

APPROVED 3/19/2007

State of Texas
Records Retention Schedule

Automated Facsimile of SLR-105

2. AGENCY CODE: 537

3. AGENCY: TEXAS DEPARTMENT OF STATE HEALTH SERVICES

4. Records

Series Item # 5. Agency Item #

6. Records Series Title

7. RETENTION PERIOD

Agency Storage Total 8. Archival 9. Remarks

ORIGINAL SUBMISSION
 RECERTIFICATION
 REPLACEMENT PAGE
 ADDENDUM PAGE

10. 106 No.

402 - SPECIALIZED HEALTH SERVICES SECTION

| Series Item # | Agency Item # | Records Series Title | Agency | Storage | Total | 8. Archival | 9. Remarks | 10. 106 No. |
|---------------|---------------|--|--------|---------|-------|-------------|--|------------------------------------|
| 181 | | MEDICAL RECORDS | AC+1 | 17 | AC+18 | | Vital Record. PAPER MICROFILMED AT AC. INCLUDES CLINICAL PHOTOGRAPHS/SLIDES. BASED ON THE RETENTION PERIOD FOR INFANT RECORDS. (22TAC§165.1) | 05-537-260 (Photos/slides only) |
| 377 | | NBS HEMOGLOBINOPATHY FILES | 6 | 15 | 21 | | 22 TAC 165 | 05-537-481 |
| 709 | | NBS EXPIRED HEMOGLOBINOPATHY FILES (DECEASED CHILDREN'S FILES) | 2 | 5 | 7 | | 22 TAC 165 | |
| 727 | | PATIENT TREATMENT RECORDS | PM | | PM | | | |
| 1865 | | CASE MANAGEMENT FILES | AC | | AC | | AC=7 YEARS PAST THE LAST DATE OF SERVICE OR UNTIL THE PATIENT IS 21 YEARS OF AGE, WHICH EVER IS LONGER. | |
| 1881 | | CSHCN FILES | AV+US | | AV+US | | | |
| 1884 | | DATA MANAGEMENT PROCESS WORK GROUP PROJECT FILES | AV | | AV | | | |
| 1891 | | LAB PROJECT FILES | AV | | AV | | | |
| 2137 | | CLIENT APPLICATION LOG | 1 | | 1 | | | |
| 2140 | | DE-ENCUMBERANCE REPORT | 1 | | 1 | | REPORT USED TO IDENTIFY INACTIVE CASES | |
| 2165 | | KHC PATIENT ELIGIBILITY FILES | AC+1 | 4 | AC+5 | | Vital Record. ELECTRONIC FILES STORED IN ASKIT. | 05-537-045 |
| 2246 | | AUTHORIZATION REQUESTS | FE+1 | 1 | FE+2 | | | |
| 2386 | | PATIENT DENTAL TREATMENT RECORDS | 7 | 14 | 21 | | | 05-537-265 |
| 3677 | | PACT TITLE V CASE FILES | 1 | 20 | 21 | | MEDICAL RECORDS (22 TAC 165). FUNDING ENDED 1/27/2003. | 05-537-362 |

RETENTION CODES (Field 7)

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ARCHIVAL CODES (Field 8)

A - Transfer to State
R - Review by State

VITAL Record (Include in Field 9)

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| 402 - SPECIALIZED HEALTH SERVICES SECTION | | | | | | | | |
| 4116 | | CYTOGENETICS MEDICAL RECORDS | AC | 23 | AC+23 | | Vital Record. INCLUDES PHOTOGRAPHS; AC=DECEMBER 31 OF YEAR TESTS COMPLETED | 05-537-333 |
| 5385 | | TRAINING RECORDS OF SCREENERS (SPINAL SCREENING) | 6 | | 6 | | | |
| 5386 | | ROSTER OF TRAINERS AND MASTER TRAINERS | US | | US | | | |
| 5440 | | NBS HYPOTHYROID LOGS | 7 | 14 | 21 | | RETAINED 7 YRS AS PAPER, MICROFILM ED AND RETAINED FOR 14 YRS AT SRC AS FILM; MICROFILMING DISCONTINUED IN 2000, | 05-537-094 |
| 5441 | | NBS ENDOCRINE FILES | 1 | 20 | 21 | | RETAINED 1 YR IN AGENCY, MICROFILM AND STORED 20 YRS AT SRC | 05-537-095 (microfilm); 05-537-146 (paper) |
| 5442 | | NBS DIAGNOSED PKU FILES 1965 - 1989 | 2 | 19 | 21 | | RETAINED IN AGENCY 2 YRS, MICROFILMED AND MASTER FILM RETAINED IN SRC | 05-537-114 |
| 5443 | | NBS DIAGNOSED HYPOTHYROID FILES | 2 | 19 | 21 | | Vital Record. (MICROFILM). PAPER RECORDS ARE NO LONGER BEING MICROFILMED. SEE AGENCY ITEM NO. 1459. DUPLICATE INFORMATION CONTAINED IN LABORATORY DATABASES. | 05-537-115 (microfilm1980-89); 05-537-237 (paper) |
| 5444 | | NBS METABOLIC FILES | 2 | 19 | 21 | | RETAINED 2YRS IN AGENCY, MICROFILM AND MASTER FILM RETAINED FOR 19 YRS IN SRC. FILMING IS BEING DISCONTINUED AS OF 9/1/96; WILL BE RETAINED IN PAPER | 05-537-116 (microfilm); 05-537-211 (paper) |
| 5446 | | PROGRAM FOR AMPLIFICATION FOR THE CHILDREN OF TEXAS (PACT) CASE FILES | 21 (copy) | 21 (M) | 21 | | DUPLICATE IN AGENCY; MASTER AT SRC | 05-537-141 |
| 5448 | | NBS GALACTOSEMIA DIAGNOSED | 2 | 19 | 21 | | RETAINED IN AGENCY 2 YRS, MICROFILM MASTER FILM RETAINED SRC FOR 19 YRS | 05-537-149 |
| 5551 | | PATIENT TREATMENT DATA | FE+1 | | FE+1 | | Vital Record. | |

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 ___ REPLACEMENT PAGE
 ___ ADDENDUM PAGE
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| 402 - SPECIALIZED HEALTH SERVICES SECTION | | | | | | | | |
| | 6805 | NBS DIAGNOSED CAH | 21 | | 21 | | 22 TAC 165 | |
| | 6806 | NBS DIAGNOSED METABOLIC (EXCLUDING PKU & GLACTOSEMIA) | 18 | 3 | 21 | | 22 TAC 165 | |
| | 6807 | NBS NEWBORN SCREENING MEDICAL RECORDS DATABASES | 21 | | 21 | | 22 TAC 165 | |
| 1.1 | 631 | VISION & HEARING WORKSHOP EVALUATIONS | FE | 2 | FE+2 | | TO STORE IN WAREHOUSE FOR 2 YRS. | |
| 1.1 | 634 | VISION & HEARING GREEN & YELLOW CARDS | FE+5 | | FE+5 | | KEEP 5 YEARS-CERTIFICATION PERIOD | |
| 1.1 | 642 | VISION & HEARING SIGN-IN WORKSHOP SHEETS | FE+5 | | FE+5 | | KEEP 5 YEARS-TIME OF CERTIFICATION | |
| 1.1 | 645 | PACT APPLICATIONS | FE | 5 | FE+5 | | DOCUMENTS SHREDDED AT END OF RETENTION PERIOD. | 07-537-537 |
| 1.1 | 671 | SITE VISIT REPORTS | AC+3 | | AC+3 | | | |
| 1.1 | 703 | PACT APPLICATIONS | AC+3 | | AC+3 | | MICROFILM; AC=AFTER CLIENT BECOMES INELIGIBLE | |
| 1.1 | 803 | REFERENCE FILES | AV | | AV | | | |
| 1.1 | 1007 | CSHCN CASE RECORD FILES | 1 MO | 7 | 7Y1MO | | OLDER PAPER RECORDS NOT SCANNED BUT IN STORAGE; RECENT PAPER RECORDS SCANNED THEN SENT TO STORAGE. | 05-537-006 (never scanned); 05-537-224 (after scanning) |
| 1.1 | 1889 | DENTAL RECRUITMENT AND RETENTION WORK GROUP PROJECT FILES | AV | | AV | | | |
| 1.1 | 1894 | MEDICAL ID CARD PROJECT FILES | AC+5 | | AC+5 | | | |
| 1.1 | 2070 | SLIAG ELIGIBILITY CRITERIA | US+1 | | US+1 | | Vital Record. SLIAG = STATE LEGALIZATION IMMIGRANT ASSISTANCE GRANT | |

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X RECERTIFICATION
___ REPLACEMENT PAGE
___ ADDENDUM PAGE
10. 106 No.

| 4. Records Series Item # | 5. Agency Item # | 6. Records Series Title | 7. RETENTION PERIOD | | | 8. Archival | 9. Remarks | 10. 106 No. |
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| | | | Agency | Storage | Total | | | |
| 402 - SPECIALIZED HEALTH SERVICES SECTION | | | | | | | | |
| 1.1 | 2110 | REQUEST FOR STATUS LOG | 1 | | 1 | | | |
| 1.1 | 2124 | GENERAL STATISTICAL REPORTS | AV | | AV | | | |
| 1.1 | 2129 | AUTOMATED RETURN LETTERS | 2 | | 2 | | | |
| 1.1 | 2166 | DRUG TRANSPORTATION RETURN LETTER-TAGS | FE+1 | | FE+1 | | | |
| 1.1 | 2167 | MEDICAL CLAIMS RETURN LETTER TAGS | FE+1 | | FE+1 | | | |
| 1.1 | 2180 | TDH/DSHS & KHP LEGISLATIVE REPORTS | 3 | | 3 | A | | |
| 1.1 | 2260 | CSHCN FINANCIAL & MEDICAL APPEALS LOG | AC+2 | | AC+2 | | AC=RESOLUTION OF APPEAL | |
| 1.1 | 2285 | CSHCN FAMILIES RATIO TO POVERTY | AV | | AV | | REQUIRED REPORT IN APPROPRIATIONS REQUEST | |
| 1.1 | 2321 | CSHCN WORKSHOPS | AV+1 | | AV+1 | | | |
| 1.1 | 2326 | PROGRAM PROVIDER FILES | AC | 3 | AC+3 | | | 05-537-154 |
| 1.1 | 2327 | SSI CHILDREN REFERRAL FILES (SUPPLEMENTAL SECURITY INCOME) | AC+1 | | AC+1 | | AC=SSI NOTIFICATION DATE | |
| 1.1 | 2328 | ADULT HEMOPHILIA CASE FILES (CASE FOLDERS) | AC | 5 | AC+5 | | AC=TERMINATION OF CASE | |
| 1.1 | 2413 | INCOMPLETE CSHCN APPLICATIONS | AC | | AC | | AC=RECEIPT OF COMPLETE APPLICATION OR 180 DAYS WHICHEVER IS EARLIER. | |
| 1.1 | 3357 | (CASE MGMT PWI) AUTHORIZATION TO RELEASE CONFIDENTIAL INFORMATION (HIPAA) | AC+6 | | AC+6 | | AC=AUTHORIZATION'S EXPIRATION DATE; 45 CFR 164.530 (j)(1)-(2) | |
| 1.1 | 4634 | (CASE MGMT PWI) 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 | |

RETENTION CODES (Field 7)

ARCHIVAL CODES (Field 8)

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| 402 - SPECIALIZED HEALTH SERVICES SECTION | | | | | | | |
| 1.1 | 4658 | (CASE MGMT PWI) OTHER HIPAA PRIVACY DOCUMENTATION (INCLUDING LETTERS, MEMOS, FORMS) | 6 | | 6 | | 45 CFR 164.530 (j)(1)-(2) |
| 1.1 | 4819 | (CASE MGMT PWI) 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 | 4827 | (CASE MGMT PWI) 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 | 4852 | (CASE MGMT PWI) 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 | 4854 | (CASE MGMT PWI) 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 | 5029 | DENIED CSHCN APPLICATIONS | FE | 5 | FE+5 | | Vital Record. 05-537-140 |
| 1.1 | 5553 | DENTAL HEALTH EDUCATIONAL CURRICULUM DEVELOPMENT FILES | AV | | AV | | Vital Record. |
| 1.1.002 | 2264 | AUDITS | AC+1 | 5 | 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. |
| 1.1.006 | 4650 | (CASE MGMT PWI) COMPLAINTS RELATED TO PRIVACY (HIPAA) | AC+6 | | AC+6 | | 45 CFR 164.530 (j)(1)-(2); AC=FINAL DISPOSITION OF COMPLAINT |
| 1.1.006 | 5275 | COMPLAINT FILE | AC+2 | | AC+2 | | AC=FINAL DISPOSITION OF COMPLAINTS |

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Page 6 3/27/2007

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| Series Item # | 5. Agency Item # | 6. Records Series Title | Agency | Storage | Total | 8. Archival | 9. Remarks |
| 1.1.007 | 5175 | CORRESPONDENCE, ADMINISTRATIVE | 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. INCLUDES ADVISORY COMMITTEE CORRESPONDENCE |
| 1.1.008 | 5033 | CORRESPONDENCE, GENERAL | 1 | 1 | | | INCLUDES SOME E-MAIL. (INCLUDES INTER-OFFICE MEMOS, REQUESTS FOR REVISIONS TO FORMULARY) |
| 1.1.010 | 2298 | DIRECTIVES | US+1 | US+1 | | | (INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.) |
| 1.1.013 | 5035 | ITINERARY INFORMATION | 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 | 1320 | LEGAL OPINIONS AND ADVICE | AV | AV | | R | |
| 1.1.020 | 5186 | 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 | 5187 | PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED) | AC+2 | AC+2 | | | AC=DATE OF DENIAL OF REQUEST |
| 1.1.023 | 5188 | ORGANIZATION CHARTS | US | US | | A | |
| 1.1.024 | 5189 | PLANNING RECORDS | AC+3 | AC+3 | | R | AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS |
| 1.1.027 | 5191 | PROPOSED LEGISLATION - DRAFTS OR PROPOSED LEGISLATIVE BILLS & RELATED CORRESPONDENCE | AV | AV | | | |
| 1.1.040 | 2311 | SPEECHES | AC | AC | | R | AC=END OF TERM IN OFFICE OR TERMINATION OF SERVICE IN A STATE POSITION. |

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402 - SPECIALIZED HEALTH SERVICES SECTION

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|---------|------|---|------|--|------|---|---|--|
| 1.1.040 | 5197 | REPORTS & PAPERS - CONFERENCES | AC | | AC | R | AC=END OF TERM IN OFFICE OR TERMINATION OF SERVICE IN A STATE POSITION. | |
| 1.1.043 | 2355 | TRAINING MATERIALS & LESSONS | US+1 | | US+1 | | | |
| 1.1.048 | 1890 | DENTAL STUDIES LITIGATION FILES | AC+1 | | AC+1 | R | AC=STATUTE OF LIMITATIONS MET | |
| 1.1.057 | 710 | TRANSITORY INFORMATION | AC | | AC | | AC=PURPOSE OF RECORD HAS BEEN FULFILLED. | |
| 1.1.058 | 1266 | ADVISORY COMMITTEE MEETINGS AND MINUTES | PM | | PM | A | Vital Record. INCLUDES KHC, CSHCN, TASK FORCE, STATE BOARD, ETC. | |
| 1.1.063 | 2340 | STAFF MEETING MINUTES/NOTES | 1 | | 1 | | | |
| 1.1.064 | 3031 | PERFORMANCE MEASURES SUPPORTING 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. | |
| 1.1.065 | 5381 | REPORTS & STUDIES (NON-FISCAL) - RAW DATA | AV | | AV | | INCLUDES INDIVIDUAL SPINAL SCREENING REPORT FORMS FROM EACH DISTRICT, PRIVATE AND CHARTER SCHOOL | |
| 1.1.066 | 2053 | KHP ANNUAL REPORT | PM | | PM | A | COPIES SENT TO PUBLICATIONS CLEARINGHOUSE; PERMANENT RETENTION IS REQUIRED FOR HISTORICAL DATA & PROGRAM ANALYSIS | |
| 1.1.067 | 5193 | 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. (INCLUDES MEDICAL CONDITIONS TASK FORCE RECOMMENDATIONS; COMPLIANCE UTILIZATION STUDIES; CARDIOVASCULAR CENTER SITE VISITS; REPORTS BY CONSULTANTS AND COMMITTEES; ANNUAL OUTCOME DATA OF STUDENTS SCREENED) | |

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| 1.1.069 | | 667 | | LOAN AUDIOMETER SCREENING REPORTS | 1 | | 1 | | | |
| 1.1.069 | | 2250 | | PRODUCTIVITY REPORTS & EMPLOYEE WORKLOAD MEASURES | 1 | | 1 | | | |
| 1.1.070 | | 1892 | | RULES AND REGULATIONS - FINAL | AC+3 | | AC+3 | R | Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES. (INCLUDES MCAC; DIALYSIS CONTRACT PROC; ADM POLICY; KHP RULES)- | |
| 1.1.070 | | 5190 | | 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 | | 5253 | | RULES, POLICIES AND PROCEDURES-WORKING FILES | AC+3 | | AC+3 | R | Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES. | |
| 1.2.003 | | 2130 | | FORMS HISTORY FILE | AC+1 | | AC+1 | | AC=DISCONTINUANCE OF USE OF FORM | |
| 1.2.006 | | 157 | | RECORDS TRANSMITTAL FORMS | AC+2 | | AC+2 | | AC=DATE OF AUTHORIZATION FOR DESTRUCTION OR TRANSFER | |
| 1.3.001 | | 2131 | | KIDNEY HEALTH PROGRAM NEWSLETTER - RECORD COPY | PM | | PM | | FOR NEW PUBLICATIONS PRINTED AT HHS PRINTING, HHS PRINTING SENDS COPIES TO STATE PUBLICATIONS CLEARINGHOUSE/DSHS LIBRARY. FOR NEW PUBLICATIONS PRINTED ELSEWHERE, COPIES ARE SENT TO EXECUTVE AND STAFF OPERATIONS (HHS PRINTING) FOR DISTRIBUTION TO CLEARINGHOUSE/LIBRARY.PERMANENT RETENTION REQUIRED FOR HISTORICAL DATA & PROGRAM ANALYSIS. | |

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| 1.3.001 | 2779 | PUBLICATIONS | AC+2 | | AC+2 | | | AC=UNTIL SUPERCEDED OR OBSOLETE. FOR NEW PUBLICATIONS PRINTED AT HHS PRINTING, HHS PRINTING SENDS COPIES TO STATE PUBLICATIONS CLEARINGHOUSE/DSHS LIBRARY. FOR NEW PUBLICATIONS PRINTED ELSEWHERE, COPIES ARE SENT TO EXECUTIVE AND STAFF OPERATIONS (HHS PRINTING) FOR DISTRIBUTION TO CLEARINGHOUSE/LIBRARY. | | |
| 1.3.002 | 5192 | PUBLICATION FILES | AV | | AV | | R | | | |
| 2.1 | 3795 | Y2K PROBLEM-SOLVING DOCUMENTATION | 6 | | 6 | | | | | |
| 2.1.009 | 2331 | CSHCN ON-LINE MAINFRAME SYSTEM 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. | | |
| 2.2.012 | 2247 | AUTHORIZATION TRANSACTION REPORTS | AV | | AV | | | BEGINNING IN FY 1999 AND THEREAFTER THE PAPER RECORDS WILL BE DESTROYED AFTER THEY ARE IMAGED. | | |
| 3.1 | 2182 | TDH KIDNEY HEALTH PROGRAM ADVISORY COMMITTEE NOMINATIONS | 3 | | 3 | | R | DISBANDED SUMMER 2004. DELETE FROM RETENTION SCHEDULE ON 9/1/07. | | |
| 3.1 | 5841 | PAYRUN RECORD PRINTOUTS | 2 | 2 | 4 | | | | 05-537-510 | |
| 3.1 | 6698 | 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. | | |

RETENTION CODES (Field 7)

ARCHIVAL CODES (Field 8)

VITAL Record (Include in Field 9)

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Automated Facsimile of SLR-105

2. AGENCY CODE: 537 3. AGENCY: TEXAS DEPARTMENT OF STATE HEALTH SERVICES

ORIGINAL SUBMISSION
 RECERTIFICATION
 REPLACEMENT PAGE
 ADDENDUM PAGE
 10. 106 No.

| 4. Records | | 7. RETENTION PERIOD | | | | | | |
|---|------------------|---|--------|---------|-------|-------------|---|-------------|
| Series Item # | 5. Agency Item # | 6. Records Series Title | Agency | Storage | Total | 8. Archival | 9. Remarks | 10. 106 No. |
| 402 - SPECIALIZED HEALTH SERVICES SECTION | | | | | | | | |
| 3.1.001 | 5203 | APPLICATIONS - NOT HIRED | 2 | | 2 | | CONTAINS SOME CONFIDENTIAL INFORMATION. AccessHR ASSUMED THIS FUNCTIONALITY IN MAY 2005. | |
| 3.1.014 | 2310 | EMPLOYMENT SELECTIONS - INCLUDING INTERVIEW NOTES, DOCUMENTATION OF SELECTION PROCESS | 1 | 1 | 2 | | Vital Record. MAY CONTAIN CONFIDENTIAL DATA. AccessHR PARTIALLY ASSUMED THIS FUNCTIONALITY IN MAY 2005. | 05-537-057 |
| 3.1.018 | 672 | GRIEVANCE RECORDS | AC+2 | | AC+2 | | Vital Record. MAY CONTAIN SOME CONFIDENTIAL INFORMATION /AC=FINAL DECISION ON GRIEVANCE | |
| 3.1.019 | 675 | PERFORMANCE APPRAISALS/JOURNALS | 2 | | 2 | | 29CFR 1620.32 (c) MAY CONTAIN SOME CONFIDENTIAL INFORMATION SUCH AS MEDICAL INFORMATION, SOCIAL SECURITY NUMBER, OR OTHER DATA. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005. | |
| 3.1.020 | 676 | PERSONNEL CORRECTIVE ACTION DOCUMENTATION/PERFORMANCE ADVISEMENT FORMS | AC+5 | | AC+5 | | MAY CONTAIN SOME CONFIDENTIAL INFORMATION. AC=TERMINATION OF CORRECTIVE ACTION | |
| 3.1.021 | 679 | PERSONNEL DISCIPLINARY ACTION DOCUMENTATION | AC+5 | | AC+5 | | Vital Record. MAY CONTAIN CONFIDENTIAL INFORMATION AC=TERMINATION OF EMPLOYMENT | |
| 3.1.022 | 680 | PERSONNEL ACTIONS | 2 | | 2 | | MAY CONTAIN CONFIDENTIAL INFORMATION/CONVENIENCE COPY. AccessHR ASSUMED THIS FUNCTIONALITY IN OCTOBER 2005. | |
| 3.1.023 | 5209 | POSITION/JOB DESCRIPTIONS | AC+4 | | AC+4 | | Vital Record. AC=UNTIL SUPERCEDED OR JOB ELIMINATED. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005. | |
| 3.2 | 1057 | PAYROLL WARRANT LISTINGS AND CERTIFICATIONS | 1 | | 1 | | | |
| 3.3 | 1901 | TRAINING SUPPORT DOCUMENTATION | AC+2 | | AC+2 | | AC=COMPLETION OF CLASS | |
| 3.3.023 | 683 | TRAVEL AUTHORIZATION REQUESTS & EDUCATION ASSISTANCE, REQUESTS FOR | FE+3 | | FE+3 | | TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL REQUESTS BEGINNING OCTOBER 2005. | |

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VITAL Record (Include in Field 9)

Automated Facsimile of SLR-105

2. AGENCY CODE: 537 3. AGENCY: TEXAS DEPARTMENT OF STATE HEALTH SERVICES

___ ORIGINAL SUBMISSION
 X RECERTIFICATION
 ___ REPLACEMENT PAGE
 ___ ADDENDUM PAGE
 10. 106 No.

| 4. Records Series Item # | | 5. Agency Item # | 6. Records Series Title | | 7. RETENTION PERIOD | | | 8. Archival | 9. Remarks | 10. 106 No. |
|---|------|--|-------------------------|---------|---------------------|--|--|---|---|-------------|
| Series Item # | | Item # | Agency | Storage | Total | | | | | |
| 402 - SPECIALIZED HEALTH SERVICES SECTION | | | | | | | | | | |
| 3.3.026 | 682 | EMPLOYEE LISTINGS | US+3 | | US+3 | | | | | |
| 3.4.002 | 684 | LEAVE ACTIVITY STATUS REPORTS | FE+3 | | FE+3 | | | Vital Record. BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR. | | |
| 3.4.004 | 5020 | OVERTIME AUTHORIZATION | 2 | | 2 | | | BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR. | | |
| 3.4.006 | 5211 | 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 | 2198 | DAILY ABSENCE REPORTS AND LEAVE REQUESTS | FE+1 | 2 | FE+3 | | | BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR. (formerly Kidney Health) | 05-537-247 | |
| 3.4.007 | 3187 | TIME OFF AND/OR SICK LEAVE REQUESTS | FE+1 | 2 | FE+3 | | | BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR. | 05-537-082 | |
| 4.1 | 2080 | TDH/DSHS & KHP/CO-PAY RETURN LETTER FILE | FE+3 | | FE+3 | | | Vital Record. | | |
| 4.1 | 2111 | MEDICAL CLAIMS LOG | 1 | | 1 | | | | | |
| 4.1.001 | 5558 | ACCOUNTS PAYABLE INFORMATION | FE+3 | | FE+3 | | | (INCLUDES HEMOPHILA PAYMENT; CLAIMS PAYDATES; SANTA ROSA EPILEPSY; DENTAL CARE TREATMENT INVOICES) | 05-537-080 (Hemophilia Pmt); 05-537-076 (Claims Paydates); 05-537-081 (Santa Rosa Epilepsy) | |
| 4.1.003 | 3706 | CANCELLED WARRANTS FILE | FE | 3 | FE+3 | | | | 05-537-253 | |
| 4.1.004 | 1895 | ENCUMBRANCE DETAIL | FE+3 | | FE+3 | | | | | |
| 4.2 | 2089 | PROGRAM RECIPIENT AND PROVIDER REFUND FILE (FORMERLY STORED AS PATIENT & PROVIDER REFUND FILE) | FE+1 | 2 | FE+3 | | | | 05-537-044 | |

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VITAL Record (Include in Field 9)

APPROVED 3/19/2007

State of Texas
Records Retention Schedule

Automated Facsimile of SLR-105

2. AGENCY CODE: 537 3. AGENCY: TEXAS DEPARTMENT OF STATE HEALTH SERVICES

4. Records

Series Item # 5. Agency Item # 6. Records Series Title

7. RETENTION PERIOD

Agency Storage Total 8. Archival 9. Remarks

ORIGINAL SUBMISSION
 RECERTIFICATION
 REPLACEMENT PAGE
 ADDENDUM PAGE

10. 106 No.

| Series Item # | Agency Item # | Records Series Title | Agency | Storage | Total | 8. Archival | 9. Remarks | 10. 106 No. |
|---|---------------|--|--------|---------|-------|-------------|---|----------------------------------|
| 402 - SPECIALIZED HEALTH SERVICES SECTION | | | | | | | | |
| 4.2 | 2092 | PROGRAM WARRANT TRACER REQUEST FILE | FE+3 | | FE+3 | | | |
| 4.2 | 2162 | MEDICAL AND TRANSPORTATION CLAIMS BY PAYRUN | AC+6MO | 2Y+6MO | AC+3 | | AC=CLAIM CLOSED | 05-537-046; 05-537-043 |
| 4.2.005 | 1356 | MEDICAID TRANSPORTATION CLAIMS | FE+6MO | 4Y6MO | FE+5 | | RETENTION IS BASED ON MEDICAID REQUIREMENTS | |
| 4.2.007 | 3777 | EXPENDITURE VOUCHERS (INCLUDING TRAVEL VOUCHERS, REGISTRATION FEES, NHIC AND PAYMENT VOUCHERS) | FE+3 | | FE+3 | | TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL VOUCHERS BEGINNING OCTOBER 2005. | |
| 4.3 | 2164 | PAYRUN LOGBOOKS | 1 | | 1 | | | |
| 4.5 | 1864 | BUDGET FILES | FE+3 | | FE+3 | | | 05-537-255 (Kidney Health Files) |
| 4.5 | 2107 | PROVIDER INFORMATION AND FACT LIST | US | | US | | Vital Record. | |
| 4.5.002 | 1883 | CCP FILES | FE+3 | | FE+3 | | | |
| 4.5.002 | 2128 | PRODUCTION REPORTS | FE+3 | | FE+3 | | | |
| 4.5.005 | 1317 | SLIAG FINANCIAL REPORTS | FE+3 | | FE+3 | | Vital Record. SLIAG=STATE LEGALIZATION IMPACT ASSISTANCE GRANT | |
| 4.5.005 | 1885 | DENTAL BILLING REPORTS | FE+3 | | FE+3 | | | |
| 4.5.006 | 3707 | ANNUAL OPERATING BUDGET FILES | FE | 3 | FE+3 | | | 05-537-243 |
| 4.7 | 2063 | MEDICARE PREMIUM PAYMENT VOUCHERS | AC | | AC | | AC=TIME PATIENT BECOMES INACTIVE THEN VOUCHERS BECOME A PART OF THE CLIENT'S FILE | |
| 4.7 | 2160 | COMPROLLER HELD WARRANT RECORDS | 1 | | 1 | | LOG TO SHOW MAIL DATE OF HELD WARRANTS BY COMPROLLER | |

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ORIGINAL SUBMISSION
 RECERTIFICATION
 REPLACEMENT PAGE
 ADDENDUM PAGE

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| Series Item # | Agency Item # | 6. Records Series Title | Agency | Storage | Total | 8. Archival | 9. Remarks | 10. 106 No. | | |
| 402 - SPECIALIZED HEALTH SERVICES SECTION | | | | | | | | | | |
| 4.7.008 | 1766 | GRANT INFORMATION | AC+3 | | AC+3 | | Vital Record. AC=SATISFACTION OF ALL UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERTIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS (THE COMMON RULE). | | | |
| 5.1.001 | 1767 | CONTRACTS & CONTRACT TRACKING | AC+4 | | AC+4 | | Vital Record. C=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS. (INCLUDES ADVANCED NURSE PRACTITIONER TRAINING RECORDS / AGREEMENTS; EPILEPSY PROVIDER CONTRACT FILES FOR FY04 AND EARLIER; SEE #5157 FOR FY05 AND LATER); HEMOPHILIA PROVIDER FILES) | 05-537-325 (Kidney Hlth Provider Contract) | | |
| 5.1.003 | 925 | RETURNED MAIL RECEIPTS | 2 | | 2 | | | | | |
| 5.1.004 | 5173 | ADDRESS & TELEPHONE LISTINGS | US | | US | | | | | |
| 5.1.004 | 5218 | MAILING LISTS | US | | US | | | | | |
| 5.1.007 | 5219 | REQUISITION FOR IN-AGENCY /INTER-AGENCY COPY/PRINTING SERVICE | AV | | AV | | | | | |
| 5.1.014 | 4403 | OFFICE PROCEDURES | US+1 | | US+1 | | INCLUDES WARRANT BATCH SIGN-OUT SHEET. | | | |
| 5.1.015 | 691 | CORRESPONDENCE TRACKING RECORDS | 1 | | 1 | | | | | |
| 5.1.016 | 4337 | TELEPHONE MESSAGE NOTIFICATIONS | 1 | | 1 | | INCLUDES E-MAILS, PHONE MESSAGE BOOKS AND SLIPS, ETC. | | | |
| 5.2.005 | 5220 | AUDIOMETER QUALITY CONTROL CHECKS | 10 | | 10 | | | | | |
| 5.2.008 | 2112 | EQUIPMENT HISTORY / EQUIPMENT SERVICE | LA+3 | | LA+3 | | | | | |
| 5.2.008 | 5221 | AUDIOMETER LOAN/MAINTENANCE FILES | LA+3 | | LA+3 | | | | | |
| 5.2.009 | 1769 | EQUIPMENT INVENTORY | FE+3 | | FE+3 | | | | | |

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 REPLACEMENT PAGE
 ADDENDUM PAGE
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| 402 - SPECIALIZED HEALTH SERVICES SECTION | | | | | | | | | |
| 5.2.010 | 1563 | EQUIPMENT MANUALS | LA | | LA | | | | |
| 5.2.014 | 692 | INVENTORY - ANNUAL PHYSICAL | FE+3 | | FE+3 | | | | |
| 5.2.014 | 5202 | HEARING AID INVENTORY | FE+3 | | FE+3 | | | | |
| 5.2.016 | 693 | PROPERTY TRANSFER FORMS | AC | | AC | | AC=TRANSFER OF INFORMATION TO ANNUAL LISTING | | |
| 5.2.017 | 694 | LOST AND STOLEN PROPERTY REPORTS | FE+3 | | FE+3 | | | | |
| 5.2.019 | 695 | SERVICE ORDERS | 1 | | 1 | | | | |
| 5.3 | 1357 | PROCUREMENT CARD PURCHASES SUPPORTING DOCUMENTATION | FE+4 | | FE+4 | | | | |
| 5.3 | 1770 | PURCHASING RECORDS | FE+3 | | FE+3 | | | | |
| 5.4 | 1543 | COPY OF MOVING AND NON-MOVING TRAFFIC VIOLATIONS (KEPT WITH PERFORMANCE APPRAISALS) | 2 | | 2 | | FOR STAFF WHO DRIVE 50% OR MORE ON AGENCY BUSINESS. | | |
| 5.4 | 3221 | 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. | | |
| 5.4.007 | 698 | HAZARDOUS MATERIALS TRAINING RECORDS | 5 | | 5 | | TEXAS HEALTH & SAFETY CODE 502.009(g) | | |
| 5.4.010 | 699 | MATERIAL SAFETY DATA SHEETS | AC | | AC | | AC=AFTER SHEETS ARE UPDATED OR HAZARDOUS CHEMICAL NO LONGER STORED BY AGENCY | | |
| 5.4.012 | 1861 | SECURITY ACCESS RECORDS | AC+2 | | AC+2 | | Vital Record. | | |
| 5.5.002 | 2078 | CLAIMS PHONE LOG | AV | | AV | | EACH WORKER (ID) HAS THEIR OWN PHONE LOG | | |
| 5.5.002 | 5036 | LONG DISTANCE TELEPHONE LOG | AV | | AV | | | | |

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APPROVED 3/19/2007

State of Texas
Records Retention Schedule

Page 15

3/27/2007

Automated Facsimile of SLR-105

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ORIGINAL SUBMISSION

RECERTIFICATION

REPLACEMENT PAGE

ADDENDUM PAGE

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402 - SPECIALIZED HEALTH SERVICES SECTION

| | | | | | | | | |
|---------|------|--------------------------|------|--|------|--|---|--|
| 5.5.003 | 5037 | STATION ACTIVITY REPORTS | AV | | AV | | | |
| 5.6.005 | 700 | VEHICLE USE REPORTS | FE+3 | | FE+3 | | INCLUDES MILEAGE, FUEL/OIL CONSUMPTION, PASSENGERS CARRIED AND OTHER RELATED INFORMATION. | |

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