

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

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4. Records

Series Item #

5. Agency
Item #

6. Records Series Title

7. RETENTION PERIOD

Agency

Storage

Total

8. Archival

9. Remarks

10. 106 No.

Series Item #	Agency Item #	Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.
		838 - TEXAS HEALTH STEPS BRANCH						
	2390	TX TOTS PROJECT FILES	AV		AV			
	5045	EPSDT POLICY AND PROGRAM DEVELOPMENT CLIENT HISTORY FILES	AV+FE	5	AV+FE+5		FREW	06-537-530
	5046	EPSDT POLICY AND PROGRAM DEVELOPMENT CLIENT HISTORY REPORTS	FE+5		FE+5		COM. MP SYSTEM	
1.1	722	REFERENCE FILES	AV		AV			
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	
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	

RETENTION CODES (Field 7)

ARCHIVAL CODES (Field 8)

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Series Item # 5. Agency Item #

7. RETENTION PERIOD

Agency Storage Total 8. Archival 9. Remarks

10. 106 No.

838 - TEXAS HEALTH STEPS BRANCH

Series Item #	Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks
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	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	2397	CORRESPONDENCE, GENERAL	1		1		INCLUDES SOME E-MAIL.
1.1.010	2398	DIRECTIVES	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)
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		

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838 - TEXAS HEALTH STEPS BRANCH

1.1.038	2408	CUSTOMER SURVEYS	AC+3		AC+3		SEE ITEM NUMBER 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		
1.1.048	4152	LITIGATION FILES	AC+1		AC+1	R		
1.1.057	2392	TRANSITORY INFORMATION	AC		AC		AC=PURPOSE OF RECORD HAS BEEN FULFILLED	
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.	
1.3.002	2407	PUBLICATION FILES	US		US	R		

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Series Item #	5. Agency Item #	6. Records Series Title	Agency	Storage			Total
838 - TEXAS HEALTH STEPS BRANCH							
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. 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.
3.1.021	2417	PERSONNEL DISCIPLINARY ACTION DOCUMENTATION	AC+5		AC+5		Vital Record. AC=TERMINATION OF EMPLOYMENT
3.1.023	2419	POSITION/JOB DESCRIPTIONS	AC+4		AC+4		Vital Record. AC=UNTIL SUPERCEDED 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	2		2		BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.
3.4.007	2434	TIME OFF AND/OR SICK LEAVE REQUESTS	FE+1	2	FE+3		BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.
4.1.004	2435	ENCUMBRANCE DETAIL	FE+3		FE+3		
4.2	6828	MEDICAID FISCAL RECORDS	20		20		FREW. MICROFICHE 1998-1999
4.5	2436	BUDGET FILES	FE+3		FE+3		
4.5.002	2438	CCP FILES	FE+3		FE+3		

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Series Item # 5. Agency Item # 6. Records Series Title Agency Storage Total 8. Archival 9. Remarks 10. 106 No.

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Series Item #	5. Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.	
5.1.003	3266	RETURNED MAIL RECEIPTS			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				
5.1.016	4350	TELEPHONE MESSAGE NOTIFICATIONS			1		INCLUDES E-MAILS, PHONE MESSAGE BOOKS AND SLIPS, ETC.		
5.2.016	4111	PROPERTY TRANSFER FORMS	AC		AC				
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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