

**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 #

6. Records Series Title

7. RETENTION PERIOD

Agency Storage Total 8. Archival 9. Remarks

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 RECERTIFICATION  
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10. 106 No.

Series Item #	Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks
643 - QUALITY MANAGEMENT AND COMPLIANCE UNIT							
	6487	COMPLAINTS ABOUT COMMUNITY SERVICES (COMPLIANCE & CONSUMER RIGHTS)	AC+2		AC+2		AC=FINAL DISPOSITION OF COMPLAINT; MAY BECOME A PART OF THE COMMUNITY SERVICES CONTRACT.
	6488	SPECIAL REVIEWS OF CONTRACTORS	3		3		
	6489	RAW DATA FOR AUDIT / ASSESSMENT (DATA ANALYSIS)	AC+1		AC+1		AC=AFTER PUBLICATION OF AUDIT / ASSESSMENT
	6490	REVIEW PROTOCOL (DATA ANALYSIS)	US+1		US+1		
1.1.006	6491	COMPLAINTS ABOUT AGENCY BY PUBLIC	AC+2		AC+2		AC=FINAL DISPOSITION OF COMPLAINT
1.1.007	6492	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	6493	CORRESPONDENCE, GENERAL	1		1		INCLUDES SOME E-MAIL
1.1.013	6494	CALENDARS, APPOINTMENT, AND ITINERARY RECORDS	CE+1		CE+1		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	6495	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	AC+1		AC+1		AC=DATE REQUEST FILLED
1.1.021	6496	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2		AC+2		AC=DATE OF NOTIFICATION THAT RECORDS ARE EXEMPT.
1.1.024	6497	PLANS AND PLANNING RECORDS	AC+3		AC+3		AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS
1.1.038	6498	CUSTOMER SURVEYS (DATA ANALYSIS)	AC+3		AC+3		SEE 1.1.067 FOR SUMMARY REPORTS COMPILED FROM CUSTOMER SURVEYS.

RETENTION CODES (Field 7)

ARCHIVAL CODES (Field 8)

VITAL Record (Include in Field 9)

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643 - QUALITY MANAGEMENT AND COMPLIANCE UNIT

1.1.043	6499	TRAINING MATERIALS (DATA ANALYSIS)	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	6500	TRANSITORY INFORMATION	AC		AC		AC=PURPOSE OF RECORD HAS BEEN FULFILLED	
1.1.063	6501	STAFF MEETING MINUTES AND NOTES (COMPLIANCE & CONSUMER RIGHTS)	1		1			
1.1.065	6502	REPORTS AND STUDIES (NON-FISCAL) - RAW DATA	AV		AV			
1.1.067	6503	REPORTS AND STUDIES	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.	
1.1.070	6504	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	6505	RULES, POLICIES, AND PROCEDURES - WORKING FILES	AC+3		AC+3	R	Vital record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.	
1.2.003	6506	FORMS HISTORY FILE	AC+1		AC+1		AC=DISCONTINUANCE OF USE OF FORM.	
1.2.006	6507	RECORDS TRANSMITTAL FORMS	AC+2		AC+2		AC=DATE OF AUTHORIZATION FOR DESTRUCTION OR TRANSFER	
1.3.001	4497	STATE PUBLICATIONS	AC+2		AC+2		AC=UNTIL SUPERCEDED OR OBSOLETE. WEB PUBLICATIONS ARE MADE AVAILABLE ONLINE TO PUBLIC FOR AT LEAST TWO YEARS, THEN RETAINED TO MEET THEIR RECORDS SERIES' RETENTION PERIOD OR THE PERIOD FOR PUBLICATIONS, WHICH EVER IS LONGER. REQUIRED NUMBER OF COPIES PRINTED AT HHS PRINTING ARE SENT TO CLEARINGHOUSE. IF OUTSIDE PRINTER, PROGRAM MUST FORWARD REQUIRED NUMBER OF COPIES TO EXECUTIVE & STAFF OPERATIONS FOR SUBMISSION TO CLEARINGHOUSE.	

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1.3.002	6508	PUBLICATION DEVELOPMENT FILES	AV		AV		R	
3.1	6509	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.	
3.1.019	6510	PERFORMANCE APPRAISALS	2		2		AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.	
3.3.023	6511	REIMBURSABLE ACTIVITIES, REQUESTS & AUTHORIZATIONS (TRAVEL, TUITION REIMBURSEMENT, WORKSHOPS)	FE+3		FE+3		TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL REQUESTS BEGINNING OCTOBER 2005.	
3.4.006	6512	TIME SHEETS (UNIT LEVEL)	4		4		BEGINNING OCT 2005, TIME SHEETS SENT TO RECORDS MANAGEMENT OFFICER FOR RETENTION.	
3.4.007	6513	TIME OFF AND/OR SICK LEAVE REQUESTS (UNIT LEVEL)	FE+3		FE+3		BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.	
4.7	4349	GRANT FILES (INCLUDES DATA COLLECTION, SCHOOL SURVEY, SYNAR BLOCK COMPLIANCE REPORTS AND SURVEYS)	AC+3		AC+3		AC=SATISFACTION OF ALL UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS. (RESEARCH AND EVALUATION)	
4.7	4500	TREATMENT NEEDS ASSESSMENT GRANT FILES	AC+3		AC+3		Vital Record. INCLUDES MONTHLY REPORTS, CORRESPONDENCE, & GRANT APPLICATION. AC=SATISFACTION OF ALL UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS.	
5.1.007	6514	REQUISITIONS FOR IN-AGENCY / INTERAGENCY COPY/ PRINTING SERVICE	AV		AV			

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5.1.016	6515	TELEPHONE MESSAGE NOTIFICATIONS			1		
5.6.004	6516	LICENSE AND DRIVING RECORD CHECKS	AC		AC		AC=UNTIL SUPERCEDED OR UNTIL TERMINATION OF EMPLOYMENT

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