

**APPROVED 11/2/2006**

State of Texas  
Records Retention Schedule

Automated Facsimile of SLR-105

2. AGENCY CODE: 537

3. AGENCY: TEXAS DEPARTMENT OF STATE HEALTH SERVICES

ORIGINAL SUBMISSION

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4. Records

7. RETENTION PERIOD

Series Item #	5. Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.
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126 - BUDGET AND FORECASTING UNIT

1.1.002	864	AUDITS	AC+7		AC+7		AC=PUBLICATION OR RELEASE OF FINAL AUDIT FINDINGS. THE RECORD COPY OF ANY AUDIT PERFORMED BY THE STATE AUDITOR'S OFFICE IS RETAINED PERMANENTLY BY THE AGENCY.	
1.1.002	1274	AUDITS (MAC COMPLIANCE REVIEWS)	6Y3MO		6Y3MO		RETENTION REQUIRED BY FEDERAL MEDICAID LAW.	
1.1.004	832	LEGISLATIVE APPROPRIATIONS REQUESTS	AC+6		AC+6	A	AC=SEPT 1 OF ODD-NUMBERED CALENDAR YEAR. ONLY COPIES OF SUPPORTING DOCUMENT SUBMITTED TO THE LEGISLATIVE BUDGET BOARD ARE ARCHIVAL.	
1.1.004	1090	LEGISLATIVE APPROPRIATION REQUESTS (TCADA)	AC+1	5	AC+6	A	AC=SEPTEMBER 1 OF ODD-NUMBERED CALENDAR YEARS. ONLY COPIES OF SUPPORTING DOCUMENT SUBMITTED TO THE LEGISLATIVE BUDGET BOARD ARE ARCHIVAL. (REMOVE FROM RETENTION SCHEDULE WHEN RECORDS ARE SENT TO STATE ARCHIVES APPROXIMATELY 9/1/11)	
1.1.007	826	ADMINISTRATIVE CORRESPONDENCE	3		3	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	850	CORRESPONDENCE, GENERAL	1		1		INCLUDES SOME E-MAIL.	
1.1.010	1275	DIRECTIVES	US+1		US+1		(INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.)	
1.1.013	2895	DESK CALENDARS/APPOINTMENT BOOKS	CE+1		CE+1	R	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	873	LEGAL OPINIONS	AV		AV	R		

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126 - BUDGET AND FORECASTING UNIT

1.1.020	2898	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	2901	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2		AC+2		AC=DATE OF DENIAL	
1.1.023	2909	ORGANIZATION CHARTS	US		US	A		
1.1.024	2910	PLANS AND PLANNING RECORDS	AC+3		AC+3	R	AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS	
1.1.027	2911	PROPOSED LEGISLATION	AV		AV			
1.1.038	2912	CUSTOMER SURVEYS	AC+3		AC+3		SEE ITEM NUMBER 1.1.067 FOR SUMMARY REPORTS COMPILED FROM CUSTOMER SURVEYS.	
1.1.043	2913	TRAINING MATERIALS	US+1		US+1			
1.1.057	1009	TRANSITORY INFORMATION	AC		AC		AC=PURPOSE OF RECORD HAS BEEN FULFILLED.	
1.1.063	2915	STAFF MEETING MINUTES	1		1			
1.1.064	2918	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.	
1.1.067	5536	REPORTS & STUDIES (NON-FISCAL)	3		3	R	ALL ADMINISTRATIVE REPORTS ARE PRODUCED ELECTRONICALLY AND ARE PRINTED AS NEEDED. IF REPORT HAS HISTORICAL RELEVANCE, DO NOT DESTROY REPORT BUT SEND IT TO THE STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.	
1.1.068	855	REPORTS - REPORTS ON PERFORMANCE MEASURES	AC+6		AC+6		AC=SEPTEMBER 1 OF ODD-NUMBERED CALENDAR YEARS	

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Series Item # 5. Agency Item #

6. Records Series Title

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Agency Storage Total 8. Archival 9. Remarks

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126 - BUDGET AND FORECASTING UNIT

Series Item #	Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks
1.1.074	849	SUNSET ADVISORY REPORT AND DOCUMENTATION	AC+3		AC+3		AC=AFTER THE SUBSEQUENT SUNSET REVIEW.
2.2.004	875	COMPUTER JOB SCHEDULES & REPORTS	3 MO		3 MO		
3.1	6689	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 AccessHR 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	1089	APPLICATIONS FOR EMPLOYMENT - NOT HIRED	2		2		MAY CONTAIN CONFIDENTIAL INFORMATION. AccessHR ASSUMED THIS FUNCTIONALITY IN MAY 2005.
3.1.014	1162	EMPLOYMENT SELECTION NOTES	2		2		Vital Record. MAY CONTAIN CONFIDENTIAL DATA. AccessHR PARTIALLY ASSUMED THIS FUNCTIONALITY IN MAY 2005.
3.1.018	853	GRIEVANCE RECORDS	AC+2		AC+2		Vital Record. AC=FINAL DECISION ON THE GRIEVANCE
3.1.019	1233	PEFORMANCE APPRAISALS/JOURNALS	2		2		MAY CONTAIN CONFIDENTIAL INFORMATION SUCH AS MEDICAL INFORMATION, SOCIAL SECURITY NUMBER, OR OTHER DATA PROTECTED BY THE PRIVACY DOCTRINE. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.
3.1.020	1206	PERSONNEL CORRECTIVE ACTION DOCUMENTATION/PERFORMANCE ADVISEMENT FORMS	AC+5		AC+5		MAY CONTAIN CONFIDENTIAL INFORMATION. AC=TERMINATION OF CORRECTIVE ACTION
3.1.021	2919	PERSONNEL DISCIPLINARY ACTION DOCUMENTATION	AC+5		AC+5		Vital Record. AC=TERMINATION OF EMPLOYMENT

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126 - BUDGET AND FORECASTING UNIT								
3.1.023	2924	POSITION JOB DESCRIPTIONS	AC+4		AC+4		Vital Record. AC=UNTIL SUPERCEDED OR JOB ELIMINATED. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.	
3.1.027	2932	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS (INDIVIDUAL)	AC+6		AC+6		AC=TERMINATION OF EMPLOYMENT. EXTENDED RETENTION PERIOD REQUIRED UNDER HIPAA (45 CFR SECTION 164.530(j)(1)-(2))	
3.1.037	2934	EMPLOYEE RECOGNITION RECORDS	AC+5		AC+5		AC=TERMINATION OF EMPLOYMENT; FORWARD PRINTED COPY TO HHS MANAGER FOR HUMAN RESOURCE RECORDS FOR EMPLOYEE MASTER PERSONNEL FILE.	
3.4.002	2939	LEAVE STATUS REPORTS	FE+3		FE+3		Vital Record. BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.	
3.4.004	4985	OVERTIME AUTHORIZATION	2		2		BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.	
3.4.007	830	DAILY ABSENCE REPORTS	FE+3		FE+3		BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.	
3.4.007	2940	TIME OFF AND/OR SICK LEAVE REQUESTS	FE+3		FE+3		BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.	
4.1.007	3215	TRANSFERS OR BUDGET REVISIONS	FE	3	FE+3			07-537-542
4.2.005	2947	PURCHASE VOUCHERS	FE	3	FE+3			07-537-541
4.5.001	825	WORKSHEETS FOR PREPARING FISCAL REPORTS (INCLUDING DECODE UPDATES AND BUDGET REVISIONS)	FE+3		FE+3			

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4.5.002	827	INTERNAL FISCAL MANAGEMENT REPORTS	FE+3		FE+3		INCLUDES ANNUAL FEE RESOURCES MANUAL; MONTHLY: BUDGET RUNS, CAPITAL REPORT, CASH ACTIVITY FEE REPORT, EARNED FEDERAL FUNDS REPORT, FEDERAL FUNDS REPORT, SALARY SAVINGS REPORT, SUMMARY OF AVAILABLE FUNDING; QUARTERLY STRATEGIC FINANCIAL ISSUES REPORT; SUPPLEMENTAL SUMMARY OF AVAILABLE FUNDING - PRIOR YEAR; TRANSFERS FOR BOARD OF HEALTH APPROVAL
4.5.002	1157	INTERNAL FISCAL MANAGEMENT REPORTS-MONTHLY VARIANCE REPORTS	FE+1	2	FE+3		(REMOVE FROM SCHEDULE AFTER DESTROYED APPROXIMATELY 9/1/07)
4.5.003	4452	ANNUAL FINANCIAL REPORT REQUIRED BY THE GENERAL APPROPRIATIONS ACT	AC	6	AC+6		AC=SEPTEMBER 1 OF ODD-NUMBERED CALENDAR YEARS. 05-537-357
4.5.005	838	EXTERNAL FISCAL REPORTS	FE+3		FE+3		INCLUDES ANNUAL BENEFITS PROPORTIONAL BY FUND REPORT, ANNUAL UPDATE TO TPFA, FTE STATE EMPLOYEE QUARTERLY REPORT, MONTHLY FINANCIAL REPORT, QUARTERLY ABEST/USAS RECONCILIATION, ANNUAL PERFORMANCE FOR LICENSING ENTITIES
4.5.005	848	EXTERNAL FISCAL REPORTS (MEDICAID)	6Y3MO		6Y3MO		INCLUDES QUARTERLY HCFA-21 REPORT, QUARTERLY HCFA-64 REPORT; RETENTION PERIOD IS REQUIRED BY FEDERAL MEDICAID LAW
4.5.005	1178	EXTERNAL FISCAL REPORTS (OPERATING REPORT, MONTHLY FINANCIAL REPORTS) (TCADA)	FE+1	2	FE+3		(MAY REMOVE FROM SCHEDULE AFTER DESTROYED APPROXIMATELY 9/1/07 OR INTEGRATED IN DSHS RECORDS, WHICHEVER OCCURS FIRST)
4.5.006	2941	ANNUAL OPERATING BUDGETS	FE+3		FE+3		(INCLUDES TCADA BUDGET ENTRY DOCUMENTS, BOTH USAS & SOURCE WORKPAPERS; ALLOCATION OF APPROPRIATIONS AND SUBSEQUENT REVISIONS)
4.6.001	5549	BALANCING RECORDS (REMITTANCE AND STATUS REPORTS - WIC AND NHIC STAR)	FE+5		FE+5		RETENTION BASED ON NHIC REQUIREMENTS.

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4.6.002	1228	RECONCILIATIONS - MONTHLY REVENUE RECONCILIATION (TCADA)	FE+1	2	FE+3		(MAY REMOVE FROM SCHEDULE AFTER DESTROYED APPROXIMATELY 9/1/07 OR INTEGRATED IN DSHS RECORDS, WHICHEVER OCCURS FIRST)	
4.7.010	2943	LONG-TERM LIABILITY RECORDS (BONDS, ETC.)	AC+3		AC+3		Vital Record. AC=RETIREMENT OF DEBT	
5.1.016	5507	TELEPHONE MESSAGE NOTIFICATIONS	1		1		INCLUDES E-MAILS, PHONE MESSAGE BOOKS AND SLIPS, ETC.	
5.2.002	2944	BUILDING CONSTRUCTION PROJECT FILES	AC+10		AC+10	R	Vital Record. AC=COMPLETION OF PROJECT	
5.3	4397	PROCUREMENT CARD PURCHASES SUPPORTING DOCUMENTATION	FE+4		FE+4			
5.4.012	2945	SECURITY ACCESS RECORDS	AC+2		AC+2		Vital Record. AC=UNTIL SUPERSEDED, DATE OF EXPIRATION, OR DATE OF TERMINATION, WHICHEVER IS SOONER.	

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