

Automated Facsimile of SLR-105

2. AGENCY CODE: 537 3. AGENCY: TEXAS DEPARTMENT OF STATE HEALTH SERVICES

ORIGINAL SUBMISSION  
 RECERTIFICATION  
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4. Records Series Item #		5. Agency Item #	7. RETENTION PERIOD			9. Remarks	10. 106 No.
6. Records Series Title			Agency	Storage	Total		
606 - PROFESSIONAL LICENSING & CERTIFICATION UNIT							
1.1	62	ALCOHOL EDUCATION PROGRAM FOR MINORS CERTIFICATION RECORDS	AC	2	AC+2	(PROGRAM APPLICATIONS; MONITORING REPORTS; ANNUAL REPORTS; CHANGE OF ADDRESS FORMS; CORRESPONDENCE) AC=AFTER CERTIFICATION OR RECERTIFICATION EXPIRED. ORIGINAL APPLICATION & REPORTS FORWARDED TO RECERTIFICATION FILE.	
1.1	65	DWI INTERVENTION PROGRAM CERTIFICATION	AC	2	AC+2	(PROGRAM APPLICATIONS; MONITORING REPORTS; ANNUAL REPORTS; CHANGE OF ADDRESS FORMS; CORRESPONDENCE) AC=AFTER CERTIFICATION OR RECERTIFICATION EXPIRED. ORIGINAL APPLICATION & REPORTS FORWARDED TO RECERTIFICATION FILE.	
1.1	88	DWI EDUCATION PROGRAM CERTIFICATION RECORDS	AC	2	AC+2	(PROGRAM APPLICATIONS; MONITORING REPORTS; ANNUAL REPORTS; CHANGE OF ADDRESS FORMS; CORRESPONDENCE) AC=AFTER CERTIFICATION OR RECERTIFICATION EXPIRED. ORIGINAL APPLICATION & REPORTS FORWARDED TO RECERTIFICATION FILE.	
1.1	89	DRUG OFFENDER EDUCATION PROGRAM CERTIFICATION RECORDS	AC	2	AC+2	(PROGRAM APPLICATIONS; MONITORING REPORTS; ANNUAL REPORTS; CHANGE OF ADDRESS FORMS; CORRESPONDENCE) AC=AFTER CERTIFICATION OR RECERTIFICATION EXPIRED. ORIGINAL APPLICATION & REPORTS FORWARDED TO RECERTIFICATION FILE.	
1.1	113	ADMINISTRATOR / INSTRUCTOR TRAINING (ALCOHOL EDUCATION PROGRAM FOR MINORS; DWI INTERVENTION PROGRAM; DWI EDUCATION PROGRAM; DRUG OFFENDER EDUCATION PROGRAM)	3		3	(PARTICIPANT APPLICATIONS; TRAINING AGENDA; PARTICIPANT LISTS; VERFICATION FORMS; EXAMS AND TRAINING EVALUATIONS)	
1.1	409	PRE-SERVICE EDUCATION INSTITUTION FILES (LCDC)	AC	2	AC+2	Vital record.	05-537-500
1.1	428	CLINICAL TRAINING INSTITUTION FILES (LCDC)	AC	2	AC+2	Vital record.	05-537-502
1.1	445	PRACTICUM PROVIDER FILES (LCDC)	AC	2	AC+2	Vital record.	05-537-501

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ARCHIVAL CODES (Field 8)

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10. 106 No.

606 - PROFESSIONAL LICENSING & CERTIFICATION UNIT									
Series Item #	Agency Item #	Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.	
1.1	457	INTERN REGISTRATION FILES (LCDC)	AC+1	4	AC+5		Vital record. AC=APPLICATION DENIED OR 5 YEAR REGISTRATION PERIOD EXPIRED. TRANSFER TO LCDC FILES (ITEM #462) WHEN LICENSED APPROVED. DESTROY FILES OF DECEASED APPLICANTS UPON NOTIFICATION OF DEATH.	05-537-488	
1.1	462	LICENSED CHEMICAL DEPENDENCY COUNSELOR (LCDC) FILES (ORIGINAL APPLICATION, RENEWALS, CONTINUING EDUCATION REVIEWS) (LCDC)	AC+1	4	AC+5		Vital record. AC=INACTIVE, REVOKED, DENIED, EXPIRED, SUSPENDED, SURRENDERED, OR PROBATED. DESTROY FILES OF DECEASED LCDCs. (SEE ITEM # 457).	05-537-487	
1.1	566	CONSUMER COMPLAINT AND ENFORCEMENT FILES (CLOSED WITH NO DISCIPLINARY ACTION)	AC+1	2	AC+3		AC=CASE RESOLUTION		
1.1	988	LICENSE RENEWAL DOCUMENTATION	AV		AV				
1.1	1011	REFERENCE FILES	AV		AV				
1.1	1546	EXAMINATION STATISTICS	AV		AV				
1.1	1557	EXAMINATION SCORES (WRITTEN AND PRACTICAL; PASS AND FAIL)	AC	2	AC+2		AC=EXAMINATION DATE. PORTIONS OF EACH FILE MAY BE CONFIDENTIAL.		
1.1	3386	CONSUMER COMPLAINT AND ENFORCEMENT FILES (CLOSED WITH DISCIPLINARY ACTION)	AC+2	5	AC+7		AC-RESOLUTION OF CASE	08-537-543	
1.1	3471	BOARD RULE FILES	AV		AV				
1.1	4204	INSTRUCTOR/CURRICULUM/SCHOOL APPLICATIONS AND DOCUMENTATION	AC+1	4	AC+5		Vital Record. AC=APPROVAL DATE	05-537-509	
1.1	4208	CONSUMER COMPLAINT AND ENFORCEMENT FILES (CLOSED WITH LICENSE REVOCATION, DENIAL, OR SURRENDER)	AV		AV				

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606 - PROFESSIONAL LICENSING & CERTIFICATION UNIT											
1.1	4544			LICENSING FILES (PENDING)	AC		AC			AC=AFTER COMPLETION. FILE THEN BECOMES PART OF EITHER 4558 OR 4560. PORTIONS OF EACH FILE ARE CONFIDENTIAL	
1.1	4552			LICENSING DATABASES	AV		AV			Vital record. PORTIONS OF EACH FILE ARE CONFIDENTIAL. UPDATED DAILY. BACKED UP DAILY.	
1.1	4553			COMPLAINT AND ENFORCEMENT TRACKING DATABASES	AV		AV			Vital record. PORTIONS OF EACH FILE ARE CONFIDENTIAL. UPDATED DAILY. BACKED UP DAILY.	
1.1	4554			EXAMINATION ITEM DATABASES	AV		AV			Vital record. PORTIONS OF EACH FILE ARE CONFIDENTIAL. UPDATED DAILY. BACKED UP DAILY.	
1.1	4557			SUPERVISION FILES (APPLICATIONS AND DOCUMENTATION)	AC	5	AC+5			AC= APPROVAL DATE. PORTIONS OF EACH FILE MAY BE CONFIDENTIAL.	
1.1	4558			LICENSING FILES (APPROVED)	AC	20	AC+20			AC=DATE LICENSE ISSUED. PORTIONS OF EACH FILE IS CONFIDENTIAL. 05-537-229 (OPTICIANS; RESPIRATORY); 05-537-156 (MEDICAL RADIOLOGICALTECHNICIANS; 05-537-151 (MASSAGE THERAPY); 05-537-204 (FITTING & DISPENSING HEARING INSTR); 05-537-177 (OPTICIANS); 05-537-178 (MEDICAL LAB PRACT); 05-537-119 (MIDWIFERY); 05-537-176 (PROF COUNSELORS; LCDC; MARRIAGE/FAMILY THERAPIST); 05-537-349 (MEDICAL PHYSICIST)	see remarks: 05-537-229; 05-537-156; 05-537-151; 05-537-204; 05-537-177; 05-537-178; 05-537-119; 05-537-176; 05-537-349
1.1	4560			LICENSING FILES (DISAPPROVED, DELETED, VOIDED)	AC	3	AC+3			AC=AFTER CLOSED. PORTIONS OF EACH FILE ARE CONFIDENTIAL. 05-537-155 (SPEECH-AUD); 05-537-152 (ATHLETIC TRNR); 05-537-153 (DIETITIANS); 05-537-150 (RESPIRATORY TECH); 05-537-060 (PROF COUNS); 05-537-206 (MARRIAGE & FAM THERAP.)	see remarks: 05-537-155; 05-537-152; 05-537-153; 05-537-150; 05-537-060; 05-537-206
1.1	4562			WRITTEN EXAMINATIONS	6 MO		6 MO				
1.1	4563			PRACTICAL EXAMINATIONS (PASS)	6 MO		6 MO			VIDEOTAPES AND AUDIOTAPES	

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**APPROVED 11/2/2006**

State of Texas  
Records Retention Schedule

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1.1	4567	PRACTICAL EXAMINATIONS (FAIL)	AC	2	AC+2	VIDEOTAPES AND AUDIOTAPES; AC=FAIL DATE	
1.1	5101	DISCIPLINARY AND AGREED ORDERS	AV		AV		
1.1	5102	CONTINUING EDUCATION (PROVIDER AND PROGRAM DOCUMENTATION)	AC	4	AC+4	AC=APPROVAL/DISAPPROVAL	05-537-059 (PROF COUNS)
1.1	5107	EXAMINATION FORMS (MASTER COPIES)	10		10		
1.1	5114	CONSUMER COMPLAINT AND ENFORCEMENT FILES (OPEN)	AC		AC	AC=CASE RESOLUTION; AFTER AC RECORDS FORM PART OF 566, 3386, OR 4208	
1.1	5121	EXAMINATION ADMINISTRATION FILES	AC	2	AC+2	AC=EXAMINATION DATE; PORTIONS OF EACH FILE MAY BE CONFIDENTIAL	
1.1	5122	EXAMINATION ROSTERS	10		10	PORTIONS OF EACH FILE MAY BE CONFIDENTIAL.	
1.1	5132	EXAMINATION DEVELOPMENT FILES	7		7		
1.1	6168	CONSUMER COMPLAINT AND ENFORCEMENT FILES (CLOSED-NO ACTION/EXPIRED LICENSE-AWAITING OAG/OIG DETERMINATION AND/OR PENDING REAPPLICATION AND/OR RENEWAL)	AV		AV		
1.1.069	465	ACTIVITY REPORTS- LICENSED CHEMICAL DEPENDENCY COUNSELOR MONTHLY REPORTS	1		1		
2.1.002	5262	AUTOMATED FILES - MASTER FILES	AC		AC	Vital record. BACKED UP DAILY TO TAPE; 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	

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3.1	6722	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.	

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