

State of Texas
Records Retention Schedule

Recertified: 5/23/2012 **Updated (with or without**
Amendment Approved: 2/19/2014 **amendment): 10/4/2017**

ORIGINAL SUBMISSION
 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			

898 - CENTER FOR POLICY AND EXTERNAL AFFAIRS								
	5902	STATEWIDE VOLUNTEER RECOGNITION	AV		AV			
	5905	ACKNOWLEDGEMENT OF ACCEPTANCE OF NON-PHARMACEUTICAL AND PHARMACEUTICAL GIFTS	FE+7		FE+7		INCLUDES DATABASE WITH NON-PHARMACEUTICAL GIFTS BETWEEN \$500-\$9,999.99 & ANY PHAMACEUTICAL GIFT INCLUDING MEDICATION COUPONS	
	5906	ADVISORY COMMITTEES AND MEMBERS (INFORMATION ON DATABASE)	AC+2		AC+2		AC=END OF MEMBERSHIP ON THE COMMITTEE OR THE COMMITTEE NO LONGER EXISTS, WHICHEVER IS EARLIER.	
	5907	PERMANENT IMPROVEMENTS	PM		PM		APPROVALS OF PROPOSALS. INCLUDES SPECIFICS ON WHICH ENTITY WILL PAY ONGOING EXPENSES (UTILITIES & UPKEEP); ACCEPTANCE / TRANSFER OF OWNERSHIP FROM NON-PROFIT TO STATE HOSPITAL / DSHS. (DOES NOT INCLUDE BUILDING PLANS AND MAPS WHICH GO TO HHSC FACILITY SUPPORT SERVICES-MAINTENANCE & CONSTRUCTION.)	
1.1	5901	CTS ASSIGNMENTS	2		2		(CTS=COMMUNICATION TRACKING SYSTEM) RECORD COPY OF CTS LETTER IS RESPONSIBILITY OF THE PROGRAM ASSIGNED TO WRITE THE LETTER AND THE RETENTION PERIOD IS BASED ON THE CONTENT OF THE LETTER.	
1.1.006	5910	COMPLAINTS	AC+2		AC+2		AC=FINAL DISPOSITION OF THE COMPLAINT MADE BY THE PUBLIC	
1.1.007	5911	ADMINISTRATIVE CORRESPONDENCE (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. INCLUDES SOME E-MAIL. (INCLUDES SOME ADVISORY COMMITTEE CORRESPONDENCE.)	

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ARCHIVAL CODES (Field 8)

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1.1.008	5912	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2		2		INCLUDES SOME E-MAIL. (INCLUDES ROUTINE ADVISORY COMMITTEE CORRESPONDENCE.)
1.1.013	5913	CALENDARS, APPOINTMENT AND ITINERARY RECORDS	CE+1		CE+1	R	INCLUDES CALENDARS IN OUTLOOK. ONLY THESE RECORDS OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS OR SECTION/UNIT/BRANCH MANAGERS REQUIRE ARCHIVAL REVIEW. CONTACT STATE ARCHIVES WHEN THESE RECORDS HAVE MET THEIR RETENTION PERIOD.
1.1.020	5914	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	AC+1		AC+1		(ALSO KNOWN AS OPEN RECORDS REQUESTS-FILLED.) AC=DATE REQUEST FILLED.
1.1.021	5915	PUBLIC INFORMATION REQUESTS - EXEMPTED	AC+2		AC+2		(ALSO KNOWN AS OPEN RECORDS REQUESTS-DENIED.) AC=DATE OF NOTIFICATION THAT RECORDS ARE EXEMPT.
1.1.024	5916	PLANS AND PLANNING RECORDS	AC+3		AC+3	R	(RELATING TO THE PROCESS OF PLANNING NEW OR REDEFINED PROGRAMS, SERVICES, OR PROJECTS OF AN AGENCY THAT ARE NOT INCLUDED IN OR DIRECTLY RELATED TO OTHER RECORDS SERIES IN THIS SCHEDULE.) AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING RECORDS. (DATA PROCESSING PLANNING RECORDS ARE NOT ARCHIVAL.)
1.1.057	5918	TRANSITORY INFORMATION	AC		AC		AC=PURPOSE OF RECORD HAS BEEN FULFILLED. INCLUDES TELEPHONE MESSAGE NOTIFICATIONS AND SOME E-MAIL CONTAINING ROUTINE INFORMATION USED FOR COMMUNICATION, BUT NOT FOR THE DOCUMENTATION OF A SPECIFIC AGENCY TRANSACTION

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1.1.063	5919	STAFF MEETING MINUTES AND NOTES	1		1			
1.1.065	5920	REPORTS AND STUDIES (NON-FISCAL) - RAW DATA	AV		AV			
1.1.067	5921	REPORTS AND STUDIES (NON-FISCAL)	3		3	R	IF REPORT HAS HISTORICAL RELEVANCE, DO NOT DESTROY, BUT SEND TO THE STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD. Includes quarterly and annual reports of volunteer activity for department executives & reports submitted by hospital/region/program as required by agency policy. Includes quarterly reports from hospitals pertaining to donations to VSC and annual reporting requirements. Includes Review of Advisory Committee (evaluation of Advisory Committee work; usefulness; and costs.) THESE REPORTS INCLUDE IN-KIND DONATIONS AND MONETARY DONATIONS.	
1.1.069	5922	REPORTS - ACTIVITY	1		1		(REPORTS COMPILED BY AGENCY PERSONNEL ON A DAILY OR OTHER PERIODIC BASIS PERTAINING TO WORKLOAD MONITORING, TASK COMPLETION TIMES, NUMBER OF PUBLIC CONTACTS AND SIMILAR ACTIVITIES.)	
1.1.070	5923	AGENCY 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	5924	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	5925	FORMS HISTORY FILE	AC+1		AC+1		AC=DISCONTINUANCE OF USE OF FORM.	
2.2.016	5926	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3		LA+3		Vital Record.	

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3.1	5927	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.
3.1.001	473	APPLICATIONS FOR EMPLOYMENT-NOT HIRED	2		2		APPLICATIONS FOR VOLUNTEERS WHO WERE NOT ACCEPTED.
3.1.014	5928	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.
3.1.019	5929	PERFORMANCE APPRAISALS	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.
3.3.023	5930	REIMBURSABLE ACTIVITIES, REQUESTS AND AUTHORIZATIONS TO ENGAGE IN	FE+3		FE+3		INCLUDES PARTICIPATION IN EDUCATION PROGRAMS, WORKSHOPS. TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL REQUESTS BEGINNING OCTOBER 2005.

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3.3.030	5931	TRAINING ADMINISTRATION RECORDS	US+2	US+2	(MATERIALS AND RECORDS FOR INHOUSE TRAINING OF AGENCY PERSONNEL OF POLICES AND PROCEDURES.) TRAINING MATERIAL NOT FOUND IN TRAIN OR CAPPs. (DOES NOT INCLUDE HAZARDOUS MATERIAL TRAINING RECORDS). Includes Orientation and Training for employees pertaining to volunteer and community engagement.
5.1	5904	MEMORANDUM OF UNDERSTANDING (MOU)	AC+4	AC+4	AC=EXPIRATION OF THE MOU ACCORDING TO ITS TERMS. (INCLUDES MOUs BETWEEN DSHS AND UNIVERSITIES/COLLEGES PLACING VOLUNTEERS AND BETWEEN DSHS AND VOLUNTEER SERVICE COUNCILS (VSU)).
5.1.001	4701	CONTRACTS	AC+7	AC+7	AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS.
5.3	5933	VOLUNTEER PROGRAM INSURANCE INFORMATION	3	3	INCLUDES NAME OF COMPANY, CERTIFICATE PAGES SHOWING COVERAGE AMOUNT, MOU WITH STATE OFFICE OF RISK MGMT, REQUISITION. SPREADSHEET SHOWS NUMBER OF VOLUNTEERS, TYPE OF COVERAGE, AND COST PER STATE HOSPITAL/PROGRAM.

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