

APPROVED 11/2/2006

State of Texas
Records Retention Schedule

Automated Facsimile of SLR-105

2. AGENCY CODE: 537

3. AGENCY: TEXAS DEPARTMENT OF STATE HEALTH SERVICES

ORIGINAL SUBMISSION

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4. Records

7. RETENTION PERIOD

Series Item #	5. Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.
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625 - MENTAL HEALTH AND SUBSTANCE ABUSE SERVICES DIVISION

1.1.006	5846	COMPLAINT RECORDS	AC+2		AC+2		COMPLAINTS RECEIVED BY THE PUBLIC AND RECORDS PERTAINING TO THE RESOLUTION OF THE COMPLAINT. AC=FINAL DISPOSITION OF THE COMPLAINT.	
1.1.007	5110	ADMINISTRATIVE CORRESPONDENCE	3		3	R	Vital Record. ONLY ADMINISTRATIVE CORRESPONDENCE OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.	
1.1.008	1173	GENERAL CORRESPONDENCE	1		1		INCLUDES SOME E-MAIL.	
1.1.013	1690	DESK CALENDARS/APPOINTMENT BOOKS	CE+1		CE+1	R	ONLY CALENDARS, APPOINTMENT, AND ITINERARY RECORDS OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.	
1.1.020	5847	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	AC+1		AC+1		AC=DATE REQUEST FULFILLED	
1.1.021	5848	PUBLIC INFORMATION REQUESTS - EXEMPTED	AC+2		AC+2		AC=DATE OF NOTIFICATION THAT RECORDS ARE EXEMPT	
1.1.023	1688	ORGANIZATION CHARTS	US		US	A		
1.1.024	5852	PLANS AND PLANNING RECORDS	AC+3		AC+3	R	AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS. (DATA PROCESSING PLANNING RECORDS ARE NOT ARCHIVAL.)	
1.1.038	5849	CUSTOMER SURVEYS	AC+3		AC+3		SEE 1.1.067 FOR SUMMARY REPORTS COMPILED FROM CUSTOMER SURVEYS	

RETENTION CODES (Field 7)

ARCHIVAL CODES (Field 8)

VITAL Record (Include in Field 9)

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1.1.048	3850	LITIGATION FILES (FOR TCADA LEGACY AGENCY)	AC	1	AC+1		R	AC=AS APPLICABLE, DECISION OF AN AGENCY NOT TO FILE A LAWSUIT OR DECISION THAT A LAWSUIT WILL NOT BE FILED AGAINST IT ON A MATTER; DISMISSAL OF A LAWSUIT FOR WANT OF PROSECUTION OR ON MOTION OF THE PLAINTIFF; OR FINAL DECISION OF A COURT (OR OF A COURT ON APPEAL, IF APPLICABLE) IN A LAWSUIT. CASES THAT SET LEGAL PRECEDENT OR EXHIBIT HISTORICAL VALUE SHOULD BE SENT TO STATE ARCHIVES.	05-537-486	
1.1.057	3703	TRANSITORY INFORMATION	AC		AC			AC=PURPOSE OF RECORD HAS BEEN FULFILLED.		
1.1.063	1659	STAFF MEETING MINUTES	1		1					
1.1.064	1695	AGENCY PERFORMANCE MEASURES DOCUMENTATION	FE+1	2	FE+3			Vital Record.	05-537-505	
1.1.066	4159	REPORTS - ANNUAL AND BIENNIAL AGENCY (NON-FISCAL) (MHMR LEGACY AGENCY)	AC	6	AC+6		A	AC=SEPT 1 OF ODD-NUMBERED CALENDAR YEARS. (REMOVE FROM SCHEDULE WHEN RECORDS SENT TO STATE ARCHIVES APPROXIMATELY 9/1/11)		
1.1.066	5550	ANNUAL NARRATIVE REPORT (MHMR LEGACY AGENCY)	AC	25	AC+25			AC=SEPT 1 OF ODD-NUMBERED CALENDAR YEAR.	05-537-429	
1.1.067	5850	REPORTS AND STUDIES (NON-FISCAL)	3		3		R	IF REPORT HAS HISTORICAL RELEVANCE, DO NOT DESTROY REPORT BUT SEND IT TO THE STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.		
1.1.068	1706	REPORTS ON PERFORMANCE MEASURES	AC+1	5	AC+6			AC=SEPT 1 OF ODD-NUMBERED CALENDAR YEARS.		
3.1	6724	POSITIVE PERFORMANCE RECORDS (MAINTAINED BY SUPERVISORS)	AC		AC			AC=FIRST LEVEL REMINDER IS 3 MONTHS; SECOND LEVEL REMINDER IS 6 MONTHS WITH A COPY TO EMPLOYEE'S MASTER EMPLOYEE FILE; THIRD LEVEL REMINDER IS 12 MONTHS WITH A COPY TO EMPLOYEE'S MASTER EMPLOYEE FILE. BEGINNING AUGUST 2005 SUPERVISORS USE Employee Development Notes IN AccessHR TO DOCUMENT SECOND AND THIRD LEVEL REMINDERS, BUT A PAPER COPY IS STILL FORWARDED TO HHSC HR FOR EMPLOYEE'S MASTER PERSONNEL FILE.		

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625 - MENTAL HEALTH AND SUBSTANCE ABUSE SERVICES DIVISION									
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3.1.001	5343	APPLICATIONS FOR EMPLOYMENT - NOT HIRED	2		2		CONTAINS CONFIDENTIAL DATA. AccessHR ASSUMED THIS FUNCTIONALITY IN MAY 2005.		
3.1.014	1685	EMPLOYMENT SELECTION RECORDS	2		2		Vital Record. MAY CONTAIN CONFIDENTIAL DATA. AccessHR PARTIALLY ASSUMED THIS FUNCTIONALITY IN MAY 2005.		
3.1.019	1038	PEFORMANCE APPRAISALS/JOURNALS	2		2		CONTAINS CONFIDENTIAL DATA. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.		
3.1.023	1067	POSITION/JOB DESCRIPTIONS	AC+4		AC+4		Vital Record. AC=UNTIL SUPERCEDED OR JOB ELIMINATED. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.		
3.1.027	1061	TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS	AC+6		AC+6		AC=TERMINATION OF EMPLOYMENT. EXTENDED RETENTION PERIOD REQUIRED UNDER HIPAA (45 CFR SECTION 164.530(j)(1)-(2)		
3.1.037	3642	EMPLOYEE RECOGNITION RECORDS	AC+5		AC+5		AC=TERMINATION OF EMPLOYMENT; FORWARD PRINTED COPY TO HHS MANAGER FOR HUMAN RESOURCE RECORDS FOR EMPLOYEE MASTER PERSONNEL FILE.		
3.4.002	3672	LEAVE STATUS REPORTS	FE+3		FE+3		Vital Record. BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.		
3.4.004	1036	OVERTIME AUTHORIZATIONS	2		2		BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.		
3.4.006	1033	TIME CARDS AND TIME SHEETS	4		4		40 TAC815.106(i); BEGINNING OCT 2005, TIME SHEETS SENT TO RECORDS MANAGEMENT OFFICER FOR RETENTION.		
3.4.007	5845	TIME OFF AND SICK LEAVE REQUEST / DAILY ABSENCE REPORTS	FE+3		FE+3		BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.		
4.5.003	5542	ANNUAL FINANCIAL REPORT (MHMR LEGACY AGENCY)	AC	6	AC+6		AC=SEPT 1 OF ODD-NUMBERED CALENDAR YEAR.		

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4.7.008	3149	FEDERAL GRANT RECORDS - DISASTER ASSISTANCE (NORTHSTAR)	AC	5	AC+5		Vital Record. AC=SATISFACTION OF ALL UNIFORM ADMINSTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS (THE COMMON RULE).	05-537-480
5.1.001	1939	CONTRACTS (INCLUDES RFPs - FUNDED CONTRACTS, APPLICATION REVIEW)	AC+1	3	AC+4	R	Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS.	05-537-498
5.1.016	2825	TELEPHONE MESSAGE NOTIFICATIONS	1		1		INCLUDES E-MAILS, PHONE MESSAGE BOOKS AND SLIPS, ETC.	
5.3.007	1940	REQUESTS FOR PROPOSAL DOCUMENTATION-NOT FUNDED (RFP & APPLICATION REVIEW)	FE+1	2	FE+3			05-537-484

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