

State of Texas
Records Retention Schedule

Recertified: 5/23/2012 **Updated (with or without**
Amendment Approved: 2/19/2014 **amendment): 10/4/2017**

___ ORIGINAL SUBMISSION
X RECERTIFICATION
___ REPLACEMENT PAGE
___ ADDENDUM PAGE

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			

117 - REVENUE MANAGEMENT UNIT

1.1	7197	AUTHORIZATION TO RELEASE CONFIDENTIAL INFORMATION (HIPAA)	AC+6	AC+6			AC=AUTHORIZATION'S EXPIRATION DATE; 45 CFR 164.530 (j) (1)-(2)	
1.1	7200	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	7203	OTHER HIPAA PRIVACY DOCUMENTATION (INCLUDING LETTERS, MEMOS, FORMS)	6	6			45 CFR 164.530 (j)(1)-(2)	
1.1	7206	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	7212	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	7215	COMPLAINTS RELATED TO PRIVACY (HIPAA)	AC+6	AC+6			45 CFR 164.530 (j)(1)-(2); AC=FINAL DISPOSITION OF COMPLAINT	
1.1.007	6229	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.)	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	6230	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2	2			INCLUDES SOME E-MAIL	

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1.1.024	6231	PLANS AND PLANNING RECORDS	AC+3	AC+3	R	AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS
1.1.057	215	TRANSITORY INFORMATION	AC	AC		INCLUDES LIMS CHARGE IMPORT FILES (ELECTRONIC FILES FROM ANY OF THE LIMS IMPORTED INTO ACCOUNTS RECEIVABLE SYSTEM). AC=PURPOSE OF RECORD HAS BEEN FULFILLED.
1.1.063	6232	STAFF MEETING MINUTES AND NOTES	1	1		
1.1.070	6233	AGENCY RULES, POLICIES, AND PROCEDURES - FINAL	AC+3	AC+3	R	Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES, OR PROCEDURES
1.1.071	6234	AGENCY 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	6235	RECORDS TRANSMITTALS FORMS	AC+2	AC+2		AC=DATE OF AUTHORIZATION FOR DESTRUCTION OR TRANSFER
2.2.016	5965	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3	LA+3		Vital Record.
3.1	6685	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 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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3.1.014	6236	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.	
3.3.025	6237	JOB PROCEDURE RECORDS	US+3		US+3			
3.3.030	6238	TRAINING ADMINISTRATION RECORDS	US+2		US+2		(MATERIALS AND RECORDS FOR INHOUSE TRAINING OF AGENCY PERSONNEL OF POLICES AND PROCEDURES.) TRAINING MATERIAL NOT FOUND IN TRAIN OR CAPPs. (DOES NOT INCLUDE HAZARDOUS MATERIAL TRAINING RECORDS).	
4.1.002	299	BILLING DETAIL ON FEES FOR SERVICE	6 MO	6Y6MO	7		(ELECTRONIC RECORDS KEPT IN PROGRAM AND IN CENTRALIZED BILLING SYSTEM-CBS.) FEES FOR SERVICES DOES NOT INCLUDE LONG DISTANCE BILLING; RETENTION BASED ON HIPAA REQUIREMENTS FOR MEDICARE-45 CFR 164.530 (j)(1)-(2). INCLUDES BILLING STATEMENTS.	05-537-345
4.2	7023	CASHIER MICROFILM / SCANNED IMAGES	FE+3		FE+3		CHECK IMAGES MADE AT ENDORSEMENT. MICROFILM PROCESSED AT SRC AND RETURNED TO AGENCY. AFTER 9/10/2010 CHECKS ARE IMAGED USING CHECK SCANNER/ ENDORSER.	
4.2.001	646	CASH DEPOSIT VOUCHERS	FE+1	3	FE+4		RETENTION IS BASED ON FEDERAL GUIDELINES.	05-537-028
4.2.002	647	CASH RECEIPTS	FE+3		FE+3		Vital Record.	
4.2.002	1822	CASH PROCESSING CONTROL RECORDS	FE	3	FE+3		Vital Record.	05-537-027
4.2.003	648	DAILY CASH RECEIPT LOG	FE+3		FE+3			05-537-065
4.2.003	1823	CASH ROOM LISTING OF DAILY REMITTANCE	FE+6 MO	2Y6MO	FE+3			

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4.2.003	1824	CASH CONTROL DAILY PRINTOUTS/BACK-UP	FE+1	2	FE+3			
4.2.003	2531	CASHIER BACK-UP DOCUMENTS	FE+1	2	FE+3			14-537-574
4.3	1292	LITERATURE INVOICES/REMITTANCE ADVICES	AV		AV		DESTROY AFTER ELECTRONICALLY POSTED	
4.5.002	1898	INTERNAL FISCAL MANAGEMENT REPORTS	FE+3		FE+3		INCLUDES ANNUAL FEE RESOURCES MANUAL; MONTHLY: BUDGET RUNS, CAPITAL REPORT, CASH ACTIVITY FEE REPORT, EARNED FEDERAL FUNDS REPORT, FEDERAL FUNDS REPORT, SALARY SAVINGS REPORT, SUMMARY OF AVAILABLE FUNDING; QUARTERLY STRATEGIC FINANCIAL ISSUES REPORT; SUPPLEMENTAL SUMMARY OF AVAILABLE FUNDING - PRIOR YEAR; TRANSFERS FOR BOARD OF HEALTH APPROVAL; FREW DUE DILIGENCE.	
4.5.003	1899	ANNUAL FINANCIAL REPORT REQUIRED BY THE GENERAL APPROPRIATIONS ACT	AC	6	AC+6		AC=SEPTEMBER 1 OF ODD-NUMBERED CALENDAR YEARS.	
4.7.003	5859	RETURNED CHECKS/WARRANTS/DRAFTS (UNCOLLECTABLE)	FE+4		FE+4			
4.7.005	318	CLAIMS FILES	AC+3		AC+3		Vital Record. AC=RESOLUTION OF CLAIM. INCLUDES CUSTOMER CORRESPONDENCE (BILLING DISPUTES, ACCOUNT INQUIRIES, COLLECTION LETTERS)	
5.1.007	6239	REQUISITIONS FOR IN-AGENCY/INTER-AGENCY COPY/PRINTING SERVICE	AV		AV			

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