

State of Texas
Records Retention Schedule

Recertified: 5/23/2012 **Updated (with or without**
Amendment Approved: 2/19/2014 **amendment): 10/3/2017**

___ ORIGINAL SUBMISSION
X RECERTIFICATION
___ REPLACEMENT PAGE
___ ADDENDUM PAGE

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			8. Archival	9. Remarks	10. 106 No.
			Agency	Storage	Total			

127 - FUNDS COORDINATION AND MANAGEMENT BRANCH

	7257	TOBACCO SETTLEMENT PERMANENT TRUST ACCOUNT	FE+3	FE+3		BACK-UP DOCUMENTATION FOR COMPTROLLER'S DISPERSAL OF ACCOUNTS. REPORTS, CLAIMS, REVIEWS (AUDITS).
1.1	1530	FEDERAL GRANT INFORMATION (TYPES OF GRANTS & REQUIREMENTS)	US	US		Vital Record.
1.1.007	6101	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	6102	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2	2		INCLUDES SOME E-MAIL.
1.1.058	3574	MEETING MINUTES AND AGENDAS	PM	PM	A	INCLUDES TOBACCO SETTLEMENT PERMANENT TRUST ACCOUNT ADMINISTRATION ADVISORY COMMITTEE.
1.1.060	1144	MEETINGS, AUDIO OR VIDEOTAPES OF OPEN	AC+90 DA	AC+90 DA		AC=OFFICIAL APPROVAL OF WRITTEN MINUTES. INCLUDES TOBACCO SETTLEMENT PERMANENT TRUST ACCOUNT ADMINISTRATION ADVISORY COMMITTEE.
1.1.061	418	MEETING - NOTES	AC+90 DA	AC+90 DA		AC=APPROVAL OF THE FORMAL MINUTES BY THE GOVERNING BODY. INCLUDES TOBACCO SETTLEMENT PERMANENT TRUST ACCOUNT ADMINISTRATION ADVISORY COMMITTEE.

RETENTION CODES (Field 7)

AC - After Closed, Terminated, Completed, Expired, Settled
AV - As Long As Administratively Valuable
US -Until Superseded

CE - Calendar Year End
FE - Fiscal Year End
LA - Life of Asset

PM - Permanent

MO - Months
DA -Days

ARCHIVAL CODES (Field 8)

A - Transfer to State Archivist
R - Review by StateArchivist
E - Exempt from sending

VITAL Record (Include in Field 9)

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1.1.062	3839	MEETINGS - SUPPORTING DOCUMENTATION	2	2	A	INCLUDES TOBACCO SETTLEMENT PERMANENT TRUST ACCOUNT ADMINISTRATION ADVISORY COMMITTEE.
2.2.016	5970	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3	LA+3		Vital Record.
3.1	6690	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 CAPPs TO DOCUMENT SECOND AND THIRD LEVEL REMINDERS, BUT A PAPER COPY IS STILL FORWARDED TO HHSC HR FOR EMPLOYEE'S MASTER PERSONNEL FILE.
3.1.014	6104	EMPLOYMENT SELECTION RECORDS / NOTES (INCLUDES APPLICATIONS FOR EMPLOYMENT-NOT HIRED)	2	2		Vital Record maintainted by CAPPs only. Send all records to CAPPs. CAPPs HAS FULLY ASSUMED THIS FUNCTIONALITY AS OF SEPT 2006.
3.1.018	4217	GRIEVANCE RECORDS	AC+2	AC+2		Vital Record maintained only by HHS-Civil Rights.. MAY CONTAIN CONFIDENTIAL DATA; AC=FINAL DECISION ON GRIEVANCE. BECAUSE OF CONSOLIDATION OF HUMAN RESOURCES IN HHS ENTERPRISE, MAINTAINED IN HHS-CIVIL RIGHTS

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3.1.019	6105	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	6106	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	4987	OVERTIME AUTHORIZATION	FE+5	FE+5		BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPS.
3.4.007	5456	TIME OFF AND/OR SICK LEAVE REQUESTS	FE+5	FE+5		BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPS.
4.3.003	1028	EXPENDITURES	FE+3	FE+3		Vital Record.
4.5.001	1534	WORKSHEETS FOR PREPARING REPORTS	FE	3	FE+3	
4.5.002	1032	SALARY EXPENSE REPORTS	FE+3	FE+3		
4.5.007	1040	USAS REPORTS - DAILY (FEDERAL GRANT INFORMATION ON FILE FINAL EXPENDITURES)	AC	AC		Vital Record. OMB CIR. 102 COMPUTER OUTPUT MICROFILM. AC=RECEIPT OF RECONCILIATION OF MONTHLY REPORT.
4.5.007	6129	USAS REPORTS DAILY (FEDERAL GRANT INFORMATION ON FILE)	AC	AC		AC=RECEIPT AND RECONCILIATION OF MONTHLY REPORT.

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4.7.008	6145	FEDERAL GRANT INFORMATION ON FILE (FEDERAL GRANT RECORDS)	AC+3		AC+3		Vital Record. AC=SATISFACTION OF ALL UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS (THE COMMON RULE).
5.1.001	1026	CONTRACTS BILLING INFO ON FILE	AC+2	5	AC+7		Vital Record. MAINTAINED ON PC. RETENTION REQUIREMENTS MAY VARY IN THE CODE OF FEDERAL REGULATIONS FOR A SPECIFIC FUNDING SOURCE. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS
5.1.001	6146	CONTRACTS AND RFPs	AC+7		AC+7		Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS

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