



September 18, 2015

Ms. Connie Gilkey
Records Manager
Texas Health and Human Services Commission
4900 N. Lamar Blvd., 4th Floor
Austin, TX 78751

RE: Agency records retention schedule approved for use

State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711 2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

Dear Ms. Gilkey:

Your agency's records retention schedule is approved for use as of September 16, 2015. Your currently approved records retention schedule is available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please ensure all old copies of the schedule are superseded with this recertified copy.

Your approved retention schedule provides you with continuing authorization to dispose of agency records according to its terms. Please note that state regulations (13 TAC §6.8) require documentation of the final disposition of records by your agency. This requirement may be met by maintaining a disposition log or other evidence of the records series titles, dates covered, volume, and date of disposition. We urge on you the importance of disposing of the records of your agency in a timely manner in accordance with the retention periods on your schedule. The destruction of any records of your agency not on your schedule requires special authorization from us.

Each agency schedule must be reviewed, updated and submitted for recertification annually for the first two years after the initial approval of the schedule and every five years thereafter. The deadline for submission of your schedule for its next recertification is the last working day of **September 2020**.

During a certification period changes may need to be made to your schedule. State regulations (13 TAC §6.4) also allow for the submission of amendments to the retention schedule as needed to keep the information in the schedule current. If you are not familiar with the amendment process, or if you have any other questions, please contact the Government Information Analyst assigned to your agency, Marianna Symeonides, at 512-463-5448 or msymeonides@tsl.texas.gov.

Your efforts in developing a records retention schedule are appreciated. It not only helps to ensure the integrity of your recordkeeping practices, but it is also essential to the success of your records management program.

Sincerely,

A handwritten signature in blue ink, appearing to read "CK", written over a light blue circular stamp.

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Dr. Kyle Janek

R01.529/529

529 BA



STATE OF TEXAS Records Retention Schedule Certification

SLR 105C

Form SLR 105 or SLR 122 must accompany all submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 529

Agency Name Health and Human Services Commission

(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
- Records Management Officer

Signature Connie Gilkey

Name (Print or type) Connie Gilkey

Date 4/14/15

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office

(For the exclusive use of the State Auditor's Office)

Signature _____

Name (Print or type) _____

Date _____

Not Required at This Time

Texas State Library and Archives Commission

(For the exclusive use of the State Library and Archives Commission)

Signature Donna Osborne

Name (Print or type) Donna Osborne

Date 9/16/15

Cert/Recert No. 6

Amendment No. _____

CAUTION

A state record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

A state record whose retention period expires during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record may not be destroyed until the completion of the action and the resolution of all issues that arise from it.





STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 1 of 76

2. Agency Code		529		3. Agency Name						Health and Human Services Commission	
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
				Agency	Storage	Total	9. Remarks				

General

5080		Third Party Recipient Files	FE+2	3	FE+5		
5136		Misc. Project Files	CE+4		CE+4	Includes handbooks, reports, training and planning materials, videos, notes, for misc. projects.	
5454		Tax Sensitive Information	AC+5		AC+5	AC= Federal Fiscal year end. Retained to meet IRS Requirements. Consists of Removal Log, Transmittal Log, and Destruction Log.	
5604		Customer Surveys/Results	AC+3		AC+3	AC= survey completed	
5631		WTPY/SOLQ Reports SSA Documentation	AC+5		AC+5	WTPY-Wired Third Party Query SOLQ- State On Line Query AC= Federal Fiscal year end. SSA documentation is retained the same time frame as TSI information.	
5646		Workgroup Notes	AC+1		AC+1	AC= notes approved	
5768		Volunteer Records	AC+1		AC+1	AC= No longer a volunteer TX Gov. Code Title 10, Chapter 2109FF, 7 CFR 272.4, 42 CFR 432.32, and 45CFR 225.2	
5798		Family Medical Leave Act (FMLA) Documentation	AC+3		AC+3	AC= Date the FMLA leave ended.	
1.1	5184	Data Supporting Special Reports and Studies	AC+1	5	AC+6	AC= Report or Study is complete. Delete 106# when boxes have met their retention.	

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
 AV – Administrative Value

CE – Calendar Year End
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LA – Life of Asset
 MO – Months

PM – Permanent
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Archival Codes (Field 8)

A – Transfer to State Archives
 R – Review by State Archivist



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 2 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
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1.1	5619	Training Evaluation Forms	AV		AV			
1.1	5640	Agency Newsletters	2		2			
1.1.002	5195	Audits- Internal/External	AC+2	5	AC+7			
1.1.007	5003	Correspondence -Administrative	4		4	R		
1.1.008	5004	Correspondence - General	2		2			
1.1.010	5005	Directives: Routine Issuances, General Administrative & Office Procedures	US+1		US+1			
1.1.013	5007	Itinerary Information, Calendars	CE+1		CE+1	R		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 3of 76

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1.1.023	5013	Organizational Charts	US	US		A		
1.1.024	5014	Planning Records	AC+3	AC+3		R	Administrative planning records not included in or directly related to other records series in this schedule. AC= decision made to implement or not implement result of planning process	
1.1.027	5751	Legislative Documents (proposed legislation, follow-up notes, reports, tracking records)	AC+3	AC+3			AC= End of Legislative Session. Research, correspondence, bill analysis and tracking, and other working documents required to respond to Legislative requests for information and proposed laws.	
1.1.040	5752	Speeches and Presentations	AC	AC		R	AC=end of term in office.	
1.1.043	5023	Training Materials	US+1	US+1			Manuals, materials developed by agency for training.	
1.1.053	5027	Registration Logs	AC	AC			The registration of persons who represent others before state agencies. AC= Report filed with The Texas Ethics Commission.	
1.1.055	5434	Strategic Plan	AC+6	AC+6		A	AC= September 1 of odd-numbered calendar years. Revisions on past plans by each division concerning their program. Archival requirement met by sending required copies to State Publication Depository Program, TSLAC.	
1.1.057	5137	Transitory Information	AC	AC			AC = purpose of record has been fulfilled	
1.1.057	5647	Telephone Message Notifications	1	1			Includes phone message books and slips, etc.	

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 4 of 76

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1.1.058	5207	Meeting Minutes, Official	PM	PM		A		
1.1.059	5025	Meetings, Certified Agendas/Tape Recordings of Closed.	AC+2	AC+2				
1.1.060	5028	Meetings: Audio or Videotapes of Open	AC+90days	AC+90days				
1.1.061	5009	Meetings - Notes	AC+90 days	AC+90 days				
1.1.062	5026	Meetings - Supporting Documentation	CE+2	CE+2		A		
1.1.063	5030	Staff Meeting Minutes	AC+1	AC+1				

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 5 of 76

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			Agency	Storage	Total			
1.1.064	5753	Agency Performance Measures Documentation	FE+3		FE+3			
						Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan. CAUTION: The FE+3 retention period overrides any shorter retention period for a records series in this schedule if the record series is needed for documentation of agency performance measures.		
1.1.065	5020	Reports, Studies & Surveys (Non Fiscal) Raw Data	AV		AV	R		
						Includes non-routing or special reports, studies, surveys, etc. Includes Raw Data materials not produced in final report or study. CAUTION: Does not include source documentation used for information or data included in or directly related to another records series in this schedule. See especially item number 1.1.064.		
1.1.066	5017	Reports - Biennial or Annual Agency (Narrative)	AC+6		AC+6	A		
						Biennial narrative reports to the governor and legislature as required by an agency's enabling statutes, including annual narrative reports if they are required by statute. AC = September 1st of ODD-numbered calendar years. The archival requirement is met by sending the required copies of the reports to the Texas State Publications Depository Program, TSL and Archives Commission.		
1.1.067	5019	Reports and Studies (Non-Fiscal)	AC+3		AC+3	R		
						Annual, sub-annual, administrative, special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel, by advisory committees, or by consultants under contract with an agency that are not noted elsewhere in this schedule. Includes reports distributed either internally or to other entities. AC = date report completed.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 6 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission							
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			Agency	Storage	Total				
1.1.068	5016	Reports - Reports on Performance Measures	AC+2	4	AC+6		Quarterly and annual reports on agency performance measures submitted to the executive and legislative budget offices. AC = September 1 of odd numbered calendar years.		
1.1.069	5018	Reports - Activity	CE+1		CE+1		Reports compiled by agency personnel on a daily or other periodic basis pertaining to workload monitoring, task completion times, number of public contacts, and similar activities. Caution: The retention period overrides any shorter retention period for a records series in this schedule if the records series is needed for documentation of agency performance measures.		
1.1.070	5202	Policies and Procedures	AC	3	AC+3	R	Internal publications or statements which define the agency's policies and operating procedures, such as employee's guide, Office Procedures manuals, etc. AC= completion or termination of program, rules, policies or procedures.		
1.1.071	5605	Agency Rules, Policies and Procedures-Working Files	AC	3	AC+3	R	Internal publications or statements which define the agency's policies and operating procedures, such as employee's guide, Office Procedures Manuals, etc. AC= completion or termination to program, rules, policies or procedures.		
1.1.074	5607	Sunset Review Report and Documentation	AC+3		AC+3	R	AC= After the subsequent Sunset Review		
1.3.001	5510	State Publications	AC+2		AC+2		AC= until superseded.		
1.3.002	5509	Publication Development Files	AV		AV	R	Background materials, copies, drafts, original artwork, etc. This includes all work performed both inside and outside the agency.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 7 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
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3.1.006	5048	Employee Counseling Notes	AC+3		AC+3			
3.3.030	5482	Training Administrative Records	US+2		US+2			
4.5.006	5832	Annual Operating Budget	FE+3		FE+3			
5.1.007	5261	Request In- Agency Copy/Print Services	AV		AV			
5.1.015	5163	Correspondence Tracking Records	CE+1		CE+1			
5.3.009	5270	Request for Information	AC		AC			AC= date of direct purchase, issuance of request for bids, or decision not to proceed with the procurement, as applicable. Requests for information preliminary to the procurement of goods or services by direct purchase or bid.
5.4.013	5539	Disaster Preparedness and Recovery Plans	AC+6		AC+6			AC= The date it was last created or when it was last in effect, whichever is later. Retention period changed to 6 years due to audit and/or investigation purposes.
5.4.013	5736	Business Continuity Plans	US		US			
5.5.002	5643	Telephone Logs	AV		AV			

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SLR 105 Rev. 02/09					



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 8 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
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			Agency	Storage	Total			
5.5.004	5112	System Activity Reports	AV	AV		Internal listing of all incoming/outgoing agency telephone activity. Includes Telephone Message Books		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 9 of 76

2. Agency Code		529		3. Agency Name Health and Human Services Commission						
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Business and Regional Services

5629	Training Compliance Measures	AC+6	AC+6	AC= Training complete. This is the TIMS data that CT&D generates each month for all of the facilities.
5630	iLEARN Training Performance Measures	AC+6	AC+6	AC= Training complete. This is the number of iLEARN and infoLEARN course completions and customer satisfaction data that is collected and reported on each month.
5634	HHSC FSS Master Menu	AC+10	AC+10	AC= Menu Completed.. This includes a 31 day plus holiday menu cycle with multiple therapeutic diets.
5635	HHSC FSS Master Menu Nutrition Analysis	AC+10	AC+10	AC= Menu Completed. This is an electronic copy
5636	HHSC FSS Standardized Recipes	AV	AV	
5637	Food Service Benchmark Consolidation Reports	AC+6	AC+6	AC= Once report is complete.
5799	Ban Letters	2	2	Regional Administrative Services. These are letters sent to individuals banning them from HHSC offices.
5810	CAFM 10 Project Management Documents (5136)	AC+3	AC+3	Facility Support Services AC= end of project. This includes project charters, project schedules, project deliverables, project needs assesments.
5811	Continuity of Operation Plans For Facilities	US	US	Facility Support Services

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 10 of 76

2. Agency Code		3. Agency Name						
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			Agency	Storage	Total			
	5812	Requisition Pick and Delivery Ticket	FE+3	FE+3		Facility Support Services Documentation showing that requestors requisition was picked and delivered. Using the pick ticket, the warehouse staff pulls the requested items from the warehouse stock. Another supply service employee will check and initial the pick ticket for accuracy. Using the delivery ticket, the warehouse staff will deliver the items to the requester. The person delivering the product will initial, and the requester will sign and date the delivery ticket upon receipt of product.		
	5813	Interstate Compact Transfers	AV	AV		Facility Support Services Detailed confidential client medical records from clients in other states requesting transfers to Texas and Texas clients requesting transfers to other states. These are clients living in state hospitals or state supported living centers.		
	5814	Health and Human Services Administrative System (HHSAS) Stock and Non Stock Purchase Orders	FE+3	FE+3		Facility Support Services Records for the receipt of non stock and stock purchase orders, including HHSAS purchase order, Texas CPA-Standard PO, vendor shipment documentation (bill of lading, packing slip, etc.), HHSAS delivery receipts.		
	5815	Materials Inventory Management System (MIMS) and Inventory Control Specialist (ICS) Files	FE+3	FE+3		Facility Support Services Documentation of MIMS transactions maintained by the Inventory Control Specialist. Not limited to manual transactions, Inventory, replenishments, new item setup, MIMS requester setup.		
1.1	5638	Laundry Benchmark Consolidated Reports	AV	AV				
1.1	5639	Environmental Services Benchmark Consolidated Report	AV	AV				

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 11 of 76

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			Agency	Storage	Total					
1.1	5710	Special Projects	FE+3		FE+3		Regional Administrative Services. This includes Reconciliation of Stock, Security Assessments and Facility Reviews and any other RAS special projects.			
4.2	5757	Requisition/Payment Documentation	FE+3		FE+3		Regional Administrative Services. This includes payment vouchers receipt forms (form 4100), requisitions for in agency copy/printing services.			
4.5.002	5613	Reports	FE+3		FE+3		Regional Administrative Services Reports. This includes delivery reports, Surplus property sale reports, and all other RAS reports.			
5.1	5627	Real Estate Deeds and Corresponding Documents	LA		LA		Real Estate Management retains the agency originals. In some cases, the General Land Office may retain agency originals.			
5.1	5712	Postage/Mail Data	FE+3		FE+3		Regional Administrative Services, Enterprise Facility Leasing Services. This includes Postage Expense Reports, Mailing Lists, Postage Records (RAS02) and Package Tracking and unpaid Return Receipts for Certified Mail.			
5.1.001	5739	Real Estate Contracts and Leases	AC+7		AC+7		AC = After contract is terminated or expired. Real Estate Management retains the agency originals, In some cases, the General Land Office may retain agency originals.			
5.1.005	5259	Postage Expense Reports	FE+3		FE+3		Enterprise Facility Leasing Services			
5.2	5691	Construction Files	0	LA+20	LA+20	R	Includes Facility owned and/or managed by Legacy MHMR Agency. 09-529-160 (RC Boxes) 09-529-162 (Rolled)	09-529-160		
5.2	5692	Construction Drawings	0	LA+20	LA+20	R	Includes Facility owned and/or managed by Legacy MHMR Agency.	09-529-161		

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SLR 105 Rev. 02/09					



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 12 of 76

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5.2.002	5758	Building Construction Project Files	AC	10	AC+10	R	AC= Completion of project. Planning, design, and construction records; accepted and rejected bids; correspondence, etc. This includes Renovation and Exclusion Projects (See 5.2.003 and 5.2.028).	09-529-164
5.2.003	5742	Building Plans and Specifications- State Owned	LA+20		LA+20	R	Enterprise Facility Leasing Services	05-529-143 10-529-165
5.2.003	5743	Building Plans and Specifications- Leased	AC+2		AC+2		Enterprise Facility Leasing Services AC =Termination or cancellation of lease.. Includes architectural and engineering drawings, profiles, and blueprints. (See 5.2.002 and 5.2.028). R = State-owned only.	09-529-163
5.2.011	5105	Equipment Data	AC+1		AC+1		Regional Administrative Services AC=after equipment is disposed of, or warranty has run out. This includes equipment inventory detail report forms, equipment warranties and manuals,	
5.2.028	5109	Building Construction Contract and Inspection Records	LA+10		LA+10	R	Enterprise Facility Leasing Services Bldg. construction contracts, surety bonds, inspection records. (See 5.2.002, 5.2.003)	
5.4.001	5760	Accident Reports and Associated Documentation	CE+5		CE+5		29CFR1904.33 This is for Fleet Operations.	
5.4.002	5110	Evacuation Plans	US+1MO		US+1MO		Regional Administrative Services	
5.4.003	5111	Fire Inspection Records	AC+3		AC+3		Regional Administrative Services Includes Fire Orders issued by Fire Marshal to correct deficiencies in compliance w/fire code. Includes Safety Inspections: For any facility equipment including fire protection systems and equipment. May also include safety procedures. AC = Inspection date or the correction of the deficiency, if the inspection report reveals a deficiency.	

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 13 of 76

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CAUTION: DOES NOT INCLUDE INSPECTION REPORTS OF BUILDING CONSTRUCTION. SEE ITEM NUMBER 5.2.008

5.4.007	5532	Hazardous Material Training Records	5	5	Enterprise Facility Leasing Services Texas Health and Safety Code, 502.009 (g).				
5.4.009	5271	Hazardous Materials Safety Records/Workplace Chemicals	30	30	Enterprise Facility Leasing Services Texas Health and Safety Code 502.005(d)				
5.4.011	5603	Visitor Control Registers	3	3	Enterprise Facility Leasing Services Logs, registers or similar records documenting visitors to limited access or to agency facilities				
5.6.003	5253	Inspection Repair and Maintenance Records-Vehicle Checklist	LA+1	LA+1					
5.6.003	5616	Inspection Records	LA+1	LA+1	Regional Administrative Services This includes Inspection, repair, and maintenance records-vehicle, parking permits and parking assignments.				
5.6.004	5633	License and Driving Record Checks	AC	AC	AC= Until superseded or termination of employment				
5.6.005	5254	Vehicle Usage Reports	FE+3	FE+3					
5.6.007	5615	Vehicle Titles and Registrations	LA	LA					

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
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Archival Codes (Field 8)

A – Transfer to State Archives
 R – Review by State Archivist



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 14 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

Center For Elimination of Disproportionality and Disparities

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
1.1.058	5645	Meeting Minutes, Attachments and Agendas for Interagency Council for Addressing Disproportionality (ICAD)	PM	PM		A	Archival requirement is met by sending copies to the State Archives.		
1.1.060	5654	Meetings-Audiotapes of ICAD	AC+90days	AC+90days			AC=Official approval of written minutes of the meeting by the governing body of an agency		
1.1.062	5655	Supporting Documentation to the ICAD	2	2		A			
4.7.008	5648	Federal Grant Records	AC+3	AC+3			AC=Satisfaction of all uniform administrative requirements for grants and cooperative agreements to state and local governments (the common rule)		

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 15 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Civil Rights Office

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
1.1	5233	Compliance Reviews	AC+4	AC+4			AC=After completion		
1.1	5235	Administrative Complaints	AC+3	AC+3			AC= Final Disposition. Includes Administrative Retaliation		
1.1	5242	Service-Related Complaints	AC+3	AC+3			AC= Final Disposition (unless in litigation, then 3 years after verdict).		
1.1	5244	Employment Discrimination Complaints	AC+3	AC+3			AC= Final Disposition (unless in litigation, then 3 years after verdict) Includes the following complaints: Employee, Veterans Employment Preference and Former Foster Child Employment Preference.		
1.1	5248	Reasonable Accommodation Files	AC+3	AC+3			AC= After termination from HHS (unless in litigation, then 3 years after verdict) 28CFR35.105(c)		
1.1.006	5196	Management Initiated Investigations	AC+3	AC+3			AC= Final Disposition (unless in litigation, then 3 years after verdict)		
3.1	5241	Service Related External Complaints	AC+3	AC+3			AC= Final Disposition (unless in litigation, then 3 years after verdict)		
3.1	5245	Inquiries	AC+1	AC+1			AC= After Completion		
3.3.031	5239	EEOC/TWCCRD Charges	AC+3	AC+3			AC= Final Disposition (unless in litigation, then 3 years after verdict)		

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 16 of 76

2. Agency Code		529		3. Agency Name						Health and Human Services Commission					
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival			10. 106 No.	11. TSLAC ONLY Amend. No.			
					Agency	Storage	Total						9. Remarks		

Communications

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Agency	7. Storage	7. Total	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
	5626	Agency Brochure Orders	AC	AC			AC= Once order is complete.		
	5816	Case Information Release Form	3	3			Form that clients fill out and sign which then allows our public information officers to discuss their case with the media.		
	5817	Service Ace Awards	3	3					
	5833	Social Media Submissions	AC+2	AC+2			AC=date of posting. This includes information generated by HHSC or received from public assistance.		
1.1.019	5200	Public Relations Records	3	3		R	This includes the following newsletters: The Connection, Inside at HHSC, and In Touch. This also includes press/news releases.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 17 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period Agency Storage Total			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.

Consumer and External Affairs

1.1	5609	Legislative Presentations	FE+3	FE+3	R	
1.1	5700	Legislative Inquiries	AV	AV		
1.1	5701	Legislative Notifications	FE+3	FE+3		
1.1.027	5204	Legislative Documents (proposed legislation, follow-up notes, reports, tracking records)	FE+3	FE+3		
1.1.058	5610	Meeting Agenda and Minutes	PM	PM	A	Includes HHSC Council Meetings, Stakeholder Meetings, etc. Archival requirement is met by sending copies to the State Archives.

Executive Commissioners Office

1.1	5249	Executive Clerk Records	AV	AV		
1.1.011	5006	Executive Orders	US+3	US+3	A	Records which document significant changes or new agency policies, programs, and/or procedures.
1.1.026	5274	Texas Register Submissions (Rules)	AC+3	AC+3		AC= Date of publication in the Texas Register.

Retention Codes (Field 7)	Archival Codes (Field 8)
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 18 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

Financial Services

5151	Actuarial Reports & Supporting Work Papers	AV		AV			
5474	SNAP (Supplemental Nutrition Assistance Program) Receivables	AC+4		AC+4		AC= after claim is paid.	
5475	TANF/Medicaid Receivables	AC+4		AC+4		AC= after claim is paid.	
5502	Restitution Records	3m	5y9m	6 yrs		Vital record series protected by contracted off site storage	
5505	Restitution Correspondence	FE+1	2	FE+3			
5767	ATP(Authorization to Participate)/AFDC (Aid to Families with Dependent Children) Inventory Records	AC+3		AC+3		AC= Federal Fiscal Year End	
5783	Salary Overpayments (Paymaster Files)	FE+3		FE+3		All files related to attempts to collect salary overpayments.	
5784	Warrant Distribution Files	FE+3		FE+3		Signature Logs, DAFR hold releases.	
5785	HHSAS/Neubus Security Requests	FE+3		FE+3		Stored on G: Account	

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 19 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
	5786	HHSAS Financials Security Certification	FE+3	FE+3		Web based reporting system plus manual proxy, reconciliation files.		
	5787	Travel Central Billing Account Reconciliations/Statements	FE+3	FE+3		Stored on G: Account		
	5788	Form 4186 (Request for Authorization to Travel)	FE+3	FE+3		Held until matched to travel documents.		
	5789	Direct Deposit Reversals	FE+1	FE+1		Includes all supporting documentation.		
	5790	DMI Override Requests	FE+1	FE+1		Includes all supporting documentation.		
	5791	Super Security Deletes	FE+1	FE+1		Includes all supporting documentation.		
	5792	Judgements and Settlements	FE+3	FE+3		Includes all supporting documentation.		
	5793	Historical Data Files	FE+3	FE+3		HHS System Forecasting Office. This category includes Enterprise records which include Medicaid (includes Long Term Services) Childrens Health Insurance Program, TANF, DFPS (Child Protective Services and Adult Protective Services) and DARS Early Childhood Intervention		
	5794	Caseload/Cost Completion Files	FE+3	FE+3		HHS System Forecasting Office. This category includes Enterprise records which include Medicaid (includes Long Term Services) Childrens Health Insurance Program, TANF, DFPS (Child Protective Services and Adult Protective Services) and DARS		

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 20 of 76

2. Agency Code		529		3. Agency Name						Health and Human Services Commission					
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival			10. 106 No.	11. TSLAC ONLY Amend. No.			
		Agency	Storage	Total				9. Remarks							

	5795	Forecast Tournaments	FE+3	FE+3						Early Childhood Intervention		
	5796	Final Files with New Forecast	FE+3	FE+3						HHS System Forecasting Office. This category includes Enterprise records which include Medicaid (includes Long Term Services) Childrens Health Insurance Program, TANF, DFPS (Child Protective Services and Adult Protective Services) and DARS Early Childhood Intervention		
	5797	Medicare and Medicaid Services Waiver	FE+3	FE+3						This includes Healthcare Transformation Waiver (1115 Waiver)and other waivers.		
1.1.002	5498	State Audit Reports (From State Auditor) & Federal Audit Reports	AC+1	6	AC+7					AC= Publication or release of final audit findings		
1.1.004	5002	Legislative Appropriation Requests/Biennial Budget Requests	AC+4		AC+4			A		Financial Service/Budget Office Archival: Send copy to TX Publication Depository Program, TSL. AC=September 1 of odd-numbered calendar years.		
1.1.064	5841	Agency Performance Measures Documentation	FE+3		FE+3					Financial Services/ Budget Office Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan. CAUTION: The FE+3 retention period overrides any shorter retention period for a records series in this schedule if the record series is needed for documentation of agency performance measures.		

Retention Codes (Field 7)				Archival Codes (Field 8)			
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 21 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
1.1.068	5835	Reports - Reports on Performance Measures	AC+6		AC+6	Financial Services/Budget Office Quarterly and annual reports on agency performance measures submitted to the executive and legislative budget offices. AC = September 1 of odd numbered calendar years.		
3.2.003	5056	Federal Tax Records	AC+4		AC+4	AC = After taxes filed. Includes FICA records. 26CFR31.6001-1(e)(2). AC: Tax Due date, date the claim is filed, or date tax is aid, whichever is later. Not HRS. Includes 1099 and W2 (accounting dept)		
3.2.003	5782	1099-INT, 1099-Misc. Files	AC+7		AC+7	1099's issued to vendors for qualifying payments and notices. AC=tax due date, date claim filed, or date tax paid, whichever is later.		
4.1	5229	Accounting Detail Records	FE+3		FE+3			
4.1	5702	Public Assistance Certification Requests	FE+3		FE+3	Forms 5075, 1740 and 1826, OAG request, OIG request, Ombudsman request, Client letters, Subpoena Responses, Office of General Counsel Requests, Out of State verifications, Housing, INS		
4.1.003	5497	TANF (AFDC) Warrant Change Authorization	AC	3	AC+3	AC= Completion of warrant change Form 1008		
4.2	5063	Vendor Files/Maintenance Files	FE	3	FE+3	All information regarding vendor maintenance including AP-152, 74-157 and 74-176		
4.2	5072	Cash Deposit Vouchers	FE	3	FE+3	Cash deposit slips. Delete 106# when boxes have met their retention.		
4.2	5075	HHSAS Travel/AP Vouchers with Supporting Documentation	FE	3	FE+3	Requisitions, Purchase Orders, Receiving Reports, invoices, Form 1084's, Approvals, Travel Documentation, , Cancellations. Electronic stored at Neubus.		

Retention Codes (Field 7)				Archival Codes (Field 8)	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 22 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
4.2	5499	Deposit Request Vouchers	FE	3	FE+3			
4.2	5522	Receipts, Disbursements and Accounting (Vouchers)	FE	3	FE+3			
4.2	5533	Restitution Correspondence	FE+1	2	FE+3			
4.2.002	5507	Cash Receipts and Restitution Files	AC	5	AC+5		AC= when all payments have been made.	
4.2.003	5508	Daily Cash Receipts Logs, Journals	FE	3	FE+3			
4.2.006	5076	General Journal Vouchers	FE+3		FE+3			
4.2.007	5077	Refund of Expenditure Vouchers	FE+3		FE+3			
4.4.002	5078	Accounts Receivable Ledgers	FE+3		FE+3			
4.5	5230	Pro Forma Financial Summaries	FE	8	FE+8			
4.5.002	5503	Monthly Financial Report (MFR)	FE+3		FE+3		Financial Services/Budget Office	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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SLR 105 Rev. 02/09					



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 23 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period	8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
4.5.005	5501	Additional External Reports	FE+3	FE+3			
4.5.006	5763	Annual Operating Budgets	FE+3	FE+3	Financial Services/Budget Office Required by the General Appropriations Act. Also Includes Medicaid Budget		
4.7.002	5087	Bank Statements	FE+3	FE+3	GTFCU Travel Advance Account (Electronically Stored)		
4.7.005	5494	Miscellaneous Claim Files	AC+3	AC+3	AC= Resolution of claim		
4.7.006	5089	Comptroller Reports	FE+3	FE+3	DAFR Reports		
5.5.001	5272	Cell Phone Billing Detail	FE+3	FE+3	Web based billing detail through vendor.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 24 of 76

2. Agency Code		529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period		8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
		Agency	Storage	Total			9. Remarks			

HHS Fiscal Payroll and Leave

3.1	5662	Letter Of Authorization (LOA)	AC+5	AC+5	AC= authorization signed
3.1	5663	ERS Reconciliation	FE+2	3 FE+5	Retirement Contribution Reports
3.2	5222	Payroll Warrant Listing	FE+5	FE+5	
3.2	5661	Warrant Registers	FE+1	4 FE+5	Vendor Remittance
3.2.001	5664	Employee Deduction Authorizations	AC+5	AC+5	Garnishments, Voluntary deductions, Savings Bonds AC= After termination of employee, or after amendment, expiration, or termination of authorization, whichever is sooner.
3.2.002	5055	Employee Earnings Records	CE+5	CE+5	40 TAC 815.106(I).
3.2.002	5665	Income Adjustment Authorizations	FE+3	2 FE+5	Cancellations, Journal Vouchers, Consolidated Spreadsheets, Manual Payment Request, Returned Money Documentation
3.2.003	5660	Federal Tax Records	AC+5	AC+5	941 Quarterly Tax Reports, Returned W-2, W-2C, Form 1099, DAFR (3913) Reports AC= Tax due date, date claim is filed or date tax is paid, whichever is later.
3.2.009	5057	State Deferred Compensation Records	AC	5 AC+5	AC= All accounts with a vendor for the individual participants have been closed.

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 25 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		
3.3.001	5059	Affirmative Action Plans	FE+5		FE+5			
3.3.020	5223	Work Schedules/ Assignments	FE+5		FE+5			
3.4	5067	Timekeeping Records	FE+1	4	FE+5			
3.4.001	5065	Accumulated Leave Adjustment Requests	FE+2	3	FE+5			
3.4.002	5066	Leave Status Reports	FE+5		FE+5			
3.4.004	5224	Overtime Authorization	FE+5		FE+5			
3.4.005	5225	Overtime Schedules	FE+5		FE+5			
3.4.007	5227	Employee Leave Records	FE+5		FE+5			
3.4.008	5068	Sick Leave Pool/ Extended Sick Leave Documentation	FE+3	2	FE+5			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 26 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

Human Resources

	5525	Test Answer Booklets	AC		AC	AC= expiration of test scores or 6 months, whichever is longer.
	5779	Employment and/or Salary Verifications	AC+1		AC+1	AC= date of employment/salary verification.
1.1.041	5022	Suggestion System Records	CE+1		CE+1	Suggestions submitted by agency personnel and responses. State Employee Incentive Program documents
2.2	5483	Training Charge Back Records	FE+1	2	FE+3	
3.1	5047	Personnel Files	AC	5	AC+5	AC= After employee separates or terminates. Includes: 1. Personnel/Payroll Action form(s); 2. One initialed copy of each of the employee's job description; 3. One copy of the job posting used to initially hire the employee; 4. One copy of the employee's application for employment and resume or cover letters if any; 5. W-4(s); 6. Leveling authorization (prior to 1996); 7. Signed receipt forms for policy manual and specific policies; 8. Direct deposit authorization(s) or declination; 9. Performance Evaluations; 10. Prior state employment verification(s); 11. Transfer verification; 12. Savings bond enrollment form(s); 13. Recommendations for merits or bonuses; 14. Disciplinary action information (reprimands, termination letters, etc.); 15. Separation letter; 16. Thank you or recognition letters; 17. Training certificates; 18. Separating employee clearance checklist; 19. Miscellaneous (i.e. notes of overpayments or manual payrolls, etc.) 20. HHS

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 27 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

3.1.011	5050	Employee's Insurance File	AC	AC		Enterprise Computer Use Agreements. Delete 106# when boxes have met their retention. AC = Until superseded or employee separates or is terminated.		
3.1.012	5545	Employee Opportunity Announcements	2	2				
3.1.014	5214	Position Selection Documentation	2	2		CFR1602.31(a). Contains some confidential information.		
3.1.023	5220	Position/Job Description	AC+4	AC+4		40TAC815.106(i) AC= Until superseded or job eliminated.		
3.1.024	5708	Physical Examination/Medical Reports	AC+2	AC+2		AC= until superseded or termination of employment		
3.1.026	5221	Security Clearance/ Criminal History Checks	AC	AC		AC= has served immediate purpose		
3.1.027	5052	Training Records	AC+1	4	AC+5	AC = After training completed. Does not include hazardous material training records. (See 5.4.007). HRS includes: Materials for customized training, attendance records and BCMD records.		
3.1.029	5053	I-9	AC+1		AC+1	AC=Termination of employment. Includes employee's home address information. ***CAUTION Federal regulation requires that INS I-9 forms be retained for 3 years from date of hire or 1 year after termination of employee, whichever is later. Agency should make certain that the INS I-9 forms for employees who terminate from an agency less than three years from date of hire are kept for the 3 year retention period.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 28 of 76

2. Agency Code		3. Agency Name					8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
529		Health and Human Services Commission							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			9. Remarks			
			Agency	Storage	Total				
3.1.034	5054	Resumes - Unsolicited	AV		AV	(see 3.1.014 for resumes, whether solicited or unsolicited, that are used in any way in the employment selection process). Resumes not kept for review			
3.2.007	5703	Unemployment Compensation Records	AC+5		AC+5	AC= Once claim is closed or settled.			
3.2.010	5058	Human Resources Information System (HRIS) Reports	AC+4		AC+4	AC =Report produced. Includes supporting documentation. Includes FTE report and exempt plan.			
3.3.004	5060	Open Enrollment Information	US+1		US+1	AC = End of open enrollment period. 29CFR1627.3(b)(2).			
3.3.011	5062	Former Employee Verification Records	AC+75		AC+75	Minimum info needed to verify employment, includes name, social security number, exact dates of employment, and last known address. SSN, address, phone and may include family info. Includes: employment history summary; statement of last coverage, ERS designation of beneficiary and last known address and phone #. AC= Termination of Employment			
3.3.015	5064	Positions/Job Classification Review File	US	3	US+3	SSN confidential. Classification review report; classification audit and classification compliance (job audit records)			
3.3.024	5618	Personnel Policies and Procedures	US+3		US+3				
3.3.026	5061	Employee Listings	US+3		US+3	Until no longer needed for reports or tracking information. Identifies employee by social security number, name, or position. SSN confidential			

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 29 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
3.3.027	5705	Aptitude and Skills Test	US+2	US+2		29CFR1602.31		
3.3.028	5706	Aptitude and Skills Test (Test Papers)	2	2		29CFR1602.31		
3.3.029	5707	Aptitude and Skills Test (Validation Records)	AC+2	AC+2		AC=As long as the test is used by the agency. 29CFR1602.31		
3.3.031	5049	EEO- Report and Supporting Documentation	CE+3	CE+3		Includes documentation used to complete EEO reports.		

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 30 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
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Information Technology

1.1	5579	HHSC Information Technology (IT) Handbook	6	6	Retain a copy of the IT policies at least 6 yrs from the date it was created or the date it was in effect, whichever is later. 45 CFR 164.316 (b)
1.1	5658	Call Center Agent Voice Recordings	6	6	Retention period based on statute of limitations for federal investigation of overpayments by HHSC or fraud, waste and abuse. This timeframe will assist in a defense for HHSC or investigations
1.1	5659	Faxes- Inbound/Outbound	6	6	Retention period based on statute of limitations for federal investigation of overpayments by HHSC or fraud, waste and abuse. This timeframe will assist in a defense for HHSC or investigations
2.1	5628	Request for User Computer Access	AC+6	AC+6	AC= Termination of employment
2.1.001	5038	Automated Files - Processing Files	AC+3	AC+3	Machine-readable files used in the creation, utilization and updating of master files, including printing, raw data input, maintenance and test, working and transactional files. AC = Dispose of after completion of 3rd update cycle except: (a)Raw data input or source file which replaces or serves as the basic source document in lieu of a text or other source document - follow the retention period approved for the equivalent type of text record or as long as administratively valuable, whichever longer. (b) Routing or benchmark data file used in testing a system or program as long as administratively valuable. (c) File which facilitates processing of a particular job or system run, but which does not add to, delete from, or substantially modify information in a master file - as long as administratively valuable.

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Archival Codes (Field 8)

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R – Review by State Archivist



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 31 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total				9. Remarks
2.1.002	5039	Automated files - Master files	AC+3		AC+3	Files constituting the definitive state of a data file in a system at any given time. AC = Dispose of after completion of 3rd update cycle except: (a) Data file which replaces or serves in lieu of text record: Follow retention period approved for equivalent type text record. (b) Output data file extracted from system solely to produce printed reports or other publications. Dispose of when no longer needed.			
2.1.007	5041	Software Programs and Job Control Language	AC+3		AC+3		Application software including commercial, customized, etc. AC = Until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that require the software to be retrieved and read. 13 TAC 6.94.		
2.1.008	5040	System and File Documentation	AC+3		AC+3		Records providing info about the content, structure, and technical specifications of computer systems, including user guides, codebooks, record layout sheets, file specifications, and all other such documents necessary to the initiation, development, operation and maintenance of system and individual applications and programs within the system. AC = Software required to retrieve and read any electronic records maintained by the computer system must be retained as long as the approved ret. period for the electron records.		
2.2	5524	Requests for Computer Access Codes	CE	10	CE+10			05-529-153	
2.2	5540	Computer Output to Microfilm (COM) Reports-AFDC Dependent Group List and SAVERR AFDC Warrant Purge	40		40	COM Reports- AFDC Dependent Group List and SAVERR AFDC Warrant Purge			

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Archival Codes (Field 8)

A – Transfer to State Archives
R – Review by State Archivist



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 32 of 76

2. Agency Code	529	3. Agency Name	Health and Human Services Commission			
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total				

2.2	5541	COM Reports- Purge ATP History Records	6		6		Purge ATP History Records only.		
2.2	5542	COM Reports	1	4	5		All COM Reports not listed in other COM report series.		
2.2	5598	System Security Records	FE+6		FE+6		Records that document computer security violations and are used for fraud investigations and audit purposes. Stored at offsite facility		
2.2	5602	COM Reports	10		10		DHS768 (filename M1413-1430-1), Medicare/Medicaid File (MF) 206-01, MF236-02, MF236-03, MF290-01, MF241-01, MF836-02, MF836-03, MF806-01, MF820-04, MF890-01, MF890-02, MN427-01, MN429-01, MN446-01, MS240-01, MS102-04, MS100-04, RG12, RG97S, RG97, RG12, RG16, RF97, TP500-02, TP055, TT009, TT009TL, TT106-01		
2.2.001	5042	Activity Monitoring Records	AV		AV		Includes console logs and physical and online access records. If these records are initially recorded in machine-readable form, for audit purposes they must be retained in that form rather than hardcopy form.		
2.2.002	5043	Computer Utilization Records	CE+5		CE+5		Documents that reflect how the computer is used by the agency		
2.2.004	5044	Computer Job Schedules and Reports	3MO		3MO		Schedules or similar records showing computer jobs to be run and other reports by computer operators or programmers of work performed		
2.2.011	5046	Batch Data Entry Control Record	AC		AC		AC= when reconciliations are complete.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 33 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

2.2.012	5045	Output Records for Computer Production (Mini & Mainframe)	AV		AV	Reports showing transactions that were accepted, rejected, suspended, and /or processed. Output from other programs that manipulate data.		
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Internal Audit

	5722	Non Audit Working Papers	AC+4	3	AC+7	AC= Audit report completed.		
1.1	5193	Contractor Audit Reports	AC+7		AC+7	AC=end of report		
1.1	5620	Internal Audit Working Papers	AC+5	2	AC+7	AC=Final audit report issued.		
1.1	5623	Agency Risk Assessment Working Papers	FE+3		FE+3			
1.1	5624	CPE Training Records	AC+3	2	AC+5	AC= End of biennial training period		
1.1	5625	Internal Audit Annual Report	AC+5		AC+5	AC= Report issued		
1.1.002	5741	Audit Reports- Internal	AC+2	5	AC+7	AC= All issues resolved. Stored at contracted offsite storage facility other than TSL. This category is Internal only.		
1.1.002	5837	Audits- Internal	AC+2	5	AC+7	AC= Completion of Audit.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 34 of 76

2. Agency Code		529		3. Agency Name						Health and Human Services Commission					
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival			10. 106 No.	11. TSLAC ONLY Amend. No.			
		Agency	Storage	Total				9. Remarks							

Legal Services Division

	5520	HHSC Fair/ Fraud Hearings	AC+6	AC+6		AC= final decision made.	
	5521	Contested Case and Grievance Hearings	AC	6	AC+6	AC= final decision made.	05-529-148
	5726	PACT (Program for Amplification for the Children of Texas) Title V Case Files	AC	5	AC+5	AC= After Case is Closed.	12-529-166
	5727	PACT (Program for Amplification for the Children of Texas) Case Files	21		21		12-529-167
	5728	PACT (Program for Amplification for the Children of Texas) Applications	FE	5	FE+5		12-529-168
	5800	Bankruptcy Files	AC+20		AC+20	AC=closed	
	5801	Grievances	AC+2		AC+2	AC= Settled	
	5803	Subpoena (HHSC not a party to litigation)	AC+1		AC+1	AC= Once subpoena has been issued.	
1.1	5536	Litigation Files- Reimbursement	AC	10	AC+10	R AC= As applicable, decision of an agency not to file a lawsuit or dismiss a lawsuit. Texas Constitution, Article 3 section 55	05-529-145

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 35 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission							
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
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1.1.014	5008	Legal Opinions & Advice: From Atty General	AV		AV	R	Atty General retains copies permanently.		
1.1.014	5776	Legal Opinions and Advice	AV		AV	R			
1.1.020	5011	Open Records Requests - Not Exempted (Not including HIPAA)	AC+1	3	AC+4		AC = After request approved and record provided as requested.		
1.1.021	5012	Open Records Requests - Exempted (Not Including HIPAA)	AC+2		AC+2		AC = After request denied in writing		
1.1.048	5024	Litigation Files	AC+1		AC+1	R	All statutes of limitations must be met before the file is closed. Review before disposal; some cases that set legal precedents may merit a review by State Archives for historical reasons. AC = after case closed - settled		
3.1.013	5802	Employment Contract	AC+7		AC+7		AC=employment end date		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 36 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

Medicaid/CHIP

5115	Long-Term-Care	FE+1	5	FE+6	Institutional Care (Nursing Homes). LTC Rate setting, Community care, LTC Budget, Client Eligibility, Waivers, Survey and Certification, PASARR, Children in nursing homes, estate recovery. Community Care programs, Frail elderly.	
5116	Client Self-Support	FE+1	5	FE+6	Client Eligibility, CSS Programs, CSS Budget/Block Grant.	
5118	Projects	AC+6		AC+6	AC= project is closed, decision is made to cancel or final deliverable(s) are created/implemented. Includes pilot projects, correspondence, meeting records, scope and feasibility studies, fiscal estimates, timelines, communication plans, system development, contract requirements, state and federal regulations, and project deliverables. If services are implemented, some project documentation may be moved to policy, contract, waiver, or other MCD series. This would include copies of final deliverables on which strategies, schemes, roadmaps, and systems will be built. Activity resulting from legislative initiatives and state and federal directives leading to the development and implementation of programs and program changes. If services are implemented, some project documentation may be moved to policy, contract, waiver, or other MCD series. This would include copies of final deliverables on which strategies, schemes, roadmaps, and systems will be built.	96-529-022
5121	State Plan - Medicaid & CHIP	AC+10		AC+10	AC=After Close (the date in which the Medicaid or CHIP program is closed or becomes obsolete. Activity related to on-going changes and additions to the Medicaid & CHIP contracts with the federal	

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 37 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
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government. The State Plan documents the specific services, eligible populations, and payment methodologies that comprise the Texas Medicaid program. The plan is a living document that is amended as changes are submitted and approved by CMS. The plan itself is a single document. The amendments are individual folders containing essential documents that support the changes to the plan. Because of lawsuits, audits, or legislative requests, the division may need to re-create the state plan as it existed at specific dates. The Center for Medicare and Medicaid Services (CMS) holds the federal copy of the plan which is considered the 'official' version.

5143 Long Term Care Medicaid Claims Information AC+7 AC+7

AC= last and/or final action. Activity related to the review and reporting of Managed Care outcomes. Senate Bill 348, 83rd session. Records include those created by the utilization review process for managed care organization in which recipient level of care is assessed. Findings, outcomes and recommendations are referred to Health Plan Management. An annual review of outcomes is required to be reported to the legislature. Documentation is created for site visits, home visits, desk reviews, tracking system, and samplings obtained from TMHP data.

5148 Medicaid Management Information AC+7 AC+7

AC= last or final action. This series covers the automated collection, storage, retrieval, of claims, payments, prior authorizations, provider enrollments and other data used to process medical claims and to provide data for many aspects of administering the Texas Medicaid Program. Federal financial participation requires the operation of this system by states. Through this system, providers of medical services are reimbursed in accordance with the established policy for the services received by recipients. The

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 38 of 76

2. Agency Code		529		3. Agency Name						Health and Human Services Commission					
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival			10. 106 No.	11. TSLAC ONLY Amend. No.			

operation and maintenance of the system is procured through competitive bid. The current system is Texas Medicaid and Healthcare Partnership (TMHP) whose databases include paid claims, managerial reporting of cash flow, provider and client information, and managed care encounter information. The Accenture vendor processes Medicaid claims and requests for prior authorization of services, the current contract covers several other tasks, including maintaining data on Medicaid managed care transactions, collecting drug manufacturer rebates and staffing call centers for Medicaid providers.

5155	Request for Proposal (RFP) for the Texas Medicaid Contract	AC+4		AC+4							
5157	Contractor Reports	2	3	5							
5158	Client Services' Correspondence	FE+1	4	FE+5					02-529-055		
5159	Vendor Correspondence	AC+4		AC+4					02-529-057		

AC= contract awarded

Includes NHIC Reports

AC= date of submission of final expenditure for the contract. "Place holder for stored record on hold. MMIS Contract Compliance & Performance Management Section: Series Contains Contractor Correspondence which includes correspondence and deliverables due to litigation on Orthodontia. HHSC Legal have indicated for the Claims Administrator Contractor to retain access to all paper and electric files with no destruction time. (11/13/14)"

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 39 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
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	5177	Grievance, Appeal and Fair Hearings files	AC+4		AC+4	AC=final resolution and notification sent to affected parties. Records are created in the resolution of provider appeals including provider letters of appeal, R&S statements, EOB's, claim copies, notes, emails. Documents are scanned and entered to the Project and Portfolio Management Center (PPM) or saved to file shares and then linked to the case in PPM. Activity related to the administrative appeal and fair hearings process. These are mostly grievance and contract/provider appeals. MCD assesses the validity of the grievance/appeal based on policy and review by medical/dental professionals.		
	5549	Rebate Files	CE+5		CE+5	In Texas, the State agency's contracts with MCOs include a contract settlement requirement in the form of a profit-sharing arrangement, known as an experience rebate. The MCOs refund to the State agency experience rebates owed to it, and the State agency returns to the Federal Government the Federal share of those rebates. The State agency returns to the Federal Government the Federal share of the amount it has recovered through a credit on the required CMS form, either the CMS-64 Report, the CMS-21 Report, or both. Mandated activity related to managed care organization profit-sharing rebates and refunding of the Federal portion of those rebates to the Centers for Medicare & Medicaid Services in accordance with applicable Federal, State, and contractual requirements.		
	5550	Financial Reports	FE+5		FE+5	Includes statistical, managed care operations, claim summary and supplemental payment reports. Documents collected for the report process may include working documents, SDS data, reconciliations, confirmation reports and related correspondence. Includes financial information provided on the Form CMS 64 – Quarterly		

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Archival Codes (Field 8)

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R – Review by State Archivist



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 40 of 76

2. Agency Code		529		3. Agency Name						Health and Human Services Commission					
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival			10. 106 No.	11. TSLAC ONLY Amend. No.			
					Agency	Storage	Total						9. Remarks		

	5556	Program Manuals & Guides			FE+1	5	FE+6	Medicaid Statement of Expenditures for the Medical Assistance Program, and the Medicaid Program Budget Report – CMS 37. Financial information is provided by the Medicaid Statistical Information System.				
	5558	Provider/Contractor/Network Maintenance and Monitoring			AC+1		AC+1	Includes the Texas Medicaid: Uniform Managed Care Manual and STAR+PLUS Handbook which are posted online (HHSC web site). Activity of creating instructional material for providers, clients, staff and other users of Medicaid systems.				
	5560	Reports-Federal and State			FE+6		FE+6	AC= When encounter data is matched to client medical data.				
	5561	Managed Care MCO Claims Performance Audit/Review Files and Reports			FE+1	6	FE+7	Information collected and reported as required to the Department of Health and Human Services, Centers for Medicare and Medicaid Services (CMS) and the Texas Legislature. State Legislature report on review of outcomes for utilization management reviews. Additional reports filed monthly, quarterly and annually including any performance, claims, and recovery reports.				
	5565	Managed Care Claim System and Compliance			FE+1	5	FE+6	Currently stored at contracted offsite facility.				
								MCO's collect ICHP assesses access, utilization, and quality of care for members in Texas Medicaid and the Children's Health Insurance Program (CHIP), and produces an annual profile of Texas Medicaid and CHIP MCO performance. Activities of the Health Plan Operations, MCO's, and EQRO in the collection of claims and mandated review of Managed Care and CHIP programs.				

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 41 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No. 5591	6. Record Series Title Monitoring and Compliance	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency AC+7	Storage AC+7	Total			

AC=Once monitoring reports are approved. Records and information resulting from the monitoring of contract requirements and deliverables. Includes creation of corrective actions and response as a result of State Action Requests (SARs); meetings with quality or performance groups; and reports used to monitor contract requirements and deliverables. Includes financial information related to the oversight of billings and expenditures in support of the contract; and; data and reports needed to monitor service coordination, call center services, claims processes, encounters, timely submission, marketing materials, and member inquiries, complaints and resolution. Also includes any remediation required to correct non-compliance. Medicaid Contract Administration Tracking System (MCATS) automates many of the current contract monitoring processes including tracking efforts, communication with the vendor, systematical prompting of key tasks and tracking and trending performance. The initial contract or memorandum of agreement (MOA) for services performed by the broker has been reviewed and approved by CMS CFR Title 42 § 438.810. "Activity related to the oversight of contracted service providers performance and the delivery of services. Contracts in HCATS include: MCO Enrollment Broker, Medicaid/CHIP administrative contracts, Contracts for direct client service delivery, Inter-Agency Contracts (IAC), Memoranda of Understanding (MOU), and Inter-Local Agreements (ILA), Supplemental Rebates, CHIP Rebates, Consulting Services, Professional Services, Lawsuit or litigation related contracts, Health and Human Services Commission (HHSC) Prior Authorization Functions for the Title XIX Medical Assistance

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 42 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

5632 Vendor, Provider and Client Phone Calls AC+6 MO AC+6 MO

Program, Program and Administrative services, HHSC Medicaid/CHIP HMO Services, Value-Added Network Contracts, a IT services contracts"

AC = from date of provider/client phone call, or, until any complaints or issues are resolved. Includes help desk logs, audio files, ad client information. Records are considered confidential due to HIPAA; therefore, they must be maintained and purged as confidential materials. Activity in contact centers and offices which manage external communications. Contact Center toll free lines. If Vendor archives the phone call, it must be retrieved within 5 business days of request by the Agency.

5695 Reviews AC+3 AC+3

AC= completion of the review process including the resolution of all issues 45 CFR 74.51 Records and information created as a result of federal reviews of the Medicaid CHIP Division (MCD) programs and Managed Care Operations (MCO) Readiness Reviews. Records include, meeting agendas for entrance and exit conferences, Program Review Guide, questions from CMS and Federal OIG; information collected for HHSC responses to the federal entities regarding the review results; corrective actions to be taken; and financial and administrative information collected on MCO's.

5771 Contracts AC+7 AC+7

AC= date of submission of final expenditure for the contract. Agreements between the State Medicaid CHIP Division and contractors for administration of the Medicaid Programs and supporting activity. Includes records and information created in the development and changes to the contract. Also includes development of contract requirements; performance measures; amendments to contracts scope through change order requests (COR); and

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 43 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total	9. Remarks		

any other changes over the course of the contracts term. 45 CFR 74.53 (b) retention of records. Most contract documents are kept in the HHSC Contract Administration & Tracking System (HCATS).the Medicaid Contract Administration Tracking System.. Some ancillary contract records are not in HCATS, provider enrollment (applications, background checks, financial information), which is retained in paper.

5773 Medicaid Electronic Health Information Exchange System (MEHIS) Provider Check-In Data 6 6

Activity related to providing electronic health information to Medicaid providers and clients through web-based portals. Records created when a provider uses MEHIS to check a client in or out during an office visit.

5774 Medicaid Electronic Health Information Exchange System (MEHIS) Metadata AV AV

AV = The usefulness of the record to the creator or receiver. The records no longer serve administrative or operational purpose. The records are registration details about each provider including their account name and other properties of the account. Meaningful use attestation data is used in electronic health record (EHR) incentive program. Also includes logs of each transaction where providers and clients access electronic Protected Health Information (ePHI).

5822 Rules-Medicaid AC+1 AC+1

AC= Rule is completed or eliminated. This covers State Rules which impact the Medicaid programs. Records of all proposed, withdrawn, emergency, and adopted rules; open meetings notices; or any other documents required by law to be developed for and submitted to the Texas Register. Coordination is required with program areas, advisory committees, and legal. The final rule files are retained by the Executive Commissioners office. Includes drafts, internal correspondence, public notice information, submission documents, and advisory committee

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 44 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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	5823	Correspondence - Federal	AC+7		AC+7			
	5825	Medicaid and CHIP in Perspective (Pink Book)	PM		PM	A		
	5826	Operational Support	AV		AV			
1.1	5191	Special Reports and Studies	AC+1	5	AC+6	R		

recommendations/decisions.

AC=Termination or closure of the Medicaid Program/Waiver. Policy directives, guidance, requirements from the Federal government related to the Medicaid CHIP program operations/financing/reviews/etc. Records are retained and logged into the Medicaid CHIP Policy Automated Tracking (MCPAT) system. Documents include: State Medicaid Director Letters (SMDL), CMS Bulletins, State Medicaid Office letters, federal grants, rules correspondence, and other communications with CMS. This group was created in order to provide historical information for use in decision making and as evidence of federal guidance in matters related to Medicaid and CHIP programs. Electronic versions are stored in networks shares or in the MCPAT system.

A Bi-annual publication for the Legislature which shows an updated and comprehensive overview of the Medicaid and CHIP programs in the State of Texas. Documents used to develop the latest version should be retained until the final approved and published Pink Book. The Pink Book provides staff, associations, researchers, and legislators with historical data. A historical library of all the publications is retained by the division.

Records include supporting documentation collected during the development of medical policies and includes policy and stakeholder issues, flowcharts, resource manuals and materials.

R AC = report data is no longer useful or outdated, or, end of the study. Information resulting from the collection and analysis of systems data. Results may be in a narrative or financial report format. Includes Kaiser Commission reports/studies, reports created by MCD Data Analytics, and others.

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 45 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
1.1	5285	Medical Care Advisory Committee (MCAC) Meeting Minutes	PM		PM	§ 431.12 Medical care advisory committee. This section, based on section 1902(a)(4) of the Act, prescribes State plan requirements for establishment of a committee to advise the Medicaid agency about health and medical care services. Supporting materials may be disposed after 3 years. MCAC is a Federally required committee		
1.1	5531	Medicaid Audit Work Papers	AC+2	1	AC+3	AC= completion of audit.	02-529-086	
1.1	5696	Deferrals and Disallowances	AC+5		AC+5	AC= final resolution of the issue and recovery of funds. Records are created when CMS takes action regarding the allow ability of a claim or as a result of . Deferral action creates records withholding funds until payment issues are resolved. Disallowance actions are the result of departmental appeals board findings and facts in support of a legal brief. The series includes written notice of deferral or disallowance, HHSC formal responses to CMS, copies of Legal Briefs (disallowance only), final audit reports, status reports showing activity, distribution, and status reports. Activities related to resolution of funding issues. The letters from CMS are paper that is converted to electronic. The paper is retained to meet legal requirement for original signed letter. Some briefs may be paper copies.		
1.1.006	5568	Complaints	AC+1	2	AC+3	AC= Complaint is resolved. Complaints received in Health Plan Management complaints inbox and entered into the HHS Enterprise Administrative Reporting and Tracking System (HEART). The HEART tracks external customer complaints, issues, and resolutions for compliance with SB 1563. Additional records include the MCO DMO complaints contact list, provider, member or plan		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 46 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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1.1.070	5201	Waivers	AC+5	AC+5	R	<p>contacts. Activity related to the oversight of Medicaid programs by Centers for Medicare and Medicaid Services (CMS). Health Plan Operation (HPO) Support and Finance participate in the readiness reviews.</p> <p>AC= end of the waiver program. Documents created as part of the waiver process including 1915(b) and 1915(c) waivers; 1115 demonstration project waivers; and 1903, 1125 and 1935 special circumstance waivers. Documents include CMS/HHSC correspondence; amendments, internal correspondence, reports, renewal submittals and approvals; notices to the public, tribes, and legislative committee. may include strategic plans, cost data, copies of contract requirements. Actions which document the State's application for CMS permission to depart from certain Medicaid requirements.</p>
1.1.070	5203	Medicaid Services Policy Development & Analysis	AC+5	AC+5	R	<p>AC= completion or termination to program, rules or all audit issues are resolved. Medicaid program policy analysis, development, and implementation. Includes research, development of policy and tracking documents to coordinate program and medical policy implementation. Information is created to ensure that the State Plan and rules accurately reflect program policy. Includes communication with the Office of Medical Director, Texas Medicaid & Healthcare Partnership (TMHP), the Medicaid claims administrator and the CHIP vendor, MAXIMUS, on policy changes to all Medicaid provider types to accurately implement medical benefits. Information is shared with internal staff overseeing managed care operations. Updates on policies are presented at various provider stakeholder meetings. TSL 1.1.070; TAC Title 1, §354.1004. Policy specific to the State Medicaid programs needs to be retained for as</p>

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 47 of 76

2. Agency Code		529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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3.1.035	5824	Performance Bonds	AC+4	AC+4	AC = Expiration or termination of the bond according to its terms. Under Title 28 Rule §11.1805 of the TX Dept. of Insurance, an MCO must provide a performance bond to the contracting state agency. The original performance bonds are kept on file and continuation certificates are requested from the MCOs each year. The bond cannot be released until the MCO's obligations under the contract are met.
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Medical Transportation Program

5667	5668	Client Services Record/Children	FE+1	5	FE+6	File may contain: Form 3111, Form 3133, Form 3113, Form 3131, Form 3103, Bus Tickets, Appeals/Disputes, and verifications. Files are retired at the end of the Fiscal Year.
		Client Services Record/Adult	FE+1	5	FE+6	File may contain: Form 3111, Form 3133, Form 3113, Form 3131, Form 3103, Bus Tickets, Appeals/Disputes, and verifications. Files are retired at the end of the Fiscal Year.
		Request For Proposal Documentation	AC	4	AC+4	AC= Contract ended
		Vendor Billing/Claims	FE	3	FE+3	
		MTP Reports	FE+1		FE+1	Includes Automatic Call Distribution (ACD) reports
2.2	5834	MTP Quality Assurance Records	AC+6		AC+6	AC= date of client call recording. Records may be maintained in multiple mediums.

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 48 of 76

2. Agency Code		529		3. Agency Name						Health and Human Services Commission					
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival			10. 106 No.	11. TSLAC ONLY Amend. No.			
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Office of Border Affairs

4.	5.	6.	7.	8.	9.	10.	11.
Records Series Item No.	Agency Item No.	Record Series Title	Agency	Storage	Total	Archival	Remarks
1.1	5644	Continued Education Activities for Social Workers	AC+3		AC+3		AC= Training complete. This includes all training documentation to include renewal, evaluations and attendance records. Occupations Code §781.511
1.1	5649	Agency Services Reports	AC+3		AC+3		Administrative, special reports or studies on non-fiscal aspects of an agency's programs, services, or projects compiled by agency personnel. AC = date report completed.
1.1	5650	Attendance Logs	AC+1		AC+1		AC= date of training
1.1	5651	Annual Service Plan	US+1		US+1		
1.1	5652	Weekly Supervisor Report	AC+1		AC+1		AC= date of report
1.1	5653	Business Plan Updates	AC+1		AC+1		AC= plan completed
1.1.064	5754	Validation of Contract Performance Measures	FE+3		FE+3		Any records of an agency needed for the documentation of output, outcome, efficiency, and explanatory measures in an agency's appropriations request or strategic plan.
1.1.070	5755	Office of Border Affairs Policies and Procedures Manual	AC+3		AC+3	R	Internal publications or statements which define the agency's policies and operating procedures, such as employee's guide, office procedures manuals, etc. AC= completion or termination of program, rules, policies or procedures.

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Archival Codes (Field 8)

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STATE OF TEXAS
Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 49 of 76

2. Agency Code		529		3. Agency Name						Health and Human Services Commission					
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival			10. 106 No.	11. TSLAC ONLY Amend. No.			
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Office of Community Collaboration

1.1	5709	Committee Membership Applications	AC+2	AC+2	AC=Expiration of Appointment
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 50 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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Office of Health Policy and Clinical Services

5273		Informal Dispute Resolution Files	AC	5	AC+5	AC= once resolved	04-529-088
5818		Office of National Coordination (ONC) Cooperative Grant Agreement Documentation	4		4	In 2010, ONC awarded HHSC a \$28.8 million dollar HITECH grant to establish the foundation for an HIE network in TX. HHSC awarded sub-grants to the Texas Health Services Authority and 16 regional HIE's in TX to develop specific HIE shared and local services.	
5819		Health Resource Services Administration (HRSA) Grant Records	AC+3		AC+3	AC= satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreement. HRSA Grant-Financial and program records.	
5820		Vendor Performance Reports (monthly and quarterly)	4		4		
5821		Grant Applications	AC+4		AC+4	AC=Application submitted. Grant Applications submitted to Federal Government	
1.1.008	5543	Office of Health Services Correspondence	AC+1		AC+1	AC= Once correspondence has been logged.	
1.1.058	5750	Minutes and Agenda, Scientific Advisory Committee and Traumatic Brain Injury and Advisory Council	PM		PM	A After the minutes are approved, a copy is sent to the Archivist	

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 51 of 76

2. Agency Code		529		3. Agency Name						Health and Human Services Commission	
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
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Office of Inspector General (OIG)

4.	5.	6.	7.	8.	9.	10.	11.
Records Series Item No.	Agency Item No.	Record Series Title	Agency	Storage	Total	Remarks	106 No.
		Provider Files and Excluded Provider Files	AC+2	3	AC+5	AC=Case Closed	
		Utilization Review Client Files (Lock In)	FE+2	3	FE+5		02-529-062
		Inpatient Quality Level 2&3 Files	1	4	5		97-529-041
		Inpatient Master Files	2	3	5		97-529-045
		Case Mix Assessment Vendor Files	2	3	5		97-529-046
		Fraud Investigation Case Records	AC	5	AC+5	AC= date case records purged from automated system.	
		GI Referral Timeliness Reports	FE	2	FE+2	Stored at contracted offsite storage facility.	
		ASOIG Data Match Reports	FE	2	FE+2	Stored at contracted offsite storage facility.	
		Fraud Disqualification Records	1	4	5	Approval number will be deleted when all boxes have met their retention.	

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 52 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.	
			Agency	Storage	Total					
	5480	Special Investigations	FE	7	FE+7					
	5481	Credible Allegation of Fraud	AC	5	AC+5		AC= when case is closed. Stored at contracted offsite storage facility.			
	5657	Provider Evidence Records	AC+1		AC+1		AC=Case closed. These are records provided by the provider as evidence. These are not HHSC records. HHSC maintains the evidence until case is settled and then return to the provider.			
	5674	Third Party Liability Correspondence	AC+2	3	AC+5		AC= Once correspondence has been sent.			
	5684	Case Mix Reconsideration Reviews	2	3	5		Utilization Review Dept.			
	5685	Case Mix-Purpose U Forms	2	3	5		Utilization Review Dept.			
	5693	OIG Sanctions Recoupment Cases	AC+6		AC+6		AC=Case Closed. Purged at the end of the Fiscal Year			
	5694	OIG Sanctions Exclusion Cases	AC+3		AC+3		AC= Date of reinstatement/notification made within exclusion database.			
	5716	Special Investigative Unit (SIU)	5		5		TEX GOVT code 531.113 and TAC 353.501-353.505 and 370.501-370.505			
	5744	Recipient Non-Fraud Claim Investigation Records	AC	4	AC+4		AC= after claim is paid.. Stored at contracted offsite storage facility.			

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SLR 105 Rev. 02/09					



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 53 of 76

2. Agency Code		3. Agency Name					8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
529		Health and Human Services Commission								
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	5745	Recipient Fraud Claims and Intentional Program Violation (IPV) Disqualification Records	AC	4	AC+4	AC= after claim is paid and IPV disqualification has exhausted. Stored at contracted offsite storage facility.				
	5746	Voluntary Repayment Program Files (VPR)	AC+1	2	AC+3	AC=Case Closed. Stored at Contracted Offsite Storage Facility.				
	5747	Retailer Electronic Benefit Transfer (EBT) Trafficking Investigation Records	AC	6	AC+6	AC= After claim is paid. Stored at Contracted Offsite Storage Facility.				
	5748	Recipient Fraud Claims with Permanent IPV Disqualification Investigation Records	50		50					
	5749	Recipient Investigation Records-No Claimed	6 MO		6 MO	Investigation that resulted in a no claim.				
	5839	Non Audit Working Papers	AC+4	3	AC+7	AC= Audit complete. As defined in the Government Auditing Standards (Yellow Book). Documentation that is not included in the Audit Working Papers or Attestation Working Papers categories.				
1.1	5440	Monitoring Production Reports	FE	3	FE+3	Monitoring production for benefit claims field staff; used to measure performance standards for employees.				
1.1	5441	Monitoring Production Timeliness Reports	FE	3	FE+3	Monitoring production timeliness for benefit claims field staff; used to measure performance standards for employees.				
1.1	5444	Workman's Compensation-TWCC vs. SAVERR: TWCC Extract	FE	3	FE+3	Ensuring case accuracy by identifying clients who have applied for workman's compensation benefits.				
1.1	5445	Redesign Reporting System: Production Reports	FE	3	FE+3	No claims established. 1260S1, 1260S2, 1260S3.				

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 54 of 76

2. Agency Code		3. Agency Name					8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
529		Health and Human Services Commission								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.		
			Agency	Storage	Total					
1.1	5485	Risk Assessments: Listing of Providers Determined to be Audited	FE+3		FE+3					
1.1	5487	Desk Reviews	AC+3		AC+3	AC= publication or release of final closeout letter. Includes closeout letters financial statements, and related correspondence.				
1.1	5593	OIG On-Site Reviews	AC	3	AC+3	AC= when investigation is closed and vendor contract has not been renewed per WIC policy.				
1.1	5594	Internal Affairs-Administrative Investigations	AC	5	AC+5	AC=when Investigation reaches final disposition.. Investigative approval memoranda, Form B-1, IA case file data forms, investigative analyses, database search results, HR directives and policies, HHSC contract documents, financial reports, state issued warrants, personal checks, child protective services agency reports, Food Stamp/TANF/Medicaid documents, licenses/renewals, automated personnel files, performance reports, counseling records, witness and suspect statements, time/attendance/leave summaries, travel and telephone records, email records, photographs, surveillance, audio/video, public and private records, police reports and criminal history, electronic hard drive images, internet information, recorded interviews, audit reports, vital statistic records, IA letters to agency offices (General Counsel, Internal Audit, HR and Civil Rights),IA letters to referring agencies (DA's office, other state and federal agencies). Stored at contracted offsite storage facility.				
1.1	5595	Internal Affairs-Criminal Investigations	AC	5	AC+5	AC=when Investigation reaches final disposition. Investigative approval memoranda, Form B-1, IA case file data forms, investigative analyses, database search results, HR directives and policies, HHSC contract documents, financial				

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 55 of 76

2. Agency Code		529		3. Agency Name						Health and Human Services Commission					
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title				7. Retention Period			8. Archival			10. 106 No.	11. TSLAC ONLY Amend. No.		
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	Agency	Storage	Total	8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
1.1	5596	Compliance Buys	AC	3	AC+3	reports, state issued warrants, personal checks, child protective services agency reports, Food Stamp/TANF/Medicaid documents, licenses/renewals, automated personnel files, performance reports, counseling records, witness and suspect statements, time/attendance/leave summaries, travel and telephone records, email records, photographs, surveillance, audio/video, public and private records, police reports and criminal history, electronic hard drive images, internet information, recorded interviews, audit reports, vital statistic records, IA letters to agency offices (General Counsel, Internal Audit, HR and Civil Rights), IA letters to referring agencies (DA's office, other state and federal agencies).		
1.1	5721	Attestation Working Papers	AC+4	3	AC+7	AC= When investigation is closed and vendor contract has not been renewed per WIC policy.		
1.1	5723	Risk Assessment, Audit Planning, and Quality Assurance Documentation	AC+3		AC+3	AC=verification received. Agreed upon procedures, examinations, etc.		
1.1.002	5720	Audit Working Papers	AC+4	3	AC+7	AC=Completed Documentation that supports decisions made regarding resources available for work of OIG Audit and how those resources are allocated as well as documentation supporting Quality Assurance efforts as required and defined by the Yellow Book.		
1.1.064	5139	Performance Measures	FE+3		FE+3	AC=Audit Complete Any performance audits or future financial audits, etc. Any hardcopies will be stored at contracted offsite storage facility.		
						Documentation supporting the numbers reported from OIG Audit up to the Inspector General and, ultimately, to HHSC.		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 56 of 76

2. Agency Code		529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period		8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
		Agency	Storage	Total			9. Remarks			

Office of Social Services

5129	Community Resource Coordination Group (CRCG) Project.	CE+2	2	CE+4	Includes Handbooks, Reports, Training Materials, Videos	
5320	Supplemental Medical Insurance Benefits (SMIB) Force Change- 9725, 9726, 9727 and 7124	AV		AV	Medicare/Medicaid File (MF) System	
5324	Completed Newborn 1 Referrals	6MO	3+6MO	4		
5327	SDX Manual Certification Forms	AC+1	6	AC+7	AC=after transfer from TP12 to TP13 program. SDX- State Data Exchange	05-529-128
5340	Supplementary Medical Insurance Benefits (SMIB) MF Report Series	AV		AV	Medicare/Medicaid File (MF) System	
5341	Inactive Buy-In Master, MF236-03-Part B, MF836-02-Part B	AV		AV	Medicare/Medicaid File (MF) System	
5350	SMIB Letters and Memos	1	2	3		
5351	Active TANF (AFDC), Medical and Refugee Case Record Material	2	4	6	Until denial retain medical and legal decisions; child support forms and documents; age, relation/citizenship documents; SSN Application Retention period based on statute of limitations for federal investigation of overpayments by HHSC or fraud, waste and abuse. This timeframe will assist in a defense for HHSC or investigations. Delete this record series after all stored boxes have met their retention.	

Retention Codes (Field 7)

AC – After Closed, Terminated, Completed, Expired, Settled
AV – Administrative Value

CE – Calendar Year End
FE – Fiscal Year End

LA – Life of Asset
MO – Months

PM – Permanent
US – Until Superseded

Archival Codes (Field 8)

A – Transfer to State Archives
R – Review by State Archivist



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 57 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
	5352	Combined Active TANF (AFDC), Medical, Refugee, Food Stamp Cases	1	5	6			
	5378	Completed Newborns II Referrals	6 MO	3+6MO	4		05-529-134	
	5384	Medical Eligibility Verifications/Exception Clearances-Form-1027	AC+4		AC+4			
	5401	Policy Clearances	5		5	A		Documents submitted by field staff requesting clarification of policy.
	5411	Caseload Profiles for TANF/AFDC Food Stamps and Medical Programs	FE	10	FE+10			Budget Background Documentation
	5412	Pending Application, Delinquent Reviews and Denial Codes	FE	5	FE+5			
	5413	Program Data Printouts	FE	3	FE+3			Budget Related Data
	5414	Electronic Benefit Transfer (EBT) Reconciliation Exceptions, RF-07	FE	3	FE+3			
	5415	More Than One Electronic Benefit Transfer (EBT) Issuance Redeemed, RF-36	FE	3	FE+3			
	5416	Food Stamp Issuance Reports	FE	3	FE+3			Non Current Series

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SLR 105 Rev. 02/09					



STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 58 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
	5417	Daily Food Stamp Register Summary RF-44B	FE+3		FE+3			
	5418	SNAP (FS), TANF (AFDC) and Electronic Benefit Transfer(EBT) Issuance Contract Files	AC	3	AC+3			AC= expiration of contract. Records include information on issuance, vendors, EBT-Electronic Benefit Transfer, and related contracts. Includes reports, retailer agreements, correspondence and copies of contracts.
	5420	Finger Imaging Contract Files	AC	3	AC+3			AC= expiration of contract. Records include information on LSIS (Lone Star Imaging System) vendors and contracts. Includes reports, correspondence, and copies of contracts.
	5423	Disabilities for TANF (AFDC), MAO, RETRO, ESP	AC		AC			AC= Policy determination. Documentation needed from field office to determine disability.
	5424	Medical Disability Determination Case files	FE+5		FE+5			
	5425	Level of Care Disabilities (Children)	FE	5	FE+5			Documentation required to determine residential treatment. Stored at contracted offsite storage facility.
	5426	Medicaid Eligibility Title XIX Handbook Revision Files	AV		AV			Policy background material.
	5427	Medicaid Eligibility Title XIX Service Control Files	AV		AV			
	5428	Medicaid Eligibility Title XIX Litigation Files	AC		AC			AC= end of litigation and reviewed annually to determine continuing value.

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 59 of 76

2. Agency Code		3. Agency Name						
529		Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
	5431	Policy and Initiatives Program Development Files	AC	3	AC+3	A		
	5432	Level of Care Reassessments	CE	2	CE+2			
	5435	Division Uniform Administrative Subject/ Correspondence	FE	3	FE+3	R		
	5457	Active Food Stamp Case Record Material	1	5	6		Until denial, retain medical and legal decisions; child support forms and documentation; age, relation/citizenship documentation; SSN Application Retention period based on statute of limitations for federal investigation of overpayments by HHSC or fraud, waste and abuse. This timeframe will assist in a defense for HHSC or investigations.	
	5458	Denied Food Stamp Cases	AC+1	5	AC+6		AC= case denied or final action, including resolution of claims. Retention period based on statute of limitations for federal investigation of overpayments by HHSC or fraud, waste and abuse. This timeframe will assist in a defense for HHSC or investigations	
	5464	Centralized Benefit Services (CBS) Food Stamp Pure SSI Cases	AC	6	AC+6		AC= after conversion to automated benefits. Program was Food Stamp Automated Benefits (FSAB).	
	5465	Electronic Benefit Transfer (EBT) Security and Accountability Documentation	AC+1	2	AC+3		AC= end of fiscal year or released from audit, whichever is later. Purge at end of fiscal year. EBT= Electronic Benefit Transfer	
	5490	Medicaid Eligibility Institutional Client Case Records	AC+1	5	AC+6		AC= End of fiscal year in which case denied or client death recorded. Retention period based on statute of limitations for federal investigation of overpayments by HHSC or fraud, waste and	

Retention Codes (Field 7)				Archival Codes (Field 8)	
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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 60 of 76

2. Agency Code		529		3. Agency Name						Health and Human Services Commission					
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			8. Archival			10. 106 No.	11. TSLAC ONLY Amend. No.			
					Agency	Storage	Total						9. Remarks		

5491	Medicaid Eligibility Non Institutional Client Case Records	AC+1	5	AC+6	<p>abuse. This timeframe will assist in a defense for HHSC or investigations</p> <p>AC= End of fiscal year in which case denied or client death recorded. Retention period based on statute of limitations for federal investigation of overpayments by HHSC or fraud, waste and abuse. This timeframe will assist in a defense for HHSC or investigations.</p>
5492	Qualified Individual -1 Transaction Reports (QI:1)	FE+1	4	FE+5	QI:1
5642	Local CRCG Records	AC+2		AC+2	AC=After closed
5698	Separate Report (Before and After Images	1	2	3	
5805	Vendor Monitoring	AC+1	3	AC+4	AC=End of Contract. Desk reviews and onsite reviews.
5806	OSS Vacancies Tracking Information for OSS (Office of Social Services)Deputy Executive Commissioner (DEC)	5		5	BOS PFMB
5807	Memorandum of Understanding Non/Financial Contract Files	AC+CE+1	2	AC+CE+3	Each program area will maintain contractor files that have the following in them: contract documents and correspondence; procurement records and correspondence; documentation of technical assistance, orientation, and training; documentation of contract performance issues; required corrective action; internal correspondence regarding contract issues and maintenance; documentation of renewal or re-contracting assessment; dispute resolution

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 61 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
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			Agency	Storage	Total	9. Remarks		

5808 Community Access and Services (CAS) Contract Files AC+CE+1 6 AC+CE+7

documentation; billing and payment records AC=after contract ends."

Each program area will maintain contractor files that have the following in them: contract documents and correspondence; procurement records and correspondence; documentation of technical assistance, orientation, and training; documentation of contract performance issues; required corrective action; internal correspondence regarding contract issues and maintenance; documentation of renewal or re-contracting assessment; dispute resolution documentation; billing and payment records AC=after contract ends."

5809 Office of Immigration and Refugee Affairs (OIRA) AC+CE+1 2 AC+CE+3

OIRA will maintain the contracts related to providing services to clients based on contract cycle. The contractor files will have the following in them:

contract documents and correspondence; procurement records and correspondence; documentation of technical assistance, orientation, and training; documentation of contract performance issues; required corrective action; internal correspondence regarding contract issues and maintenance; documentation of renewal or re-contracting assessment; dispute resolution documentation; billing and payment records other

AC=Contract cycle end. OIRA contracts are awarded based on federal funding cycles. The cycle can be 3 years or 5 years in length. Contracts not related to providing services to clients will be maintained in accordance of the CAS Contract Files series.

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 62 of 76

2. Agency Code		3. Agency Name					8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.		
4. Records Series Item No.		5. Agency Item No.		6. Record Series Title			7. Retention Period				9. Remarks	
							Agency		Storage		Total	
529		Health and Human Services Commission										
5836		5836		State Plan - Medicaid & CHIP			AC+10		AC+10			
5840		5840		Business Continuity Plans			US		US		OSS/Deputy Executive Commissioners Office	
1.1		5396		Federal Audits			AC+3		AC+3		AC= closure of audit. Administrative value to be determined annually.	
1.1		5404		SNAP Quality Control Negative Cases			FE+9MO		2+3MO FE+3		Stored at contracted offsite storage facility.	
1.1		5405		SNAP Quality Control Positive Cases			FE+9MO		2+3MO FE+3		Stored at contracted offsite storage facility.	
1.1		5406		SNAP Quality Control Error Positive Cases			FE+9MO		2+3MO FE+3		Stored at contracted offsite storage facility.	

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 63 of 76

2. Agency Code		3. Agency Name						8. Archival		10. 106 No.	11. TSLAC ONLY Amend. No.
529		Health and Human Services Commission									
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title			7. Retention Period			9. Remarks			
		Agency	Storage	Total							
1.1	5407	TANF Quality Control Positive Cases			FE+9MO	2+3MO	FE+3	Stored at contracted offsite storage facility.			
1.1	5408	TANF Quality Control Negative Cases			FE+9MO	2+3MO	FE+3	Stored at contracted offsite storage facility.			
1.1	5409	Medicaid/CHIP Quality Control Positive Cases			FE+9MO	2+3MO	FE+3	Stored at contracted offsite storage facility.			
1.1	5410	Medicaid/CHIP Quality Control Negative Cases			FE+9MO	2+3MO	FE+3	Stored at contracted offsite storage facility.			
1.1	5447	Bureau of Vital Statistics-Deceased Individual Report			FE	5	FE+5	Ensuring case accuracy by identifying clients reported by BVS as deceased. RG68-A			
1.1	5448	Prisoner Verification System			FE	5	FE+5	Ensuring case accuracy by identifying clients reported to be incarcerated. RG71-A			
1.1	5512	Handbook Revisions for Hardcopy Handbooks			AC+2	8	AC+10	R	Policy, Strategy, Analyst and Development Office AC= Revision is complete. Statewide distribution. Documents that reflect changes to Texas Works and/or MEPD Handbooks	12-529-169	
1.1	5513	Handbook Revisions Work Files/Bulletins			AC+2		AC+2	R	Policy Strategy, Analyst and Development Office AC= Revision/Bulletin is complete. Document that reflect changes to Texas Works and/or MEPD Handbook between quarterly revisions.		
1.1.007	5289	Division Uniform Administrative Subject/ Correspondence Files			FE	4	FE+4	R			
4.5.006	5257	External Fiscal Reports(Federal Financial Reports,etc.)			FE+1	2	FE+3	42CFR433.32 and 45CFR74.53			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 64 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
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			Agency	Storage	Total			
4.6	5323	Food Stamp Electronic Benefits Transfer Reconciliation	AC*	FE+3	AC+FE+3*			

* All audit requirements are met. AC= Completion of succeeding Electronic Benefit Transfer (EBT) project.

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 65 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

Office of Social Services/Eligibility Operations

5279	SNAP, TANF, Medicaid and Refugee Case Records.	AC+1	5	AC+6	AC= case denial or final action, including resolution of claim. Retention period based on statute of limitations for federal investigation of overpayments by HHSC or fraud, waste and abuse. This timeframe will assist in a defense for HHSC or investigations.
5419	Security and Accountability Audits and Reports	FE	3	FE+3	Records include information on security of food stamp and TANF (AFDC) issuance audits of vendors, and related retention based on CFR Ch. 7
5471	Regional Correspondence Related To Timeliness Corrective Action Plans	AC	5	AC+5	AC= date of correspondence. Series provides documentation of regional efforts towards compliance with mandated timeliness requirements.
5687	Vendor Correspondence	AC+1	3	AC+4	Office of Eligibility Services/Vendor Operations- Contract Compliance AC= End of Contract. Includes Texas Access Alliance State Action Request (SARs) and AIMS), MAXIMUS (SARs and MIMs)
5688	Vendor Monitoring	AC+1	3	AC+4	Office of Eligibility Services/Vendor Operations- Contract Compliance AC= End of Contract. Desk Reviews and On-site Reviews
5827	Electronic Benefit Transfer (EBT) Audit Records, Forms 1173, Forms 1174	FE+3		FE+3	
5828	Case Records Inventory Lists	AC+6		AC+6	AC=closure year
5829	Medicaid Eligibility for the Elderly and Disabled (MEPD) Case Records	AC+6		AC+6	AC=case closed

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 66 of 76

2. Agency Code		3. Agency Name					8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
529		Health and Human Services Commission							
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			Agency	Storage	Total				
	5831	Stand Down Material	AV	AV		Eligibility Operations training material sent to OSS Regional Directors for them to discuss with employees. These are program specific records.			
	5842	Federal Correspondence	AC+7	AC+7		AC=Termination or closure of the Program.			
1.1	5469	Regional Administrative Records	FE+5	FE+5	A	May include reports, correspondence, and related material.			
1.1.010	5830	State Office Directive	US+1	US+1		Directive or Memorandum from Director of Field Operations to Regional Directors.			
1.1.069	5460	Reports- Employee	1	1		These are reports to and from a supervisor regarding activity, workload, etc. These include but are not limited to case reading forms (F1161A&B), activity logs and related tracking records. Often kept through employees annual review cycles.			
5.1.001	5288	Human Services Contract	AC	7	AC+7	AC= Closed when contract period ends and contract is not renewed. Contracts documents provision with family violence program. Delete this category when all stored records have met their retention.	05-529-090		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 67 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

Office of the Ombudsman

1.1	5516	Intake and Resolution Files	1		1			
1.1	5517	HHS Enterprise Administrative Report and Tracking System (HEART)	5		5		Database. Formerly Texas Regional Accomplishment Complaint System (TRACS)	
1.1.048	5764	Litigation Files	AC+1		AC+1	R	All statutes of limitations must be met before the file is closed. Review before disposal; some cases that set legal precedents may merit a review by State Archives for historical reasons. AC = after case closed - settled	
1.1.073	5606	Administrative Hearings	AC+3		AC+3	R	AC= last action	
3.3	5600	Ombudsman Complaint Records	AC+1	1	AC+2		AC= When complaint is resolved.	

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 68 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

Operations and Program Support

	5608	Intern Documentation	AV	AV	Any documentation related to Internship Program
	5731	Wireless Telecommunication Request Documentation	AC+3	AC+3	AC= Date of Service Cancellation. Includes Form HHSC_OPS411 and all related documentation.
	5732	Translation Request (Form HHSC_OPS002)	AV	AV	
	5733	Sign Language Request (Form HHSC_OPS004)	AV	AV	
	5734	Lactation Log	1	1	
	5735	Wellness Participant Log	1	1	
1.2.003	5032	Forms History File	AC+1	AC+1	Original design request and all revisions. Design request may include purpose of form, frequency of use, quantity generated, method of printing used, etc. AC =Discontinuance of use of form.
1.2.004	5843	Forms Inventory	US	US	
1.2.005	5033	Records Retention Schedule (SLR 105) Agency Copy. Formerly RMD 105.	US	US	Includes documentation of certification and approval. Forms SLR 105C and/or SLR 115. (Formerly RMD 105C). Original is retained permanently by State & Local Records Mgmt

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 69 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
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1.2.006	5034	Records Transmittal Forms: Agency copy	AC+2		AC+2			
1.2.008	5035	Request for Authority to Dispose of State Records (RMD 102).	FE+3		FE+3			
1.2.010	5211	Records Disposition Log	10		10			
1.2.011	5036	Records Center Storage Approval Forms (RMD 106); Agency copy	US		US			
1.2.014	5212	Records Retention Documentation	US+1		US+1			
5.2.006	5100	Salvage Form (AM05)	FE+3		FE+3			
5.2.009	5450	Equipment Transfer Records (AM01)	AC+1	2	AC+3			
5.2.014	5266	Annual Inventory Certification Memo	FE+3		FE+3			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 70 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
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5.2.017	5267	Lost & Stolen Property Report (AM02)	FE+3		FE+3			
5.6.003	5765	Inspection, Repair and Maintenance Records-Vehicle/Checklist	LA+1		LA+1			
5.6.005	5617	Vehicle Usage Reports	FE+3		FE+3	Includes mileage, fuel/oil consumption, passengers carried and other related operational information.		
5.6.005	5838	Mileage Reports	FE+3		FE+3			
5.6.007	5761	Vehicle Titles and Registrations	LA		LA			

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 71 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival 9. Remarks	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			

Procurement and Contracting Services

5686		Grant Internal Approval Process	AC+3	AC+3	AC= Letter sent to Grantor
5724		HHS Nondisclosure & Procurement Integrity Statement (CPP0440)	US+1	US+1	
5725		Acknowledgement of Duties and Responsibilities (CPP0441)	US+1	US+1	
4.2.004	5729	Encumbrance Vouchers	AC+4	AC+4	AC=Expiration or termination of the instrument according to its terms. Purchase orders, statements, change orders, etc. These are procurements attached to an existing contract.
4.2.005	5756	Purchase Vouchers	FE+3	FE+3	These are procurements not attached to a an existing contract
5.1.001	5737	Contracts and Leases	AC	7 AC+7	AC = Expiration or termination of the instrument according to its terms. Contracts, leases, and agreements include general obligation, land lease, utilities, and construction except for buildings. Documents include specifications, affidavits of publication of calls for bids, accepted bids, performance bonds, contracts, purchase orders, inspection reports, and correspondence.Stored at contracted offsite storage facility.
5.3	5268	Procurement Card Purchases Supporting Documentation	FE+3	FE+3	

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Archival Codes (Field 8)

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STATE OF TEXAS

Records Retention Schedule

SLR 105

Form SLR 105C must accompany this form.

Page 72 of 76

2. Agency Code 529		3. Agency Name Health and Human Services Commission						
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. TSLAC ONLY Amend. No.
			Agency	Storage	Total			
5.3.007	5730	Bid Documentation	AC+4		AC+4	AC= Expiration or termination of the instrument according to its terms. Includes bid requisitions/authorizations, invitations to bid or propose, bid specifications, accepted and rejected bids and bid tabulation/evaluations. This covers successful and unsuccessful solicitations.		
5.3.008	5269	Purchasing Log (Provides a record of purchase orders, issued, etc.)	FE+3		FE+3	Logs, registers, etc. providing a record of purchase orders issued, orders received and similar date on procurement status.		
Rate Analysis								
	5283	Cost Reports	2	5	7	Includes Disproportionate Share Documents, Disproportionate Share Hospital Program Documentation.	02-529-079	
	5284	Rate Setting Documentation	AC+2	5	AC+7	AC= close of Rate Database. Includes Hospital Reimbursement Working Paper, Standard Dollar Amount and Diagnoses Related Groups Reimbursement Documentation.	02-529-080	

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STATE OF TEXAS

Records Retention Schedule

SLR 105

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Page 73 of 76

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			Agency	Storage	Total	9. Remarks		

Risk and Compliance Management

5573	Notice of Privacy Practice Form 0401	6	6	A covered entity must retain the documentation for six years from the date of its creation or the date when it last was in effect, whichever is later. 45 CFR 164.530 (j) (1)-(2)
5574	Other HIPAA Privacy Documentation (letters, memos, and forms, Access Database records, and all associated electronic back-up)	6	6	Retain a copy of the policies, procedures and communication required for implementation of the HIPAA Privacy Rule. 45 CFR 164.530 (j) (1)-(2)
5575	Record of HIPAA- Affected Disclosures	6	6	Affected disclosures typically include disclosures to law enforcement agencies, abuse/neglect reports to DFPS and disclosures for research surveys. Record of the disclosure is maintained for 6 yrs after disclosure is made. 45 CFR 164.530 (j) (1)-(2)
5576	Complaints Related to Privacy (HIPAA)	6	6	Retain documentation for 6 yrs. After the date of disposition of complaint. 45 CFR 164.530 (j) (1)-(2)
5578	Access to HIPAA Affected Information- Denied	6	6	Retain 6 years after Date of denial of information and related communication. 45 CFR 164.530 (j) (1)-(2)
5588	Request for Restrictions on Disclosures-HIPAA	6	6	Date of Denial Information and related communications; 45 CFR 164.530 (j) (1)-(2)
5718	Medical Records Associated with Ongoing Payment Error Rate Measurement (PERM) Reviews	AC	AC	AC=Claim Review is Complete. Stored at Contracted Offsite Storage Facility.
5719	Medical Records Associated with Confirmed Payment Error Rate Measurement (PERM) Exceptions	AC	AC	AC=Error Resolution Process is Complete. Stored at Contracted Offsite Storage Facility.

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STATE OF TEXAS

Records Retention Schedule

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Page 74 of 76

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			Agency	Storage	Total	9. Remarks		
1.1	5780	Working Papers Associated with Medicaid Integrity Contractor Audits	AC	AC		AC=Audit Resolution Process is complete.		
1.1	5781	Audit Reports External	AC	AC		AC=Audit Resolution Process is complete.		
3.1	5577	HIPAA Training Material and Educational Achievement Records	6	6		Retain training program content (Paper and Electronic) and record of staff completion. 45 CFR 164.530 (j) (1)-(2)		

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STATE OF TEXAS

Records Retention Schedule

SLR 105

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Page 75 of 76

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Vendor Drug

5164	Drug Manufacturer's Price List Files	1	5	6	HCFA required 6 Years for Audit- Contains drug pricing information.	
5165	Drug Changes- Data Entry Submittal Worksheets (MH System)	AC+5		AC+5	AC= when change is complete. MH System- Vendor Drug Payments	
5166	Drug Manufacturers Applications	1	4	5		
5167	Pharmacy Provider Application/ Contract Files	1	6	7		
5168	Pharmacy Claim Forms 3710	AC	5	AC+5	AC= Claim has been settled.	
5169	Closed Vendor Files (Active and Inactive Vendors)	AC+1	6	AC+7	AC= Vendor becomes inactive or has disconnected the program.	02-529-054
5175	Pharmacy Reimbursement	CE+1	3	CE+4	Pharmacy Billing/TPR	
5571	Payment History Rebate Files	AC	10	AC+10	AC= Termination of Federal and State Rebate Programs. Stored at Contracted Offsite Storage Facility. 42 USC 1396R-8	
5572	Rebate Historical Data and Supporting Documentation	AC	10	AC+10	AC=Termination of Federal and State Rebate Programs. Stored at Contracted Offsite Storage Facility. 42 USC 1396R-8	

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STATE OF TEXAS

Records Retention Schedule

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Page 76 of 76

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			Agency	Storage	Total				
	5766	Return Drug Inventory Form	1MO	4Y11M	5				
	5770	Pharmacy Education	5		5				
1.1	5188	Valid Prescription Claims	6 M	3Y6MO	4			02-529-072	
1.1	5208	Claim Reports	1	4	5	R	5 year retention meets Federal Guidelines.	02-529-060	
1.1.002	5535	Vendor Drug Audits	AC+2	5	AC+7		AC= publication or release of audit findings.	02-529-085	
1.1.058	5769	Drug Utilization Review (DUR) and Pharmaceutical and Therapeutic (P&T) Committee Recommendations.	PM		PM	A			

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