

**APPROVED 5/23/2012**

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

10. 106 No.

4. Records Series Item #		5. Agency Item #		7. RETENTION PERIOD			8. Archival	9. Remarks
6. Records Series Title				Agency	Storage	Total		
136 - CLIENT SERVICES CONTRACTING UNIT								
1.1	6110	FEDERAL GRANT INFORMATION (TYPES OF GRANTS AND REQUIREMENTS)		US		US		Vital Record.
1.1.002	4620	CONTRACT AUDITS		AC+6 MO	6Y6MO	AC+7		AC=PUBLICATION OR RELEASE OF FINAL AUDIT FINDINGS. MAY INCLUDE CONFIDENTIAL INFORMATION. (formerly Contract Policy and Monitoring)
1.1.006	6115	COMPLAINT RECORDS		AC+2		AC+2		Vital Record. INCLUDES BID PROTESTS. AC=FINAL DISPOSITION OF THE COMPLAINT.
1.1.007	6111	CORRESPONDENCE, ADMINISTRATIVE (LIMITED TO FORMULATION, PLANNING, IMPLEMENTATION, INTERPRETATION, MODIFICATION, OR REDEFINITION OF THE PROGRAMS, SERVICES OR PROJECTS & THE ADMINISTRATIVE REGULATIONS, POLICIES AND PROCEDURES THAT GOVERN THEM.)		4		4	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	1672	GENERAL CORRESPONDENCE		2		2		
1.1.010	6946	DIRECTIVES (DOCUMENTATION THAT OFFICIALLY INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.)		US+1		US+1		
1.1.011	6947	EXECUTIVE ORDERS (INITIATES, RESCINDS, OR AMENDS A REGULATION, POLICY OR PROCEDURE THAT GOVERNS PROGRAMS, SERVICES, OR PROJECTS OF AN AGENCY)		US+3		US+3	A	Vital Records
1.1.057	6113	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.
1.1.070	6943	AGENCY RULES, POLICIES AND PROCEDURES-FINAL		AC+3		AC+3	R	Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.

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

US -Until Superseded

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136 - CLIENT SERVICES CONTRACTING UNIT								
1.1.071	6944	AGENCY 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	6945	FORMS HISTORY FILE	AC+1		AC+1		AC=DISCONTINUANCE OF USE OF FORM	
2.1	1021	DOCUMENTATION (AUTOMATED RECORDS)	AC	3	AC+3		AC=AFTER QUALITY CHECK OF RECORDS	05-537-197
2.2.016	5971	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3		LA+3		Vital Record.	
3.1	6691	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 CAPPS 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	6116	PERFORMANCE APPRAISALS/JOURNALS	AC+5		AC+5		MAY CONTAIN SOME CONFIDENTIAL INFORMATION SUCH AS MEDICAL INFORMATION, SOCIAL SECURITY NUMBER, OR OTHER DATA PROTECTED BY THE PRIVACY DOCTRINE. AC=TERMINATION OF EMPLOYEE. CAPPS ASSUMED THIS FUNCTIONALITY IN AUGUST 2005. HHS-HR MUST RECEIVE ALL PERFORMANCE APPRAISALS THAT ARE NOT ALREADY IN CAPPS. HHS-OGC REQUESTED LONGER RETENTION PERIOD.	
3.1.023	6118	POSITION/JOB DESCRIPTIONS	US+4		US+4		Vital Record. AC=UNTIL SUPERSEDED OR JOB ELIMINATED. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.	
3.4.004	6119	OVERTIME AUTHORIZATION	FE+5		FE+5		BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPS.	
3.4.007	6120	TIME OFF AND/OR SICK LEAVE REQUESTS	FE+5		FE+5		BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPS.	

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136 - CLIENT SERVICES CONTRACTING UNIT							
4.3.003	6121	EXPENDITURES	FE+3		FE+3	Vital Record.	
4.5.001	6112	WORKSHEETS FOR PREPARING FISCAL REPORTS	FE+3		FE+3		
4.5.002	6114	SALARY EXPENSE REPORTS	FE+3		FE+3		
4.7.008	6122	FEDERAL GRANT INFORMATION ON FILE-FINAL EXPENDITURES	AC+3		AC+3	Vital Record. OMB. CIR 102 - PAPER AND COMPUTER OUTPUT MICROFILM-AC=SATISFACTION OF ALL UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS (THE COMMON RULE).	
5.1.001	1027	CONTRACT PAYMENT INFORMATION	AC+2	2	AC+4	Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS (formerly Contract Policy and Monitoring)	05-537-220
5.1.001	1041	CONTRACTS AND RFPs (formerly FEDERAL GRANT INFORMATION ON FILE)	AC	4	AC+4	Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS	05-537-074
5.1.001	6123	CONTRACTS BILLING INFO ON FILE	AC+4		AC+4	Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS; MAINTAINED ON PC; RETENTION REQUIREMENTS MAY VARY IN CODE OF FEDERAL REGULATIONS FOR A SPECIFIC FUNDING SOURCE.	
5.1.001	6124	CONTRACTS	AC+4		AC+4	Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS	
5.1.014	6948	OFFICE PROCEDURES (MANUAL, GUIDELINES, OR SIMILAR RECORDS THAT ESTABLISH STANDARD OFFICE PROCEDURES FOR AN AGENCY)	US+1		US+1		
5.3	6125	PROCUREMENT CARD PURCHASES SUPPORTING DOCUMENTATION	FE+3		FE+3		

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136 - CLIENT SERVICES CONTRACTING UNIT

5.3.007	6215	BID DOCUMENTATION (RFPs NOT RESULTING IN A CONTRACT)	FE+1	2	FE+3		CAUTION: IF A FORMAL WRITTEN CONTRACT IS THE RESULT OF A SUCCESSFUL BID OR REQUEST FOR PROPOSAL, THE SUCCESSFUL BID OR REQUEST FOR PROPOSAL AND ITS SUPPORTING DOCUMENTATION MUST BE RETAINED FOR THE SAME PERIOD AS THE CONTRACT. USE 5.1.001.	
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