

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
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			

846 - PREVENTIVE AND PRIMARY CARE UNIT (FAMILY PLANNING, BREAST & CERVICAL CANCER/PRIMARY HLTH CARE/TX PRIMARY HLTH CARE/EPILEPSY)

	7165	APPLICATIONS FOR MEDICAID FOR BREAST AND CERVICAL CANCER (MBCC)	1	1			INCLUDES CONTRACTOR'S PATHOLOGY REPORT AND DSHS' FINAL PATHOLOGY DIAGNOSIS. APPLICATION AND DIAGNOSIS FORWARDED TO HHSC FOR FINAL ELIGIBILITY DETERMINATION AND CONTACT WITH CLIENT.
1.1	1150	TITLE X FAMILY PLANNING ANNUAL REPORT	5	5			Vital Record.
1.1	4527	AUTHORIZATION TO RELEASE CONFIDENTIAL INFORMATION (HIPAA)	AC+6	AC+6			AC=AUTHORIZATION'S EXPIRATION DATE; 45 CFR 164.530 (j)(1)-(2)
1.1	4535	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	4536	OTHER HIPAA PRIVACY DOCUMENTATION (INCLUDING LETTERS, MEMOS, FORMS)	6	6			45 CFR 164.530 (j)(1)-(2)
1.1	4537	ACKNOWLEDGEMENT OF RECEIPT OF PRIVACY NOTICE (HIPAA)	AC	AC			RETAINED BY DIRECT CARE PROVIDERS AS PART OF THE MEDICAL RECORD. AC=7 YRS AFTER LAST DATE OF SERVICE, OR UNTIL PATIENT'S 21ST BIRTHDAY, WHICHEVER COMES LATER
1.1	4538	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	4539	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.

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ARCHIVAL CODES (Field 8)

VITAL Record (Include in Field 9)

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1.1	4542	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	
1.1.006	4534	COMPLAINTS RELATED TO PRIVACY (HIPAA)	AC+6	AC+6		45 CFR 164.530 (j)(1)-(2); AC=FINAL DISPOSITION OF COMPLAINT	
1.1.006	4608	COMPLAINT FILES	AC+2	AC+2		AC=FINAL DISPOSITION OF COMPLAINT	
1.1.007	3844	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	3748	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2	2		INCLUDES SOME E-MAIL.	
1.1.011	3753	EXECUTIVE ORDERS	US+3	US+3	A	Vital Record.	
1.1.013	3752	DESK CALENDARS/APPOINTMENT BOOKS	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.	
1.1.014	3751	LEGAL OPINIONS AND ADVICE	AV	AV			

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1.1.020	3750	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	3749	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2	AC+2			AC=DATE OF DENIAL OF REQUEST
1.1.024	6517	PLANS AND PLANNING RECORDS	AC+3	AC+3	R		AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS.
1.1.043	3756	TRAINING MATERIALS/MANUALS	US+1	US+1			
1.1.057	3767	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.
1.1.063	3840	STAFF MEETING MINUTES	1	1			
1.1.064	3841	AGENCY PERFORMANCE MEASURES DOCUMENTATION	FE+3	FE+3			Vital Record. DOCUMENTATION OF OUTPUT, OUTCOME, EFFICIENCY AND EXPLANATORY MEASURES IN AGENCY'S APPROPRIATIONS REQUEST OR STRATEGIC PLAN & PERFORMANCE MEASURES TO MANAGE AGENCY.
1.1.070	2074	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	5723	RULES, POLICIES AND PROCEDURES-WORKING FILES	AC+3	AC+3	R		Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.

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1.3.001	5267	STATE PUBLICATIONS	AC+2	AC+2	AC=UNTIL SUPERSEDED OR OBSOLETE. WEB PUBLICATIONS ARE MADE AVAILABLE ONLINE TO PUBLIC FOR AT LEAST SIX MONTHS. 13 TAC RULE 3.4(B). THEN RETAINED TO MEET THEIR RECORDS SERIES' RETENTION PERIOD OR THE PERIOD FOR PUBLICATIONS, WHICHEVER IS LONGER. REQUIRED NUMBER OF COPIES PRINTED AT HHS PRINTING ARE SENT TO CLEARINGHOUSE. IF OUTSIDE PRINTER, PROGRAM MUST SEND REQUIRED NUMBER OF COPIES TO HHS PRINTING FOR SUBMISSION TO CLEARINGHOUSE.	
2.2.016	6967	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3	LA+3	Vital Record.	
3.1	6750	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.	
3.1.014	3776	EMPLOYMENT SELECTION RECORDS (INCLUDES APPLICATIONS FOR EMPLOYMENT-NOT HIRED)	2	2	Vital Record maintained by CAPPs only. Send all records to CAPPs. CAPPs HAS FULLY ASSUMED THIS FUNCTIONALITY AS OF SEPT 2006.	

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3.1.019	3775	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	3772	POSITION JOB DESCRIPTIONS	AC+4	AC+4	Vital Record. AC=UNTIL SUPERSEDED OR JOB ELIMINATED. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.
3.3.023	3771	REIMBURSABLE ACTIVITIES, REQUESTS AND AUTHORIZATIONS	FE+3	FE+3	TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL REQUESTS BEGINNING OCTOBER 2005.
3.4.007	3754	TIME OFF AND SICK LEAVE REQUESTS	FE+5	FE+5	BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPS.
4.5.006	1151	TITLE X GRANT INFORMATION	AC+5	AC+5	Vital Record. AC=END OF THE FISCAL YEAR IN WHICH THE GRANT CYCLE ENDS. INCLUDES BUDGET, CORRESPONDENCE, FINAL GRANT PROPOSAL, CHANGES, AND RELATED DOCUMENTATION. TEXAS IS ON A 5-YEAR GRANT CYCLE, PER 42CFR59, SO INFORMATION WOULD NEED TO BE AVAILABLE DURING THE WHOLE GRANT PERIOD.
4.7.008	7191	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).
5.1.007	7251	REQUISITIONS FOR IN-AGENCY COPY / PRINTING SERVICE	AV	AV	

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