

State of Texas
Records Retention Schedule

Recertified: 5/23/2012 **Updated (with or without**
Amendment Approved: 2/19/2014 **amendment): 10/3/2017**

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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			8. Archival	9. Remarks	10. 106 No.
			Agency	Storage	Total			

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		2727 MEDICAID LINKING DATA	AV	AV			INFORMATION EXTRACTED FROM HHSC RECORDS	
		6751 DATA USE AGREEMENT, PUBLIC USE DATA FILE	FE+5	FE+5				
		6752 DATA USE AGREEMENT, RESEARCH FILE	AC+1	AC+1			AC=EXPIRATION DATE ON FORM	
		6797 BRFSS DATA (INCLUDING STATISTICAL FILES AND PUBLIC USE DATA FILES)	AV	AV				
		6799 HEALTH SURVEYS USER GROUP (HSUG) - MEETING NOTES, ATTENDANCE SHEETS	CE+3	CE+3				
		6800 BRFSS REQUEST DATA FILES AND OUTPUT	AC+3	AC+3			AC=DATE REQUEST FILLED.	
		6802 SPECIAL TELEPHONE SURVEYS' DATA AND QUESTIONAIRES (INCLUDES STEPS SURVEYS, DIABETES SURVEYS, ASTHMA CALL-BACK SURVEYS, ETC)	AV	AV				
		6803 BRFSS SERVICE LEVEL AGREEMENTS	AC+3	AC+3			AC=DATE AGREEMENT EXPIRES.	
		6804 INFORMAL OR WORKGROUP MEETINGS	AV	AV			AGENDAS, DOCUMENTATION, MEETING MATERIALS, MEETING NOTES	
1.1	1251	TEXAS VITAL STATISTICS ANNUAL REPORTS (BIRTH, DEATH, MARRIAGE, AND DIVORCE) (ALL YEARS)	PM	PM		A	RETENTION PERIOD REQUIRED TO FULFILL ONGOING REQUESTS FOR STATISTICS.	
1.1	1268	DATA REQUEST/DATA DISSEMINATION TRACKING SYSTEM	FE+3	FE+3				
1.1	2759	HOSPITAL DATABASE	AV	AV			HOSPITAL PRIMARY CONTACT FILES	

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1.1	2762	HOSPITAL INPATIENT DISCHARGE DATA	AV		AV			
1.1	2797	HEDIS DATA AND REPORTS	AV		AV			
1.1	2801	HDD COMPLIANCE RECORDS	AV		AV			
1.1	5760	ANNUAL ABORTION REPORT FORM	AC+1		AC+1		AC=COMPLETION OF FINAL REPORT.	
1.1	6798	BRFSS BLANK QUESTIONNAIRES (FOR REFERENCE)	AV		AV			
1.1	7198	AUTHORIZATION TO RELEASE CONFIDENTIAL INFORMATION (HIPAA)	AC+6		AC+6		AC=AUTHORIZATION'S EXPIRATION DATE; 45 CFR 164.530 (j) (1)-(2)	
1.1	7201	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	7204	OTHER HIPAA PRIVACY DOCUMENTATION (INCLUDING LETTERS, MEMOS, FORMS)	6		6		45 CFR 164.530 (j)(1)-(2)	
1.1	7207	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	7210	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	7213	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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1.1.006	7216	COMPLAINTS RELATED TO PRIVACY (HIPAA)	AC+6	AC+6		45 CFR 164.530 (j)(1)-(2); AC=FINAL DISPOSITION OF COMPLAINT
1.1.007	2733	ADMINISTRATIVE CORRESPONDENCE (INCLUDES HOSP DATA ADV COMM, STATEWIDE HEALTH COORD COUNCIL, STATE HEALTH PLAN, STRATEGIC PLAN, HLTH PROF RESOURCE CTR, HOSP SURVEYS, HLTH INFO RESEARCH TEAM, TX CTR FOR NURSING WORKFORCE STUDIES) (LIMITED TO FORMULATION, PLANNING, IMPLEMENTATION, INTERPRETATION, MODIFICATION, OR REDEFINITION OF THE PROGRAMS, SERVICES OR PROJECTS & THE ADMINISTRATIVE REGULATIONS, POLICIES AND PROCEDURES THAT GOVERN THEM.)	4	4	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	2736	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2	2		INCLUDES SOME E-MAIL.
1.1.010	4035	DIRECTIVES (INCLUDES OPP COMPUTER USAGE HANDBOOK, OPP PROCEDURES MANUAL) (DOCUMENTATION THAT OFFICIALLY INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.)	US+1	US+1		
1.1.013	4037	CALENDARS/APPOINTMENT BOOKS	CE+1	CE+1	R	INCLUDES CALENDARS IN OUTLOOK. 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	387	LEGAL OPINIONS AND ADVICE	AV	AV	R	

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1.1.020	2709	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	2728	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2	AC+2			AC=DATE OF DENIAL OF REQUEST
1.1.024	2768	PLANNING RECORDS-METHODOLOGY, DEVELOPMENT SCHEDULES, DEVELOPMENT FILES (INCLUDES STATE HEALTH PLAN AND STRATEGIC PLAN)	AC+3	AC+3	R		AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS
1.1.038	4585	CUSTOMER SURVEYS	AC	AC			(INCLUDES LEGISLATIVELY MANDATED AGENCY CUSTOMER SERVICE SURVEY); SEE ITEM NUMBER 1.1.067 FOR SUMMARY REPORTS COMPILED FROM CUSTOMER SURVEYS.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.
1.1.040	4017	SPEECHES & PAPERS	AC	AC	R		AC=END OF TERM IN OFFICE OR TERMINATION OF SERVICE IN A STATE POSITION.
1.1.043	439	TRAINING MATERIALS	US+1	US+1			
1.1.057	1269	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.

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1.1.058	2735	MEETING AGENDAS (INCLUDES HOSPITAL DATA ADVISORY COMMITTEE, STATEWIDE HEALTH COORDINATING COUNCIL, HEALTH PROFESSIONS RESOURCE CENTER, TEXAS HEALTH CARE INFORMATION COUNCIL; TEXAS CENTER FOR NURSING WORKFORCE STUDIES)	PM	PM	A	SEND AGENDAS TO THE OFFICE OF THE STATE ARCHIVIST WITH COPIES OF THE APPROVED MINUTES. (SEE AGENCY ITEM #2800)
1.1.058	2800	MEETING MINUTES (INCLUDES HOSPITAL DATA ADVISORY COMMITTEE, STATEWIDE HEALTH COORDINATING COUNCIL, HEALTH PROFESSIONS RESOURCE CENTER; TEXAS HEALTH INFORMATION COUNCIL; TEXAS CENTER FOR NURSING WORKFORCE STUDIES)	PM	PM	A	SEND COPIES OF THE MINUTES TO THE STATE ARCHIVIST WHEN OFFICIALLY APPROVED.
1.1.060	2761	AUDIO OR VIDEOTAPES OF OPEN MEETINGS (INCLUDES HOSPITAL DATA ADVISORY COMMITTEE, STATEWIDE HEALTH COORDINATING COUNCIL, HEALTH PROFESSIONS RESOURCE CENTER; TEXAS CENTER FOR NURSING WORKFORCE STUDIES.)	AC+90 DA	AC+90 DA		AUDIO TAPES. AC=OFFICIAL APPROVAL OF WRITTEN MINUTES OF THE MEETING BY THE GOVERNING BODY OF AN AGENCY.
1.1.061	2857	MEETING NOTES (INCLUDES HOSPITAL DATA ADVISORY COMMITTEE, STATEWIDE HEALTH COORDINATING COUNCIL, HEALTH PROFESSIONS RESOURCE CENTER, TEXAS HEALTH CARE INFORMATION COUNCIL)	AC+90 DA	AC+90 DA		AC=OFFICIAL APPROVAL OF WRITTEN MINUTES OF THE MEETING BY THE GOVERNING BODY OF AN AGENCY.
1.1.062	2858	MEETINGS - SUPPORTING DOCUMENTATION (INCLUDES HOSPITAL DATA ADVISORY COMMITTEE, STATEWIDE HEALTH COORDINATING COUNCIL, TEXAS HEALTH CARE INFORMATION COUNCIL; TEXAS CENTER FOR NURSING WORKFORCE STUDIES)	2	2	A	

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1.1.064	2781	AGENCY PERFORMANCE MEASURES DOCUMENTATION (INCLUDES DISSEMINATION TRACKING FORM)	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	2706	SURVEYS (INCLUDES ANNUAL SURVEY OF HOSPITALS, ANNUAL STATEMENT OF COMMUNITY BENEFIT STANDARDS)	5	5	10	MUST BE RETAINED AS LONG AS ADMINISTRATIVELY VALUABLE, WHICH HISTORICALLY HAS BEEN 10 YEARS. INQUIRIES ABOUT THE SURVEYS ARE RECEIVED ROUTINELY DURING THIS RETENTION PERIOD FROM CUSTOMERS, LEGISLATORS, CITIZENS, AND WE MUST HAVE THE INFORMATION AVAILABLE TO ANSWER THEM.	05-537-011
1.1.065	2860	REPORTS AND STUDIES (NON-FISCAL) - RAW DATA (INCLUDES TX POPULATION & ESTIMATE PROJECTIONS, HOSP DATA PRODUCTS & REPORTS, HPRC REPORTS; TX CTR FOR NURSING WORKFORCE STUDIES)	AV		AV	INCLUDES GIS MAP REQUESTS AND MAPS.	
1.1.067	2862	REPORTS AND STUDIES - NON-FISCAL (INCLUDES SHCC, LEGISLATIVELY MANDATED REPORTS)	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.	
1.1.069	4043	REPORTS, EMPLOYEE (ACTIVITY AND PRODUCTION REPORTS USED FOR WORK-LOAD MEASURES, TIME STUDIES)	1		1		
1.1.070	410	AGENCY RULES, POLICIES, AND PROCEDURES- FINAL	AC+3		AC+3	R Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.	
1.1.070	2059	ORIENTATION MANUAL (SHCC; TCNWS)	AC+3		AC+3	R Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.	

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1.1.071	5143	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	2865	RECORDS TRANSMITTAL FORMS	AC+2	AC+2		AC=APPROVAL FOR DESTRUCTION HAS BEEN GIVEN
1.3.001	2772	PUBLICATIONS (INCLUDES STATE HEALTH PLAN, SELECTED FACTS FOR TEXAS COUNTIES, SELECTED HEALTH PROFESSIONS, MIGRATION FOR BIRTH, RANKINGS FOR TX COUNTIES; VITAL STATISTICS ANNUAL REPORT.)	AC+2	AC+2		AC=UNTIL SUPERSEDED OR OBSOLETE. FOR NEW PUBLICATIONS, HHS PRINTING SENDS COPIES TO STATE PUBLICATIONS CLEARINGHOUSE/DSHSLIBRARY FOR THOSE PRINTED AT HHS PRINTING. FOR PUBLICATIONS PRINTED ELSEWHERE, SEND COPIES TO HHS PRINTING FOR DISTRIBUTION TO CLEARINGHOUSE / LIBRARY.
1.3.002	4042	PUBLICATION FILES - BACKGROUND MATERIALS, DRAFT COPIES, ORIGINAL ART- WORK (INCLUDES STATE HEALTH PLAN, SELECTED FACTS FOR TEXAS COUNTIES, SELECTED HEALTH PROFESSIONS, MIGRATION FOR BIRTH, RANKINGS FOR TX COUNTIES)	AV	AV	R	INCLUDES PHOTOS
2.2.016	5961	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3	LA+3		Vital Record.
3.1	6681	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 CAPPS TO DOCUMENT SECOND AND THIRD LEVEL REMINDERS, BUT A PAPER COPY IS STILL FORWARDED TO HHSC HR FOR EMPLOYEE'S MASTER PERSONNEL FILE.

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3.1.006	2868	EMPLOYEE COUNSELING RECORDS	AC+3	AC+3			AC=TERMINATION OF COUNSELING. KEEP THIS RECORD SEPARATE FROM PERFORMANCE APPRAISAL.	
3.1.014	5835	EMPLOYMENT SELECTION RECORDS / NOTES (INCLUDES APPLICATIONS FOR EMPLOYMENT-NOT HIRED)	2	2			Vital Record maintained by CAPPs only. Send all records to CAPPs. CAPPs HAS FULLY ASSUMED THIS FUNCTIONALITY AS OF SEPT 2006.	
3.1.018	5488	GRIEVANCE RECORDS	AC+2	AC+2			Vital Record maintained only by HHS-Civil Rights.. MAY CONTAIN CONFIDENTIAL DATA; AC=FINAL DECISION ON GRIEVANCE. BECAUSE OF CONSOLIDATION OF HUMAN RESOURCES IN HHS ENTERPRISE, MAINTAINED IN HHS-CIVIL RIGHTS	
3.1.019	5836	PERFORMANCE APPRAISALS/JOURNALS	AC+5	AC+5			MAY CONTAIN SOME CONFIDENTIAL INFORMATION SUCH AS MEDICAL INFORMATION, SOCIAL SECURITY NUMBER, OR OTHER DATA PROTECTED BY THE PRIVACY DOCTRINE. AC=TERMINATION OF EMPLOYEE. CAPPs ASSUMED THIS FUNCTIONALITY IN AUGUST 2005. HHS-HR MUST RECEIVE ALL PERFORMANCE APPRAISALS THAT ARE NOT ALREADY IN CAPPs. HHS-OGC REQUESTED LONGER RETENTION PERIOD.	
3.1.037	2872	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.	
3.3.023	4630	REQUESTS AND AUTHORIZATIONS FOR REIMBURSABLE ACTIVITIES: TRAVEL, TUITION ASSISTANCE, ETC	FE+3	FE+3			TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL REQUESTS BEGINNING OCTOBER 2005.	
3.4.008	2875	SICK LEAVE POOL DOCUMENTATION	FE+5	FE+5				

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4.1.004	5936	ENCUMBRANCE DETAIL AND OTHER BUDGET INFORMATION (formerly 107 Health Information and Vital Statistics Section)	FE+3	FE+3		KEPT SEPARATELY FROM PURCHASING SOFTWARE.	
4.2.002	4011	CASH RECEIPTS - SALE OF OPEN RECORDS, REMITTANCE FORMS	FE+3	FE+3			
4.2.007	5937	EXPENDITURE FILES (formerly 107 Health Information and Vital Statistics Section)	FE+3	FE+3		DOCUMENTATION FOR HHSAS REQUISITIONS;	
4.7.008	7266	FEDERAL GRANT RECORDS	AC+3	AC+3		Vital Record. AC=SATISFACTION OF ALL UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS (THE COMMON RULE).	
5.1.001	5453	CONTRACTS (CENTER FOR HEALTH STATISTICS)	AC+7	AC+7		Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS	
5.1.004	3983	TELEPHONE LISTINGS	US	US			
5.1.004	4058	MAILING LISTS	US	US			
5.1.007	2878	REQUISITION FOR IN-AGENCY /INTER-AGENCY COPY/PRINTING SERVICE (INCLUDES FORMS D-8 AND D-9)	AV	AV			
5.1.011	2879	PHOTOCOPIER AND TELEFAX USAGE LOGS & REPORTS	AV	AV			
5.1.014	7267	OFFICE PROCEDURES	US+1	US+1			
5.2.010	4032	EQUIPMENT MANUALS	LA	LA			

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5.2.011	4061	EQUIPMENT WARRANTIES	AC+1	AC+1	AC=EXPIRATION OF WARRANTY
5.2.014	2881	INVENTORY--ANNUAL PHYSICAL	FE+3	FE+3	CONVENIENCE COPY. RECORD COPY IN EXECUTIVE AND STAFF OPERATIONS.
5.3	5935	PROCUREMENT CARD PURCHASES SUPPORTING DOCUMENTATION (formerly 107 Health Information and Vital Statistics Section)	FE+3	FE+3	
5.3.007	6801	BRFSS REQUESTS FOR PROPOSALS (RFPs)	FE+3	FE+3	
5.3.008	2883	PURCHASING LOGS	FE+3	FE+3	
5.3.009	2884	REQUESTS FOR INFORMATION (FOR PURCHASES)	AC	AC	AC=DATE OF DIRECT PURCHASE, ISSUANCE OF REQUEST FOR BIDS OR DECISION NOT TO PROCEED WITH THE PROCUREMENT, AS APPLICABLE.

RETENTION CODES (Field 7)

AC - After Closed, Terminated, Completed, Expired, Settled	CE - Calendar Year End	MO - Months
AV - As Long As Administratively Valuable	FE - Fiscal Year End	DA -Days
US -Until Superseded	PM - Permanent	LA - Life of Asset

ARCHIVAL CODES (Field 8)

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

VITAL Record (Include in Field 9)