

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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608 - PATIENT QUALITY CARE UNIT

148		NARCOTIC TREATMENT PROGRAM APPLICATION (FDA 2632) & RELATED MATERIAL	1+AC+AV		1+AC+AV		PAPER IS KEPT 1 YEAR, AC=WHEN PAPER SCANNED. AFTER SCANNING THE PAPER IS DESTROYED; ELECTRONIC IS RETAINED UNTIL AV, AV=NEEDED TO CONDUCT REGULATORY ACTIVITIES OR REVIEW.	
166		NARCOTIC TREATMENT PROGRAM STATUS REPORT AND PERMIT	3		3		PAPER RETAINED FOR ONE YEAR, THEN SCANNED AND DESTROYED; ELECTRONIC IS KEPT TWO MORE YEARS.	
375		SURVEYOR DOCUMENTS - MEDICARE/CLIA (FEDERAL)	2	2	4		INCLUDES HOSPITAL LICENSING DEFICIENCIES.	05-537-223
509		SURVEYOR NOTES - MEDICARE/CLIA (FEDERAL)	AC		AC		AC=PLAN OF CORRECTION RECEIVED / REVIEWED.	
998		NARCOTIC TREATMENT PROGRAM CENTRAL REGISTRY	3		3		PAPER IS KEPT ONE YEAR, THEN SCANNED AND DESTROYED; ELECTRONIC IS KEPT TWO MORE YEAR.	
1000		NARCOTIC TREATMENT PROGRAM OUT OF BUSINESS (OOB) FILES	1+AC+AV		1+AC+AV		PAPER IS KEPT 1 YEAR, AC=WHEN PAPER SCANNED. AFTER SCANNING THE PAPER IS DESTROYED; ELECTRONIC IS RETAINED UNTIL AV, AV=NEEDED TO CONDUCT REGULATORY ACTIVITIES OR REVIEW.	
1642		NARCOTIC TREATMENT PROGRAM PATIENT FEE PERMITS	3		3		PAPER RETAINED FOR ONE YEAR, THEN SCANNED AND DESTROYED; ELECTRONIC KEPT TWO MORE YEARS.	
2212		NARCOTIC TREATMENT PROGRAM FACILITY PERSONNEL INFORMATION	1+AC+AV		1+AC+AV		PAPER IS KEPT 1 YEAR, AC=WHEN PAPER SCANNED. AFTER SCANNING THE PAPER IS DESTROYED; ELECTRONIC IS RETAINED UNTIL AV, AV=NEEDED TO CONDUCT REGULATORY ACTIVITIES OR REVIEW.	
2213		NARCOTIC TREATMENT PROGRAM REGULATORY EXCEPTIONS	1+AC+AV		1+AC+AV		PAPER IS KEPT 1 YEAR, AC=WHEN PAPER SCANNED. AFTER SCANNING THE PAPER IS DESTROYED; ELECTRONIC IS RETAINED UNTIL AV, AV=NEEDED TO CONDUCT REGULATORY ACTIVITIES OR REVIEW.	

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VITAL Record (Include in Field 9)

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4. Records

Series Item # 5. Agency Item #

6. Records Series Title

7. RETENTION PERIOD

Agency Storage Total 8. Archival 9. Remarks

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608 - PATIENT QUALITY CARE UNIT

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2214		NARCOTIC TREATMENT PROGRAM MEDICAL RESPONSIBILITY (FDA 2633)	1+AC+AV		1+AC+AV		PAPER IS KEPT 1 YEAR, AC=WHEN PAPER SCANNED. AFTER SCANNING THE PAPER IS DESTROYED; ELECTRONIC IS RETAINED UNTIL AV, AV=NEEDED TO CONDUCT REGULATORY ACTIVITIES OR REVIEW.
2215		NARCOTIC TREATMENT PROGRAM COMPLAINTS - VALID	3		3		PAPER IS RETAINED ONE YEAR, THEN SCANNED AND DESTROYED; ELECTRONIC IS RETAINED TWO MORE YEARS.
2216		NARCOTIC TREATMENT PROGRAM COMPLAINTS - NOT VALID	3		3		PAPER IS RETAINED FOR ONE YEAR, THEN SCANNED AND DESTROYED; ELECTRONIC IS KEPT TWO MORE YEARS.
2217		NARCOTIC TREATMENT PROGRAM ADMINISTRATIVE PENALTY RECORDS	1+AC+AV		1+AC+AV		PAPER IS KEPT 1 YEAR, AC=WHEN PAPER SCANNED. AFTER SCANNING THE PAPER IS DESTROYED; ELECTRONIC IS RETAINED UNTIL AV, AV=NEEDED TO CONDUCT REGULATORY ACTIVITIES OR REVIEW.
2218		NARCOTIC TREATMENT PROGRAM SPECIAL INVESTIGATION RECORDS	1+AC+AV		1+AC+AV		PAPER IS KEPT 1 YEAR, AC=WHEN PAPER SCANNED. AFTER SCANNING THE PAPER IS DESTROYED; ELECTRONIC IS RETAINED UNTIL AV, AV=NEEDED TO CONDUCT REGULATORY ACTIVITIES OR REVIEW.
2220		NARCOTIC TREATMENT PROGRAM DEA/FDA LICENSING NOTICES	PM		PM		PAPER IS RETAINED FOR ONE YEAR, THEN SCANNED AND DESTROYED; ELECTRONIC IS RETAINED PERMANENTLY.
3461		MEDICARE SURVEY DOCUMENTS	AV		AV		AV=FILES CONTAIN 2 COMPLETE SURVEY PACKETS OR 3 YRS AFTER CLOSURE
3766		FACILITY LISTS	US		US		
3780		APPLICATIONS WHERE NO LICENSE HAS BEEN ISSUED	AC+30 DA		AC+30 DA		AC=AFTER THE REVIEW IS COMPLETED
4923		NARCOTIC TREATMENT PROGRAM INSPECTION REPORTS	1+AC+AV		1+AC+AV		PAPER IS KEPT 1 YEAR, AC=WHEN PAPER SCANNED. AFTER SCANNING THE PAPER IS DESTROYED; ELECTRONIC IS RETAINED UNTIL AV, AV=NEEDED TO CONDUCT REGULATORY ACTIVITIES OR REVIEW.

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4. Records Series Item # 5. Agency Item # 6. Records Series Title 7. RETENTION PERIOD Agency Storage Total 8. Archival 9. Remarks 10. 106 No.

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	4926	NARCOTIC TREATMENT PROGRAM SCHEDULE OF CONTROLLED SUBSTANCES & AMENDMENTS	PM		PM		Vital Record. PAPER IS RETAINED FOR ONE YEAR, THEN SCANNED AND DESTROYED; ELECTRONIC IS KEPT PERMANENTLY.	
1.1	98	SUBPOENAED RECORDS	AC		AC		AC=SETTLEMENT OR DISMISSAL OF LITIGATION	
1.1	126	FACILITY LICENSURE FILES WITH AGREED ORDERS (FROM TCADA)	AC+4		AC+4		Vital Record. AC=LICENSE EXPIRED, REVOKED OR FACILITY CLOSED. (INITIAL APPROVAL LETTER & CERTIFICATE OF LICENSURE; DOCUMENTATION OF LEGAL AUTHORITY TO OPERATE IN TEXAS; ORGANIZATION CHART; CURRENT ADA CHECKLIST; VARIANCES; AGREED ORDERS; COURT COMMITMENT APPROVAL LETTER; BUILDING APPROVALS; FLOOR PLAN; SQUARE FOOTAGE FORM) (SEE ALSO #127.)	
1.1	127	FACILITY LICENSURE FILES (FROM TCADA)	AC+2		AC+2		Vital Record. AC=LICENSE EXPIRED, REVOKED OR FACILITY CLOSED. (INITIAL APPROVAL LETTER & CERTIFICATE OF LICENSURE; DOCUMENTATION OF LEGAL AUTHORITY TO OPERATE IN TEXAS; ORGANIZATION CHART; CURRENT ADA CHECKLIST; VARIANCES; COURT COMMITMENT APPROVAL LETTER; BUILDING APPROVALS; FLOOR PLAN; SQUARE FOOTAGE FORM) (SEE ALSO #126)	
1.1	137	FACILITY LICENSE RENEWALS (FROM TCADA)	AC+2		AC+2		Vital Record. AC=RENEWAL EXPIRED, REVOKED OR FACILITY CLOSED. (RENEWAL DOCUMENTATION; LICENSURE ACTIVITY; & RELATED DOCUMENTS)	
1.1	141	NEW FACILITY LICENSURE APPLICATION WITHDRAWN/RETIRED FILES (FROM TCADA)	AC+2		AC+2		AC=APPLICATION WITHDRAWN/RETIRED. (INCLUDES APPLICANTS THAT WITHDREW OR DID NOT MEET TIMELINES & WERE RETIRED)	
1.1	182	CLOSED FACILITY FILES - MEDICARE/CLIA (FEDERAL)	AC+4		AC+4		AC=CLOSURE OF THE FACILITY	
1.1	471	COMPLAINT INVESTIGATIONS FILES (CASE SUMMARY, ACTIVITY LOG, MEMORANDUM TO CLOSE, ORIGINAL COMPLAINT, CORRESPONDENCE, ADDITIONAL DOCUMENTATION) (FROM TCADA)	AC+1	2	AC+3		AC=INVESTIGATION COMPLETE/ CLOSED. INCLUDES THE FILES FROM THE FORMER LEGACY AGENCY-TCADA AND AFTER 9/1/04 INCLUDES INVESTIGATIONS WHERE NO COMPLAINT WAS SUBSTANTIATED.	05-537-485

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Series Item #	Agency Item #	Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks
1.1	499	COMPLAINT INVESTIGATIONS FILES WITH A FINDING (CASE SUMMARY, ACTIVITY LOG, MEMORANDUM TO CLOSE, ORIGINAL COMPLAINT, CORRESPONDENCE, ADDITIONAL DOCUMENTATION) (FROM TCADA)	AC		AC		AC=FINDING IS SUBSTANTIATED, AND RECORDS ARE TRANSFERRED TO HHSC CRIMINAL INVESTIGATIONS OR REGULATORY SERVICES-ENFORCEMENT UNIT.
1.1	503	DEFERMENT CASES (RED FILES): COMPLAINT INVESTIGATION FILES DEFERRED BY LEGAL (FROM TCADA)	AC+5+AV		AC+5+AV		AC=INVESTIGATION COMPLETED. AV=LEGAL SECTION WILL REVIEW CASE AT END OF RETENTION PERIOD TO ASSESS NEED FOR FURTHER RETENTION
1.1.007	704	NARCOTIC TREATMENT PROGRAM WARNING LETTERS	1+AC+2		1+AC+2	R	Vital Record. AC=PAPER IS SCANNED THEN DESTROYED; ELECTRONIC IS KEPT FOR REMAINDER OF RETENTION PERIOD. VALUE ASSESSED AND MAY BE FILED WITH #4923 TO MEET PUBLIC'S CONTINUAL AND ONGOING NEED FOR INFORMATION ABOUT NARCOTIC TREATMENT PROGRAMS AND HEALTH/MEDICAL ISSUES. ONLY ADMINISTRATIVE CORRESPONDENCE OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.
1.1.007	5599	NARCOTIC TREATMENT PROGRAM INVESTIGATIONAL CORRESPONDENCE; 1ST CLASS & CERTIFIED	1+AC+2		1+AC+2	R	Vital Record. AC=PAPER IS SCANNED THEN DESTROYED; ELECTRONIC IS KEPT FOR REMAINDER OF RETENTION PERIOD. VALUE ASSESSED AND MAY BE FILED WITH #4923 TO MEET PUBLIC'S CONTINUAL AND ONGOING NEED FOR INFORMATION ABOUT NARCOTIC TREATMENT PROGRAMS AND HEALTH/MEDICAL ISSUES. ONLY ADMINISTRATIVE CORRESPONDENCE OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.

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1.1.048	2219	NARCOTIC TREATMENT PROGRAM LEGAL RECORDS	AC+1+AV		AC+1+AV	R	PAPER IS RETAINED FOR AC+ONE YEAR, THEN SCANNED AND DESTROYED; ELECTRONIC IS KEPT AV, 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 OF WANT OF PROSECUTION OR ON A MOTION OF THE PLAINTIFF; OR FINAL DECISION OF A COURT (OR OF A COURT ON APPEAL, IF APPLICABLE) IN A LAWSUIT. AV=NEEDED FOR REGULATORY ACTIVITIES OR REVIEW. COURT CASES INVOLVING NARCOTIC TREATMENT PROGRAMS CROSS-REFERENCE EARLIER CASES, THEREFORE, THESE RECORDS MUST BE RETAINED AV TO MEET COURT REQUIREMENTS AND PUBLIC NEED FOR INFORMATION ON NARCOTIC TREATMENT PROGRAMS.
1.1.057	2222	NARCOTIC TREATMENT PROGRAM OR METHADONE RELATED TRANSITORY INFORMATION	AC		AC		OM, ORIGINAL MEDIUM RETAINED.
1.1.060	2224	NARCOTIC TREATMENT PROGRAM PUBLIC HEARING RELATED VIDEO/AUDIO RECORDINGS	AV		AV		AUDIO, VIDEO; AV=NEEDED FOR REGULATORY ACTIVITIES OR REVIEW. RECORDS HAVE CONTINUAL AND ONGOING VALUE, AND RETENTION IS BASED ON NEED FOR RECORDS BY PUBLIC TO SOLVE HEALTH/MEDICAL PROBLEMS RELATED TO NARCOTIC TREATMENT PROGRAMS.
1.1.062	2223	NARCOTIC TREATMENT PROGRAM PUBLIC HEARING RELATED DOCUMENTS	2+AV		2+AV		PAPER IS RETAINED FOR TWO YEARS, THEN SCANNED AND DESTROYED; ELECTRONIC IS KEPT AV, AV=NEEDED FOR REGULATORY ACTIVITIES OR REVIEW. RECORDS HAVE CONTINUAL AND ONGOING VALUE, AND RETENTION IS BASED ON NEED FOR RECORDS BY PUBLIC TO SOLVE HEALTH/MEDICAL PROBLEMS RELATED TO NARCOTIC TREATMENT PROGRAMS.

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2.1.001	3400	PROCESSING FILES	AC		AC		Vital Record. AC=COMPLETION OF 3RD VERIFICATION CYCLE, OR AUDIT COMPLETION CONFIRMING SUCCESSFUL TRANSACTION PROCESSING, OR REQUIRED AUDIT TRAIL MAINTENANCE, OR THE ABILITY OT RESTORE OR MIGRATE WHEN ERRORS ARE DETECTED OR WHEN HARDWARE OR SOFTWARE CHANGES OCCUR.	
3.1	6723	POSITIVE PERFORMANCE RECORDS (MAINTAINED BY SUPERVISORS)	AC		AC		AC=FIRST LEVEL REMINDER IS 3 MONTHS; SECOND LEVEL REMINDER IS 6 MONTHS WITH A COPY TO EMPLOYEE'S MASTER EMPLOYEE FILE; THIRD LEVEL REMINDER IS 12 MONTHS WITH A COPY TO EMPLOYEE'S MASTER EMPLOYEE FILE. BEGINING AUGUST 2005 SUPERVISORS USE Employee Development Notes IN AccessHR TO DOCUMENT SECOND AND THIRD LEVEL REMINDERS, BUT A PAPER COPY IS STILL FORWARDED TO HHSC HR FOR EMPLOYEE'S MASTER PERSONNEL FILE.	
5.4	4292	REVIEW OF APPROPRIATE LICENSURE FOR OPERATION OF MOTOR VEHICLE (KEPT WITH PERFORMANCE APPRAISALS)	2		2		FOR STAFF WHO DRIVE 50% OR MORE ON AGENCY BUSINESS.	
5.4	4533	COPY OF MOVING AND NON-MOVING TRAFFIC VIOLATIONS (KEPT WITH PERFORMANCE APPRAISALS)	2		2		FOR STAFF WHO DRIVE 50% OR MORE ON AGENCY BUSINESS.	

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