCE APPRAISAL.	
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3.1.020	3966	PERSONNEL CORRECTIVE ACTION DOCUMENTATION/PERFORMANCE ADVISEMENT FORMS	AC+5		AC+5		MAY CONTAIN SOME CONFIDENTIAL INFORMATION. AC=TERMINATION OF CORRECTIVE ACTION. CORRECTIVE ACTIONS ARE THOSE ACTIONS THAT DO NOT AFFECT PAY, STATUS, OR TENURE AND ARE IMPOSED TO CORRECT OR IMPROVE AN EMPLOYEE'S JOB PERFORMANCE. IF DURING THE RETENTION PERIOD OF THIS RECORD SERIES, ANY PART OF THIS SERIES IS USED TO DOCUMENT AND SUPPORT PERSONNEL DISCIPLINARY ACTION UNDER 3.1.021, ALL DOCUMENTATION FROM THIS SERIES USED TO SUPPORT DISCIPLINARY ACTION MUST BE RETAINED FOR THE RETENTION PERIOD FOR 3.1.021. ORIGINAL DOCUMENTATION FOR 3.1.006 AND 3.1.020 MUST BE KEPT SEPARATE FROM PERFORMANCE APPRAISAL. COPY OF DOCUMENTATION OF 3.1.006 AND 3.1.020 MAY BE INCLUDED IN PERFORMANCE APPRAISAL.	
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Series Item #		Item #	Agency	Storage	Total					
403E - NUTRITION SVS - NUTRITION EDUCATION & CLINIC SERVICES (NECS)										
3.1.027		3853	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS	AC+6		AC+6		AC = TERMINATION OF EMPLOYMENT. CERTIFICATES OF COMPLETION, TRANSCRIPTS, TEST SCORES, OR SIMILAR RECORDS DOCUMENTING THE TRAINING, TESTING, OR CONTINUING EDUCATION ACHIEVEMENTS OF AN EMPLOYEE. EXTENDED RETENTION PERIOD REQUIRED UNDER HIPAA (45 CFR SECTION 164.530(j)(1)-(2))		
3.3.023		5650	REQUESTS AND AUTHORIZATION FOR TRAVEL AND OTHER	FE+3		FE+3		INCLUDES TRAVEL, PARTICIPATION IN EDUCATION PROGRAMS, WORKSHOPS. DOES NOT INCLUDE CEU CREDITS (SEE ALSO 3.1.027 TRAINING & EDUCATIONAL ACHIEVEMENT RECORDS) TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL REQUESTS BEGINNING OCTOBER 2005.		
4.0		721	FOOD INSTRUMENT REPRINTS	AC+3		AC+3		AC=MARCH 1 OF FOLLOWING FISCAL YEAR. RETENTION PERIOD REQUIRED BY USDA FEDERAL REGULATION 7 CFR PART 3016		
4.0		2484	LOCAL AGENCY FISCAL FILE	AC+1	2	AC+3		AC=MARCH 1 OF FOLLOWING FISCAL YEAR. RETENTION PERIOD REQUIRED BY USDA FEDERAL REGULATION 7 CFR PART 3016. (FILE INCLUDES: CONVENIENCE COPY OF CONTRACT; PLAN TO ALLOCATE COST; FISCAL MONITORING REPORT; PERFORMANCE MEASURES; EXTENDED HOURS REIMBURSEMENT; PURCHASE VOUCHERS; SURPLUS PAGES)	05-537-128; 05-537-101	
4.2.007		5653	TRAVEL (AND OTHER EXPENDITURE) VOUCHERS	AC+3*		AC+3		AC=MARCH 1 OF FOLLOWING FISCAL YEAR. RETENTION PERIOD REQUIRED BY USDA FEDERAL REGULATION 7 CFR PART 3016. INCLUDES REIMBURSEMENT FOR TRAVEL, PARTICIPATION IN EDUCATION PROGRAM, WORKSHOPS, ETC. TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL VOUCHERS BEGINNING OCTOBER 2005.		
4.7.008		2494	INFANT FORMULA AND INFANT CEREAL REBATE CONTRACTS	AC+3		AC+3		Vital Record. AC=SATISFACTION OF ALL UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENT TO STATE AND LOCAL GOVERNMENTS (THE COMMON RULE).		

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5.1.016 1947 TELEPHONE MESSAGE NOTIFICATIONS 1 1 PAPER AND ELECTRONIC. INCLUDES E-MAILS, PHONE MESSAGE BOOKS AND SLIPS, ETC.

5.2 3053 VIDEO SYSTEMS TECHNICAL INFORMATION LA LA Vital Record. ENGINEERING PLANS FOR THE EDIT BAY

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