

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			

838 - TEXAS HEALTH STEPS BRANCH								
	2390	TX TOTS PROJECT FILES	AV		AV			
	5045	EPSDT POLICY AND PROGRAM DEVELOPMENT CLIENT HISTORY FILES	FE	5	FE+5		FREW. RECORDS MAINTAINED AT AGENCY UNTIL NO LONGER ADMINISTRATIVELY VALUABLE.	06-537-530
	5046	EPSDT POLICY AND PROGRAM DEVELOPMENT CLIENT HISTORY REPORTS	FE+5		FE+5		COM. MP SYSTEM	
1.1	2393	DENTAL RECRUITMENT AND RETENTION WORK GROUP PROJECT FILES	AV		AV			
1.1	2394	DENTAL HEALTH EDUCATIONAL CURRICULUM DEVELOPMENT FILES	AV		AV		Vital Record.	
1.1	2752	CERTIFIED MEDICAID CLIENTS	AC		AC		ELECTRONIC FILES RECEIVED WEEKLY FROM HHSC; AC=SUPPLIED TO OUTREACH AND CONTRACTOR	
1.1	3639	AUTHORIZATION TO RELEASE CONFIDENTIAL INFORMATION (HIPAA)	AC+6		AC+6		AC=AUTHORIZATION'S EXPIRATION DATE; 45 CFR 164.530 (j)(1)-(2)	
1.1	3646	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	4378	OTHER HIPAA PRIVACY DOCUMENTATION (INCLUDING LETTERS, MEMOS, FORMS)	6		6		45 CFR 164.530 (j)(1)-(2)	
1.1	4379	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	

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1.1	4382	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	4383	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	5231	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	5228	COMPLAINTS RELATED TO PRIVACY (HIPAA)	AC+6	AC+6		45 CFR 164.530 (j)(1)-(2); AC=FINAL DISPOSITION OF COMPLAINT	
1.1.007	2396	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	2397	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2	2		INCLUDES SOME E-MAIL.	
1.1.010	2398	DIRECTIVES (DOCUMENTATION THAT OFFICIALLY INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.)	US+1	US+1		(INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.)	
1.1.020	2401	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	AC+1	AC+1		AC=DATE REQUEST IS FULFILLED; INCLUDES WRITTEN REQUESTS FOR PUBLICATIONS (TEXAS GOVT CODE 552.002)	

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1.1.021	2402	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2	AC+2		AC=DATE OF DENIAL OF REQUEST	
1.1.023	2403	ORGANIZATION CHARTS	US	US	A		
1.1.024	2404	PLANNING RECORDS	AC+3	AC+3	R	AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS	
1.1.027	2406	PROPOSED LEGISLATION - DRAFTS OR PROPOSED LEGISLATIVE BILLS & RELATED CORRESPONDENCE	AV	AV			
1.1.038	2408	CUSTOMER SURVEYS	AC	AC		AC=FINAL DISPOSITION OF SUMMARY REPORT. (SURVEYS CANNOT BE DESTROYED UNTIL SUMMARY REPORT HAS BEEN SENT TO STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.) SEE 1.1.067 FOR SUMMARY REPORTS COMPILED FROM CUSTOMER SURVEYS.	
1.1.040	2409	SPEECHES	AC	AC	R	AC=END OF TERM IN OFFICE OR TERMINATION OF SERVICE IN A STATE POSITION.	
1.1.043	2410	TRAINING MATERIALS	US+1	US+1			
1.1.048	2412	DENTAL STUDIES LITIGATION FILES	AC+1	AC+1	R	AC=AS APPLICABLE, DECISION OF AN AGENCY NOT TO FILE A LAWSUIT OR DECISION THAT A LAWSUIT WILL NOT BE FILED AGAINST IT ON A MATTER; DISMISSAL OF A LAWSUIT FOR WANT OF PROSECUTION OR ON MOTION OF THE PLAINTIFF; OR FINAL DECISION OF A COURT IN A LAWSUIT	

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1.1.048	4152	LITIGATION FILES	AC+1	AC+1	R	AC=AS APPLICABLE, DECISION OF AN AGENCY NOT TO FILE A LAWSUIT OR DECISION THAT A LAWSUIT WILL NOT BE FILED AGAINST IT ON A MATTER; DISMISSAL OF A LAWSUIT FOR WANT OF PROSECUTION OR ON MOTION OF THE PLAINTIFF; OR FINAL DECISION OF A COURT IN A LAWSUIT
1.1.057	2392	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.
1.1.058	2399	MEETING AGENDA - STATE BOARD, COMMITTEES, & COMMISSIONS	PM	PM	A	
1.1.063	2400	MEETING MINUTES/NOTES	1	1		
1.1.064	2753	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.
1.1.069	4168	REPORTS - ACTIVITY	1	1		
1.1.070	2405	POLICIES & PROCEDURES - INTERNAL PUBLICATIONS WHICH OUTLINE THE ORGANIZATION'S POLICIES & PROCEDURES - FINAL	AC+3	AC+3	R	Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.
1.1.071	5716	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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1.3.002	2407	PUBLICATION FILES	US	US	R			
2.2.016	6965	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3	LA+3		Vital Record.		
3.1	6747	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.		
3.1.023	2419	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	2411	TRAVEL AUTHORIZATION REQUESTS	FE+3	FE+3		TRAVEL OFFICE ASSUMED RETENTION OF THIS RECORD BEGINNING OCTOBER 2005.		
3.3.023	2430	EDUCATION ASSISTANCE, REQUESTS FOR	FE+3	FE+3				
3.3.026	2429	EMPLOYEE LISTINGS	US+3	US+3				
3.4.004	2432	OVERTIME AUTHORIZATION	FE+5	FE+5		BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPs.		
3.4.007	2434	TIME OFF AND/OR SICK LEAVE REQUESTS	FE+1	4	FE+5	BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPs.		

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4.1.004	2435	ENCUMBRANCE DETAIL	FE+3		FE+3			
4.2	6828	MEDICAID FISCAL RECORDS	1MO	19Y11M	20		FREW. MICROFICHE	09-537-551 (microfiche)
4.5	2436	BUDGET FILES	FE+3		FE+3			
4.5.002	2438	CCP FILES	FE+3		FE+3			
5.1.003	3266	RETURNED MAIL RECEIPTS	2		2			
5.1.004	1886	EPSDT - COUNTY & REGION LIST	US		US		PREVIOUSLY MAINTAINED BY IMMUNIZATION. EPSDT=EARLY PERIODIC SCREENING DETECTION TEST	
5.1.004	2395	ADDRESS AND TELEPHONE LISTINGS	US		US			
5.1.004	4108	MAILING LISTS	US		US			
5.1.007	4109	REQUISITION FOR IN-AGENCY /INTER-AGENCY COPY/PRINTING SERVICE	AV		AV			
5.1.015	4110	CORRESPONDENCE TRACKING RECORDS	1		1			
5.2.016	4111	PROPERTY TRANSFER FORMS	AC		AC		AC=TRANSFER OF INFORMATION INTO ANNUAL LISTING	
5.2.017	4112	LOST AND STOLEN PROPERTY REPORTS	FE+3		FE+3			
5.5.002	4113	LONG DISTANCE TELEPHONE LOG	AV		AV			

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