

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			

105 - HEALTH POLICY AND COORDINATION UNIT								
		6740		PROGRAM IMPROVEMENT, COORDINATION AND OPTIMIZATION INCLUDING BENCHMARKING	AC+1	AC+1	AC=SUBMISSION OF REPORT	
1.1		979		AUTHORIZATION TO RELEASE CONFIDENTIAL INFORMATION (HIPAA)	AC+6	AC+6	AC=AUTHORIZATION'S EXPIRATION DATE; 45 CFR 164.530 (j) (1)-(2)	
1.1		4329		RECORD OF HIPAA-AFFECTED DISCLOSURES	AC+6	AC+6	45 CFR 164.530 (j)(1)-(2); MAY BE INCLUDED WITHIN THE MEDICAL RECORD IF THE MEDICAL RECORD WILL BE MAINTAINED FOR AT LEAST 6 YEARS AFTER THE DISCLOSURE. AC=DATE OF DISCLOSURE	
1.1		4330		OTHER HIPAA PRIVACY DOCUMENTATION (INCLUDING LETTERS, MEMOS, FORMS)	6	6	45 CFR 164.530 (j)(1)-(2)	
1.1		4332		ACCESS TO HIPAA-AFFECTED INFORMATION - DENIED	AC+6	AC+6	45 CFR 164.530 (j)(1)-(2); AC=DATE OF DENIAL OF INFORMATION	
1.1		4334		AMENDMENT AND OTHER PRIVACY-RELATED REQUESTS-HIPAA (FOR RESTRICTIONS, ALTERNATE FORMATS/LOCATIONS, ETC.) - APPROVED	AC+1	AC+1	AC=DATE RECORD AMENDED OR REQUEST FILLED.	
1.1		4618		AMENDMENT AND OTHER PRIVACY-RELATED REQUESTS-HIPAA (FOR RESTRICTIONS, ALTERNATE FORMATS/LOCATIONS, ETC.) - DENIED	AC+6	AC+6	45 CFR 164.530 (j)(1)-(2); AC=DATE OF DENIAL OF INFORMATION	
1.1		5041		HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT (HIPAA) FILES	AC+6	AC+6	A INCLUDES BREACH NOTIFICATIONS. AC=LAST DATE IN THE FILE.	
1.1.006		5460		COMPLAINTS RELATED TO PRIVACY (HIPAA)	AC+6	AC+6	45 CFR 164.530 (j)(1)-(2); AC=FINAL DISPOSITION OF COMPLAINT	

RETENTION CODES (Field 7)

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AV - As Long As Administratively Valuable	FE - Fiscal Year End	DA -Days
US -Until Superseded	PM - Permanent	LA - Life of Asset

ARCHIVAL CODES (Field 8)

A - Transfer to State Archivist
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VITAL Record (Include in Field 9)

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1.1.007	2051	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	5247	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2	2		INCLUDES SOME E-MAIL.
1.1.013	355	CALENDARS / APPOINTMENT BOOKS/ ITINERARY RECORDS	CE+1	CE+1	R	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	401	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	AC+1	AC+1		AC=DATE REQUEST IS FULFILLED; INCLUDES WRITTEN REQUESTS FOR PUBLICATIONS (TEXAS GOVT CODE 552.002)
1.1.021	1927	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2	AC+2		AC=DATE OF DENIAL OF REQUEST
1.1.024	2134	PLANS AND PLANNING RECORDS	AC+3	AC+3	R	AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS
1.1.040	5541	REPORTS, PAPERS, SPEECHES - CONFERENCES	AC	AC	R	AC=END OF TERM IN OFFICE OR TERMINATION OF SERVICE IN A STATE POSITION.

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1.1.057	2046	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.
1.1.069	2064	EMPLOYEE REPORTS	1	1			
1.1.071	916	AGENCY RULES, POLICIES AND PROCEDURES-WORKING FILES	AC+3	AC+3	R		Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.
2.2.016	5959	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3	LA+3			Vital Record.
3.1	6680	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.
3.1.006	4459	EMPLOYEE COUNSELING RECORDS	AC+3	AC+3			AC=TERMINATION OF COUNSELING. KEEP THIS RECORD SEPARATE FROM PERFORMANCE APPRAISAL.
3.1.018	5774	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	5696	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	149	POSITION JOB DESCRIPTIONS	AC+4	AC+4	Vital Record. AC=UNTIL SUPERSEDED OR JOB ELIMINATED. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.
3.1.027	7192	HIPAA TRAINING RECORDS	AC	AC	AC=5 YEARS PAST THE TERMINATION OF EMPLOYEE OR 6 YEARS PAST THE TRAINING; WHICHEVER IS LONGER. RETENTION PERIOD REQUIRED UNDER HIPAA (45 CFR SECTION 164.530(j)(1)-(2))
3.3.023	5761	REIMBURSABLE ACTIVITIES, REQUESTS AND AUTHORIZATIONS	FE+3	FE+3	INCLUDES TRAVEL, EDUCATIONAL PROGRAMS; TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL REQUESTS BEGINNING OCTOBER 2005.
4.5.006	5766	ANNUAL OPERATING BUDGETS	FE+3	FE+3	
5.1.004	5490	ADDRESS & TELEPHONE LISTINGS	US	US	

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