

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

Agency Storage Total 8. Archival 9. Remarks

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830 - INFORMATION TECHNOLOGY SECTION									
Series Item #	Agency Item #	Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.	
		4575 INTRANET PUBLICATIONS	AV		AV				
1.1	3	SERVER REPORTS (LINKBOT)	US/AC		US/AC		AC=PROBLEM IS SOLVED		
1.1	5	LOG FILE REPORTS	AV		AV				
1.1	835	REFERENCE FILES	AV		AV				
1.1	854	E-GOVERNMENT PROJECT FILES	AV		AV				
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	1809	INTERNET APPLICATION FORMS	US		US				
1.1	2095	PEOPLESOFT FILES/RECORDS	4		4	A	Vital Record.		
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		

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1.1	5041	HEALTH INSURANCE PORTABILITY AND ACCOUNTABILITY ACT (HIPAA) FILES	AC+6		AC+6	A	
1.1	5738	TOTAL QUALITY MANAGEMENT INFO (TWICES)	US		US		
1.1.002	61	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.
1.1.004	1597	LEGISLATIVE APPROPRIATION REQUEST	AC+6		AC+6	A	AC=SEPTEMBER 1 OF ODD-NUMBERED CALENDAR YEARS. ONLY COPIES OF SUPPORTING DOCUMENT SUBMITTED TO THE LEGISLATIVE BUDGET BOARD ARE ARCHIVAL.
1.1.006	3459	COMPLAINT FILES (TWICES)	AC+2		AC+2		AC=FINAL DISPOSITION OF COMPLAINT
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
1.1.007	898	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.)	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	899	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	1		1		INCLUDES SOME E-MAIL.
1.1.010	1602	DIRECTIVES (DOCUMENTATION THAT OFFICIALLY INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.)	US+1		US+1		(INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.)

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1.1.013	1605	CALENDARS, APPOINTMENT, AND 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.
1.1.014	837	LEGAL OPINIONS & ADVICE: OFFICE OF GENERAL COUNSEL/ATTORNEY GENERAL'S OFFICE	AV		AV	R	
1.1.020	67	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	5148	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2		AC+2		AC=DATE OF DENIAL OF REQUEST.
1.1.023	1606	ORGANIZATION CHARTS	US		US	A	
1.1.024	1607	PLANS AND PLANNING RECORDS	AC+3		AC+3	R	Vital Record. DATA PROCESSING PLANNING RECORDS ARE NOT ARCHIVAL. AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS
1.1.038	1618	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.
1.1.043	1620	TRAINING MATERIALS	US+1		US+1		
1.1.048	5781	LITIGATION FILES	AC+1		AC+1	R	
1.1.055	77	INFORMATION RESOURCES STRATEGIC PLAN	AC+6		AC+6	A	AC=SEPT 1 OF ODD-NUMBERED CALENDAR YEARS. ARCHIVAL REQUIREMENT MET BY SENDING REQUIRED COPIES OF COMPLETED AGENCY PLAN TO TEXAS STATE DEPOSITORY PROGRAM.

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1.1.055	1466	BIENNIAL OPERATING PLAN FILES		AC+6	AC+6	A	AC=SEPT 1 OF ODD-NUMBERED CALENDAR YEARS. ARCHIVAL REQUIREMENT MET BY SENDING REQUIRED COPIES OF COMPLETED AGENCY PLAN TO TEXAS STATE DEPOSITORY PROGRAM.	
1.1.055	1487	E-TEXAS FILES		AC+6	AC+6	A		
1.1.055	6731	INFORMATION TECHNOLOGY DETAIL		AC+6	AC+6	A	AC=SEPT 1 OF ODD-NUMBERED CALENDAR YEARS. ARCHIVAL REQUIREMENT MET BY SENDING STRATEGIC PLAN TO TEXAS STATE PUBLICATIONS DEPOSITORY PROGRAM.	
1.1.057	904	TRANSITORY INFORMATION		AC	AC		AC=PURPOSE OF RECORD HAS BEEN FULFILLED. INCLUDES CHAT ROOM CORRESPONDENCE, SOME OF WHICH MAY CONTAIN CONFIDENTIAL INFORMATION; AC=PURPOSE OF RECORD HAS BEEN FULFILLED. ALSO 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	901	STAFF MEETING MINUTES AND NOTES		1	1			
1.1.065	1616	REPORTS AND STUDIES (NON-FISCAL) - RAW DATA		AV	AV			
1.1.066	1614	REPORTS - BIENNIAL OR ANNUAL AGENCY (NARRATIVE)		AC+6	AC+6	A	ARCHIVAL REQUIREMENT MET BY SENDING REPORT TO TEXAS STATE PUBLICATIONS DEPOSITORY PROGRAM.	
1.1.067	1613	REPORTS & STUDIES (NON-FISCAL)		3	3	R	IF REPORT HAS HISTORICAL RELEVANCE, DO NOT DESTROY REPORT BUT SEND IT TO THE STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.	
1.1.067	5744	REPORTS-CONSULTANTS & COMMITTEES (TWICES)		3	3	R	IF REPORT HAS HISTORICAL RELEVANCE, DO NOT DESTROY REPORT BUT SEND IT TO THE STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.	

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1.1.069	1615	REPORTS - EMPLOYEE	1		1			
1.1.070	1609	AGENCY RULES, POLICIES & PROCEDURES - FINAL	AC+3		AC+3	R	Vital Record. INCLUDES DIVISION ADMINISTRATIVE HANDBOOK & TWICES POLICIES AND PROCEDURES MANUAL. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.	
1.1.071	5736	AGENCY RULES, POLICIES & PROCEDURES - WORKING FILES	AC+3		AC+3	R	Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.	
1.2.012	69	RECORDS INVENTORY WORKSHEET	US		US			
1.3.001	5779	WEB PUBLICATIONS	AC+2		AC+2		AC=UNTIL SUPERCEDED OR OBSOLETE. IF ITEM REMOVED FROM WEB PRIOR TO TWO-YEAR RETENTION, IT IS TRANSFERRED TO THE AGENCY'S OR DIVISION'S WEB ARCHIVE SITE UNTIL RETENTION PERIOD HAS BEEN MET. IF ITEM FALLS WITHIN ANOTHER RECORDS SERIES AND THAT RECORDS SERIES HAS LONGER THAN A TWO-YEAR RETENTION, THE PUBLICATION IS RETAINED IN AT LEAST ONE FORMAT UNTIL THE LONGER RETENTION PERIOD HAS BEEN MET.	
1.3.002	5776	WEBSITE DEVELOPMENT FILES	AV		AV	R	AV=PUBLICATION ON THE WEBSITE	
2.0	2955	E-MAIL SERVER BACK-UP TAPES	AV		AV		AV=USUALLY KEPT FOR AT LEAST SIX WEEKS, BUT NO LONGER THAN ONE YEAR, AND THEN REUSED.	
2.0	5118	FILE SERVER BACK-UP TAPES	AC		AC		AC=6 MONTHS, EXCEPT FOR THE FIRST WEEK OF EACH MONTH, JAN-AUG AND OCT-DEC, WHICH ARE RETAINED 15 MONTHS; THE FIRST WEEK IN SEPTEMBER TAPES ARE RETAINED 5 YEARS. MAY CONTAIN CONFIDENTIAL INFORMATION.	

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2.1.001	4976	DATA ENTRY ACCOUNTS AND PROGRAMS/AUTOMATED FILES, PROCESSING FILES, DATA ENTRY DOCUMENTS AND NOTES	AC		AC			Vital Record. AC=COMPLETION OF 3RD VERIFICATION CYCLE, OR AUDIT COMPLETION CONFIRMING SUCCESSFUL TRANSACTION PROCESSING, OR REQUIRED AUDIT TRAIL MAINTENANCE, OR THE ABILITY OT RESTORE OR MIGRATE WHEN ERRORS ARE DETECTED OR WHEN HARDWARE OR SOFTWARE CHANGES OCCUR.
2.1.002	4951	MASTER FILES - AUTOMATED FILES	AC		AC			Vital Record. AC=COMPLETION OF 3RD VERIFICATION CYCLE, OR AUDIT COMPLETION CONFIRMING SUCCESSFUL TRANSACTION PROCESSING, OR REQUIRED AUDIT TRAIL MAINTENANCE, OR THE ABILITY OT RESTORE OR MIGRATE WHEN ERRORS ARE DETECTED OR WHEN HARDWARE OR SOFTWARE CHANGES OCCUR. FOLLOW RETENTION PERIOD APPROVED FOR THE EQUIVALENT TYPE OF TEXTUAL RECORD
2.1.007	70	SOFTWARE PROGRAM AND JOB CONTROL LANGUAGE	AC		AC			Vital Record. AC=UNTIL ELECTRONIC RECORDS ARE TRANSFERRED TO AND MADE USABLE IN A NEW SOFTWARE ENVIRONMENT OR THERE ARE NO ELECTRONIC RECORDS BEING RETAINED TO MEET AN APPROVED RETENTION PERIOD THAT REQUIRE THE SOFTWARE TO BE RETRIEVED AND READ. 13 TAC 6.94
2.1.008	1820	HARDWARE DOCUMENTATION	AC		AC			Vital Record. AC=UNTIL ELECTRONIC RECORDS ARE TRANSFERRED TO AND MADE USABLE IN A NEW HARDWARE OR THERE ARE NO ELECTRONIC RECORDS BEING RETAINED TO MEET AN APPROVED RETENTION PERIOD THAT REQUIRE THE HARDWARE TO BE RETRIEVED AND READ.
2.1.009	4117	TECHNICAL DOCUMENTATION	AC		AC			Vital Record. AC=UNTIL ELECTRONIC RECORDS ARE TRANSFERRED TO AND MADE USABLE IN A NEW HARDWARE OR SOFTWARE WITH NEW DOCUMENTATION OR THERE ARE NO ELECTRONIC RECORDS BEING RETAINED TO MEET AN APPROVED RETENTION PERIOD THAT REQUIRE THE DOCUMENTATION TO BE RETRIEVED AND READ.

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2.2.001	71	SYSTEM MONITORING RECORDS	AV		AV		
2.2.002	72	COMPUTER UTILIZATION RECORDS	FE+3		FE+3		
2.2.004	75	COMPUTER JOB SCHEDULES AND REPORTS	3 MO		3 MO		WILL BE RETAINED AT LEAST 3 MONTHS.
2.2.011	287	DATA ENTRY BATCH CONTROL RECORDS	AC		AC		AC=WHEN RECONCILIATION CONFIRMED.
2.2.013	6023	QUALITY ASSURANCE RECORDS	AC		AC		AC=NO LONGER NEEDED AS AN AUDIT TRAIL FOR ANY RECORDS MODIFIED.
2.2.016	48	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3		LA+3		Vital Record.
3.1	6746	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 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	909	APPLICATIONS FOR PERMANENT EMPLOYMENT- NOT HIRED	2		2		CONTAINS SOME CONFIDENTIAL INFORMATION. AccessHR ASSUMED THIS FUNCTIONALITY IN MAY 2005.
3.1.012	290	IT RECRUITMENT	2		2		
3.1.014	5025	EMPLOYMENT SELECTIONS - INCLUDES INTERVIEW NOTES & DOCUMENTATION OF SELECTION PROCESS	2		2		Vital Record. MAY CONTAIN CONFIDENTIAL DATA. AccessHR PARTIALLY ASSUMED THIS FUNCTIONALITY IN MAY 2005.
3.1.018	1627	GRIEVANCE RECORDS	AC+2		AC+2		Vital Record. MAY CONTAIN SOME CONFIDENTIAL INFORMATION / AC=FINAL DECISION ON GRIEVANCE

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3.1.019	902	PEFORMANCE APPRAISALS/JOURNALS	2		2		MAY CONTAIN SOME CONFIDENTIAL INFORMATION SUCH AS MEDICAL INFORMATION, SOCIAL SECURITY NUMBER, OR OTHER DATA PROTECTED BY THE PRIVACY DOCTRINE. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.	
3.1.023	903	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	292	TRAINING PORTFOLIOS AND CERTIFICATES	AC+6		AC+6		EXTENDED RETENTION PERIOD REQUIRED UNDER HIPAA (45 CFR SECTION 164.530(j)(1)-(2))	
3.1.037	1635	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.	
3.2	1568	EMPLOYEE DATA INFORMATION	FE+5		FE+5		REF# H216	
3.2	1593	PAYROLL WARRANT LISTS	1		1			
3.2	4203	PAYROLL WARRANT LISTS (TWICES)	1		1			
3.3	4202	TRAINING SUPPORT DOCUMENTATION (TWICES)	AC+2		AC+2		AC=COMPLETION OF CLASS	
3.3.020	1634	WORK SCHEDULES & ASSIGNMENTS	1		1			
3.3.023	1622	TRAVEL AUTHORIZATION REQUESTS	FE+3		FE+3		TRAVEL OFFICE ASSUMED RETENTION OF THIS RECORD BEGINNING OCTOBER 2005.	
3.3.025	1591	IT ADMINISTRATIVE HANDBOOK	US+3		US+3			
3.3.027	1623	APTITUDE & SKILLS TESTS	US+2		US+2			
3.4	1564	TIME ACCOUNTING	FE+5		FE+5		REF# H214	

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3.4	1569	EMPLOYEE LEAVE INFORMATION	FE+5		FE+5		REF# H229			
3.4.002	1636	LEAVE STATUS REPORTS	FE+3		FE+3		Vital Record. BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.			
3.4.003	1637	LESS THAN FULL TIME WORKED REPORTS	4		4					
3.4.004	1638	OVERTIME AUTHORIZATIONS	2		2		BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.			
3.4.005	294	OVERTIME WORK LOG	2		2					
3.4.006	5026	TIME CARDS & TIME SHEETS	4		4		40 TAC815.106(i); BEGINNING OCT 2005, TIME SHEETS SENT TO RECORDS MANAGEMENT OFFICER FOR RETENTION.			
3.4.007	5027	TIME OFF AND/OR SICK LEAVE REQUESTS/DAILY ABSENCE REPORTS	FE+3		FE+3		BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.			
3.4.008	6910	SICK LEAVE POOL DOCUMENTATION	FE+3		FE+3					
4.2.004	4206	OFFICE SUPPLY REQUESTS/RECEIVING (TWICES)	FE+3		FE+3					
4.2.004	4207	ENCUMBRANCE VOUCHERS (TWICES)	FE+3		FE+3		CONVENIENCE COPY			
4.4	3691	PROGRAM BILLING REPORTS	FE+3		FE+3					
4.5	4209	BUDGET REVISIONS/INFO (TWICES)	FE+3		FE+3					
4.5.006	1562	ANNUAL OPERATING BUDGETS	FE+3		FE+3		REF# H213			
5.1.001	1567	GRANTS CONTRACT DATA	AC+4		AC+4		Vital Record. REF# H206			
5.1.007	4210	REQUISITION FOR IN-AGENCY /INTER-AGENCY COPY/PRINTING SERVICE	AV		AV					

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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
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10. 106 No.

830 - INFORMATION TECHNOLOGY SECTION

5.2.004	66	SPACE MANAGEMENT REQUESTS			1		
5.2.008	74	COMPUTER HARDWARE MAINTENANCE RECORDS	LA+3		LA+3		
5.2.009	1587	INVENTORY TRANSFERS	FE+3		FE+3		CONVENIENCE COPY
5.2.010	5092	SCANNER PROGRAMMING GUIDE/EQUIPMENT MANUALS	LA		LA		
5.3	3674	PROCUREMENT CARD PURCHASES SUPPORTING DOCUMENTATION	FE+4		FE+4		
5.3.007	4213	BID DOCUMENTATION (TWICES)	FE+3		FE+3		
5.3.008	1639	BUDGET/PURCHASING RECORDS/LOGS	FE+3		FE+3		
5.4.012	81	SECURITY CLEARANCES	AC+2		AC+2		Vital Record.
5.4.013	68	DISASTER PREPAREDNESS AND RECOVERY PLAN	US		US		Vital Record.
5.5.004	1858	SYSTEM ACTIVITY REPORTS	AV		AV		

RETENTION CODES (Field 7)

AC - After Closed, Terminated, Completed, Expired, Settled

AV - As Long As Administratively Valuable

CE - Calendar Year End
FE - Fiscal Year End
LA - Life of Asset

MO - Months
PM - Permanent
US - Until Superseded

ARCHIVAL CODES (Field 8)

VITAL Record (Include in Field 9)

A - Transfer to State Archivist
R - Review by State Archivist
E - Exempt from sending