

APPROVED 10/19/2007

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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305 - LABORATORY SERVICES

325		QUALITY ASSURANCE (INFANTS)	3 MO	20Y9MO	21		DSHS IS REQUIRED TO MAINTAIN NEWBORN SCREENING RESULTS UNTIL CHILD REACHES ITS AGE OF MAJORITY. NEWBORN SCREENING INSTRUMENT MAINTENANCE & QC; REAGENT QC TEST LOGS; QA LOGS,	05-537-015
326		QUALITY ASSURANCE (PATIENTS)	1	20	21		TO MEET THE RECOMMENDATIONS OF THE TEXAS MEDICAL EXAMINER'S OFFICE. LEAD QA/QC; QC RECORDS FOR PATIENT TESTING & QA RECORDS	05-537-014
327		QUALITY ASSURANCE (WATER)	1	11	12		TO MEET EPA REQUIREMENTS.	05-537-050
330		REPORTS (INFANTS)	1 MO	20Y11M	21		SEE AGENCY ITEM #325	05-537-047
331		REPORTS (PATIENTS)	1 MO	20Y11M	21			05-537-038
333		WORKSHEETS (ASBESTOS)	2	28	30		EPA REQUIRES ASBESTOS RECORDS BE RETAINED 30 YEARS	
334		WORKSHEETS (INFANTS)	3 MO	20Y9MO	21		SEE ITEM #325. NEWBORN SCREENING WORKLIST & BATCH RESULTS MAILERS MCH FAXES; HIV WORKSHEETS	05-537-016
335		WORKSHEETS (PATIENTS)	3 MO	20Y 9M	21		SEE ITEM #326. SPECIAL CHEM, HG TYPES INSTRUMENT TAPE QA/QC FINALE WORKLIST (TYPE/CHEMISTRY); PRELIMINARY WORK	05-537-069
336		WORKSHEETS (WATER)	6 MO	11Y6MO	12		SEE ITEM #327. CONTAINS RAW DATA FROM ANALYSIS, SUPPORTING DATA AS DETERMINED BY GROUP SUPERVISOR, QA OFFICER/BRANCH MANAGER.	05-537-124
887		TOTAL HEMOGLOBIN WORKSHEETS	3 MO	20Y9MO	21		INSTRUMENT PRINTOUTS	05-537-221
1215		HAZARDOUS WASTE	3		3		40 CFR PART 262.40	
1216		INFECTIOUS WASTE	3		3		30 TAC 330.1004	

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305 - LABORATORY SERVICES

1219	INDUSTRIAL WASTE DISCHARGE PERMIT	3		3		CITY OF AUSTIN INDUSTRIAL WASTE DISCHARGE PERMIT PART II, STANDARDS CONDITIONS, C-RECORDS RETENTION	
1230	WORKSHEETS (NON-HUMAN)	1	4	5		NON-HUMAN WORKSHEETS (I.E., MOSQUITOS, ETC.)	05-537-337
1231	QC & QA RECORDS	1	4	5		NON-HUMAN QC RECORDS (I.E., MOSQUITOS, ETC.)	05-537-338
1237	REPORTS (MILK)	2	3	5		EPA CERTIFICATION OF MILK LABORATORIES	
1834	REPORTS (WATER-MICRO)	3	9	12		EPA CERTIFICATION OF WATER LABORATORIES	05-537-039
1835	REPORTS (WATER-ENVIRONMENTAL)	1	11	12		COPIES OF FINAL ANALYSIS REPORTS ISSUED.	05-537-137
2549	TB SUBMITTER FORMS (PATIENTS)	3 MO	6Y1MO	6Y4MO			05-537-324
4430	DEMOGRAPHIC FINAL WORKSHEETS	2 MO	1Y10MO	2		Vital Record. CLIA REQUIREMENTS IN 42 CFR 493.1107	05-537-353
5465	WORKSHEETS (BLOOD LEADS)	3 MO	20Y9MO	21		COMPUTER PRINTOUTS FINAL WORKSHEETS	05-537-184
5898	WORKSHEETS (LEAD COPPER)	6 MOS	11Y6MO	12		SEE ITEM #327. CONTAINS RAW DATA FROM ANALYSIS, SUPPORTING DATA AS DETERMINED BY GROUP SUPERVISOR, QA OFFICER/BRANCH MANAGER. TO MEET EPA REQUIREMENTS.	06-537-522
5899	REPORTS (LEAD COPPER)	6 MOS	11Y6MO	12		COPIES OF FINAL ANALYSIS REPORTS AND SUBMISSION FORMS ISSUED. TO MEET EPA REQUIREMENT.	06-537-521
6816	NBS SUPPLY ORDER	6 MO	1YR6MO	2		NBS COLLECTION KITS REQUESTS. SAVE FOR SUBMITTERS' INQUIRIES.	
1.1	272 CORRESPONDENCE, (INFANTS)	2	19	21		LETTERS	05-537-072
1.1	273 CORRESPONDENCE, (PATIENTS)	5		5		LETTERS	

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4. Records Series		7. RETENTION PERIOD					10. 106 No.	
Series Item #	5. Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	
305 - LABORATORY SERVICES								
1.1	930	REFERENCE FILES	AV		AV			
1.1	1714	AUTHORIZATION TO RELEASE CONFIDENTIAL INFORMATION (HIPAA)	AC+6		AC+6		AC=AUTHORIZATION'S EXPIRATION DATE; 45 CFR 164.530 (j)(1)-(2)	
1.1	3307	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	4817	OTHER HIPAA PRIVACY DOCUMENTATION (INCLUDING LETTERS, MEMOS, FORMS)	6		6		45 CFR 164.530 (j)(1)-(2)	
1.1	4823	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	4824	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	4826	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	5032	TEST REQUISITIONS	1 MO	6Y3MO	6Y4MO		Vital Record. SUBMISSION FORMS, NBS. SEE ALSO #2549	05-537-142
1.1.006	4635	COMPLAINTS RELATED TO PRIVACY (HIPAA)	AC+6		AC+6		45 CFR 164.530 (j)(1)-(2); AC=FINAL DISPOSITION OF COMPLAINT	
1.1.007	271	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.)	2	1	3	R	Vital Record. LETTERS DEVELOPMENT OF AGENCY POLICY & PROCEDURES. ONLY ADMINISTRATIVE CORRESPONDENCE OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.	05-537-071

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305 - LABORATORY SERVICES							
1.1.008	274	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	1		1		LETTERS W/ROUTINE MATTERS. INCLUDES SOME E-MAIL.
1.1.020	393	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	1444	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2		AC+2		AC=DATE OF DENIAL OF REQUEST
1.1.043	281	TRAINING MANUALS	US+1		US+1		MATERIAL DEVELOPED BY AGENCY FOR TRAINING
1.1.057	486	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	275	MEETING MINUTES/STAFF NOTES	1		1		MINUTES OF INTERNAL STAFF MEETINGS
1.1.063	1238	MEETING MINUTES/STAFF NOTES	2		2		STAFF MEETINGS WILL CONTAIN SOME QA REPORTS/NEED TO KEEP 2 YEARS FOR CLIA
1.1.067	279	REPORTS & STUDIES (NON-FISCAL)	3		3	R	INTERNAL REPORTS & REPORTS SUBMITTED TO OTHER AGENCIES; IF REPORT HAS HISTORICAL RELEVANCE, DO NOT DESTROY REPORT BUT SEND IT TO THE STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.
1.1.070	277	POLICIES AND PROCEDURES MANUALS- FINAL	AC+3		AC+3	R	Vital Record. AGENCY'S POLICIES & OPERATING PROCEDURES; MANUALS CONTAINING TESTING INFORMATION THAT HAS BEEN CHANGED OR DISCONTINUED. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.

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305 - LABORATORY SERVICES								
1.1.070	278	POLICIES AND PROCEDURES (SCIENTIFIC)- FINAL	AC+3		AC+3	R	Vital Record. AGENCY'S POLICIES & OPERATING PROCEDURES; MANUALS CONTAINING TESTING INFORMATION THAT HAS BEEN CHANGED OR DISCONTINUED. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.	
1.1.071	5159	RULES, POLICIES AND PROCEDURES-WORKING FILES	AC+3		AC+3	R	Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.	
1.2.006	5024	RECORDS TRANSMITTAL FORMS	AC+2		AC+2		AGENCY COPY (INCLUDES RMD101 TX-R-5,306-58-1 & AGENCY STORAGE FORMS) AC=DATE OF AUTHORIZATION FOR DESTRUCTION OR TRANSFER	
3.1	4405	EMPLOYEE IMMUNIZATION RECORDS	2	8	10		Vital Record. IMMUNIZATION RECORDS REQUIRE 10 YR RETENTION PERIOD. 05-537-346	
3.1	6696	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	485	APPLICATIONS FOR EMPLOYMENT -NOT HIRED	2		2		MAY CONTAIN CONFIDENTIAL INFORMATION. AccessHR ASSUMED THIS FUNCTIONALITY IN MAY 2005.	
3.1.014	289	EMPLOYMENT SELECTIONS	2		2		Vital Record. RECORDS THAT DOCUMENT THE SELECTION PROCESS INTERVIEW NOTES MAY CONTAIN SOME CONFIDENTIAL INFORMATION. AccessHR PARTIALLY ASSUMED THIS FUNCTIONALITY IN MAY 2005.	

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3.1.019	559	PERFORMANCE APPRAISALS/JOURNALS	2		2		JOURNAL DOCUMENTATION MAY CONTAIN SOME CONFIDENTIAL INFORMATION SUCH AS MEDICAL INFORMATION, SOCIAL SECURITY NUMBER, OR OTHER DATA. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.		
3.3	293	TRAINING SUPPORT DOCUMENTATION	AC+5		AC+5		DOES NOT INCLUDE HAZARDOUS MATERIAL, TRAINING RECORDS/AC=COMPLETION OF CLASS. PAPER AND ELECTRONIC.		
3.3.023	533	TRAVEL AUTHORIZATION REQUESTS	FE	3	FE+3		TRAVEL OFFICE ASSUMED RETENTION OF THIS RECORD BEGINNING OCTOBER 2005.	05-537-200	
3.4.004	4971	OVERTIME AUTHORIZATION	2		2		OVERTIME REQUESTS. BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.		
3.4.006	6241	TIME SHEETS	4		4		40 TAC815.106(i); BEGINNING OCT 2005, TIME SHEETS SENT TO RECORDS MANAGEMENT OFFICER FOR RETENTION.		
3.4.007	4484	TIME OFF & LEAVE REQUESTS	3 MO	FE+3*	FE+3		BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.	05-537-109	
5.2.008	890	EQUIPMENT MAINTENANCE LOGS	LA	3	LA+3			05-537-222	
5.2.010	310	EQUIPMENT MANUALS	LA		LA		EQUIPMENT MANUALS		
5.2.019	314	SERVICE ORDERS	1		1		MECHANICAL SERVICE FOR INSTALLATION OR REPAIR		
5.4	311	INSPECTION RECORDS	3		3		INCLUDES PIPETTE CALIBRATION RECORDS.		
5.4	319	SAFETY INSPECTIONS, CERTIFICATES OF CERTIFICATION OF BIOLOGICAL HOODS	2	28	30		TO MEET THE REQUIREMENTS OF OSHA		
5.4	1544	COPY OF MOVING AND NON-MOVING TRAFFIC VIOLATIONS (KEPT WITH PERFORMANCE APPRAISALS)	2		2		FOR STAFF WHO DRIVE 50% OR MORE ON AGENCY BUSINESS.		

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5.4	5509	REVIEW OF APPROPRIATE LICENSURE FOR OPERATION OF MOTOR VEHICLE (KEPT WITH PERFORMANCE APPRAISALS)	2		2		FOR STAFF WHO DRIVE 50% OR MORE ON AGENCY BUSINESS.
5.4.003	312	INSPECTION RECORDS (PATIENTS)	AC+3		AC+3		SEE AGENCY ITEM #326; AC=INSPECTION, OR DATE OF CORRECTION OF DEFICIENCY, IF REPORT SHOWS DEFICIENCY
5.4.007	321	SAFETY TRAINING - HAZARDOUS MATERIALS	5		5		
5.4.009	1217	WORKPLACE CHEMICAL LIST	30		30		Vital Record. HAZARD COMMUNICATION STANDARD REQUIREMENT. HEALTH & SAFETY CODE 502.005(d) REQUIRES THIS LIST FOR AMOUNTS OF CHEMICALS OVER 55 GALLONS, 500 POUNDS OR IN EXCESS OF CERTAIN AMOUNTS FOR CERTAIN HIGHLY TOXIC OR DANGEROUSLY HAZARDOUS CHEMICALS.
5.4.010	1227	MATERIAL SAFETY DATA SHEETS	PM		PM		OSHA - 29CFR1910.1020 - SUPPORT Z(d)(1)(ii)(B)
5.6.005	323	VEHICLE USE REPORTS- OPERATION LOG	1		1		INCLUDES MILEAGE, FUEL/OIL CONSUMPTION, PASSENGERS CARRIED AND OTHER RELATED INFORMATION.

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