

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

Series Item # 5. Agency Item #

6. Records Series Title

7. RETENTION PERIOD

Agency Storage Total 8. Archival 9. Remarks

10. 106 No.

Series Item #	Agency Item #	6. Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.
641 - PROGRAM SERVICES SECTION (CMH&SA)								
1.1	60	ON-SITE VISITS (REPORTS, WORKPAPERS, & CORRESPONDENCE-PROGRAMATIC COMPLIANCE VISITS) & COMMUNITY CENTERS	AC+1	2	AC+3		AC=PUBLICATION OR RELEASE OF FINAL AUDIT FINDINGS.	05-537-506
1.1	1751	CLIENT DATA TREATMENT CLINIC DIRECTORY	US		US			
1.1	1815	CLIENT DATA REFERENCE AND INSTRUCTION MANUAL	US+3		US+3			
1.1	3629	STANDARD (ONGOING) TRAINING (FROM TCADA LEGACY AGENCY)	FE+1	2	FE+3			05-537-499
1.1	3631	SPECIAL TRAINING EVENTS	FE+1	2	FE+3		INCLUDES INSTITUTE; BEST PRACTICES; PREVENTION CONFERENCES; SIGN-INS; EVALUATIONS; PRE/POST TESTS.	05-537-503
1.1	3803	REPAYMENT AGREEMENTS (LEGAL AGREEMENTS WITH PROVIDERS UNABLE TO PAY OWED REFUNDS IN FULL)	AC+1		AC+1		AC=WHEN AGREEMENT PAID IN FULL. FILED WITH CONTRACTS.	
1.1	4258	NATIONAL PREVENTION NETWORK FILES	2		2		(PREVENTION)	
1.1	4259	PARTNERSHIP FOR A DRUG-FREE TEXAS FILES: INCLUDES PROGRAM DEVELOPMENT; AMENDMENTS AND BUDGET INFORMATION)	3		3		(PREVENTION)	
1.1	5086	PROJECT LOGBOOK (MHMR)	AC	3	AC+3			
1.1	5481	PEER REVIEW & QUALITY IMPROVEMENT PROJECT (PRQIP) FILES	FE+6MO		FE+6MO			
1.1	6476	REVIEW STATE GRANT OPPORTUNITIES	AV		AV			
1.1.007	6423	CORRESPONDENCE, ADMINISTRATIVE	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.	

RETENTION CODES (Field 7)

ARCHIVAL CODES (Field 8)

VITAL Record (Include in Field 9)

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1.1.008	6425	CORRESPONDENCE, GENERAL	1		1		INCLUDES SOME E-MAIL
1.1.010	4933	DIRECTIVES	US+1		US+1		(INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.)
1.1.013	6427	CALENDARS, APPOINTMENT AND ITINERARY RECORDS	CE+1		CE+1	R	INCLUDES OUTLOOK CALENDAR. 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	6429	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	AC+1		AC+1		AC=DATE REQUEST FULFILLED
1.1.021	6430	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2		AC+2		AC=DATE OF NOTIFICATION THAT RECORDS ARE EXEMPT.
1.1.024	6433	PLANS AND PLANNING RECORDS	AC+3		AC+3	R	AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING RECORDS.
1.1.038	1896	CUSTOMER SURVEYS	AC+3		AC+3		INCLUDES CLIENT DATA TRAINING SURVEYS. SEE ITEM NUMBER 1.1.067 FOR SUMMARY REPORTS COMPILED FROM CUSTOMER SURVEYS.
1.1.043	1897	TRAINING MATERIALS	US+1		US+1		INCLUDES DVDs & CDs. (Instruction materials developed by an agency for training entities or individuals it regulates or serves. Not internal training materials.)
1.1.057	6436	TRANSITORY INFORMATION	AC		AC		AC=PURPOSE OF RECORD HAS BEEN FULFILLED
1.1.063	2979	STAFF MEETING MINUTES	1		1		
1.1.067	4106	REPORTS - ADMINISTRATIVE (NON-FISCAL) (NON-CLINICAL; CONSULTANTS & COMMITTEES-NON-CLINICAL)	1	2	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.

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4. Records Series Item #		5. Agency Item #	6. Records Series Title		7. RETENTION PERIOD			8. Archival	9. Remarks	10. 106 No.
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641 - PROGRAM SERVICES SECTION (CMH&SA)										
1.1.067	6439	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.			
1.1.069	6440	REPORTS, ACTIVITY	1		1					
1.1.070	1862	RULE, POLICIES, AND PROCEDURES- FINAL	AC+3		AC+3	R	Vital Record. INCLUDES CLIENT DATA POLICIES & PROCEDURES MANUAL. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES, OR PROCEDURES.			
1.1.071	6442	RULES, POLICIES, AND PROCEDURES - WORKING FILES	AC+3		AC+3	R	Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.			
1.2.003	6444	FORMS HISTORY FILE	AC+1		AC+1		AC=DISCONTINUANCE OF USE OF FORM			
1.3.001	6446	STATE PUBLICATIONS	AC+2		AC+2		AC=UNTIL SUPERCEDED OR OBSOLETE. WEB PUBLICATIONS ARE MADE AVAILABLE ONLINE TO PUBLIC FOR AT LEAST TWO YEARS, THEN RETAINED TO MEET THEIR RECORDS SERIES' RETENTION PERIOD OR THE PERIOD FOR PUBLICATIONS, WHICH EVER IS LONGER. REQUIRED NUMBER OF COPIES PRINTED AT HHS PRINTING ARE SENT TO CLEARINGHOUSE. IF OUTSIDE PRINTER, PROGRAM MUST FORWARD REQUIRED NUMBER OF COPIES TO EXECUTIVE & STAFF OPERATIONS FOR SUBMISSION TO CLEARINGHOUSE.			
1.3.002	6447	PUBLICATION DEVELOPMENT FILES	AV		AV	R				
2.1	851	MASTER FILES (THE SOURCE DATABASE)	US		US		Vital Record. MODIFIED ON AS AN AS NEEDED BASIS. BACKED UP DAILY. DISASTER RECOVERY AT TSL-SRC.			
2.1	1931	CLIENT DATA DATASETS	AV		AV		Vital Record. CONTAINS INDIVIDUAL CLIENT ADMISSION, DISCHARGE, AND IDENTIFICATION INFORMATION			

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641 - PROGRAM SERVICES SECTION (CMH&SA)

3.1	6460	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.	
3.1.001	6448	APPLICATIONS FOR EMPLOYMENT - NOT HIRED	2		2		AccessHR ASSUMED THIS FUNCTIONALITY IN MAY 2005.	
3.1.006	6450	EMPLOYEE COUNSELING RECORDS	AC+3		AC+3		AC=TERMINATION OF COUNSELING	
3.1.014	6452	EMPLOYEE SELECTION RECORDS	2		2		Vital Record. MAY CONTAIN CONFIDENTIAL DATA. AccessHR PARTIALLY ASSUMED THIS FUNCTIONALITY IN MAY 2005.	
3.1.019	6454	PERFORMANCE APPRAISALS	2		2		AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005.	
3.1.020	6456	PERSONNEL CORRECTIVE ACTION DOCUMENTATION	AC+5		AC+5		AC=TERMINATION OF CORRECTIVE ACTION	
3.1.036	6422	APPRENTICESHIP / INTERNSHIP RECORDS	5		5			
3.3.020	6458	WORK SCHEDULES / ASSIGNMENTS	1		1			
3.3.023	6462	REIMBURSABLE ACTIVITIES, REQUESTS & AUTHORIZATIONS (TRAVEL, TUITION REIMBURSEMENT, WORKSHOPS)	FE+3		FE+3		TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL REQUESTS BEGINNING OCTOBER 2005.	
3.3.025	6464	JOB PROCEDURE RECORDS	US+3		US+3			
3.3.030	6466	TRAINING ADMINISTRATION RECORDS	US+2		US+2		(MATERIALS AND RECORDS FOR IN-HOUSE TRAINING OF AGENCY PERSONNEL OF POLICES AND PROCEDURES.)	

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3.4.006	6468	TIME CARDS AND TIME SHEETS	4		4		40 TAC815.106(j); BEGINNING OCT 2005, TIME SHEETS SENT TO RECORDS MANAGEMENT OFFICER FOR RETENTION.
3.4.007	6470	TIME OFF AND/OR SICK LEAVE REQUESTS	FE+3		FE+3		BEGINNING OCTOBER 2005, RECORDS KEPT IN AccessHR.
4.7	2361	CCP ELECTRONIC LOG ORIGINAL	FE+2		FE+2		Vital Record.
4.7	2362	CCP ELECTRONIC LOG BACKUP	FE+7		FE+7		Vital Record.
4.7	2363	IMD ELECTRONIC LOG ORIGINAL	FE+2		FE+2		Vital Record.
4.7	2364	IMD ELECTRONIC LOG BACKUP	FE+7		FE+7		Vital Record.
4.7	6485	ONE-TIME AGREEMENTS	FE+3		FE+3		DISTRIBUTION OF ADDITIONAL FUNDS
4.7.008	4505	FEDERAL GRANT APPLICATIONS (SUBSTANCE ABUSE PREVENTION AND TREATMENT BLOCK GRANT; RECOVERY COMMUNITY SUPPORT PROGRAM-RCSP; STATE INCENTIVE GRANT-SIG; STATE DATA INFRASTRUCTURE PROGRAM GRANT-SDI; STATE TREATMENT NEEDS ASSESSMENT PROGRAM GRANT-STNAP)	AC+3		AC+3		Vital Record. AC=SATISFACTION OF ALL UNIFORM ADMINSTRATIVE REQUIREMENTS FOR GRANTS. ELECTRONIC (CURRENT YEAR) & PAPER (ALL PREVIOUS YEARS)
5.1.001	2478	INTERAGENCY CONTRACTS & MEMORANDUM OF UNDERSTANDING/AGREEMENT	AC+4		AC+4		Vital Record. AC=EXPIRATION OR TERMINATION ACCORDING TO THE TERMS.
5.1.007	6473	REQUISITION FOR IN-AGENCY /INTER-AGENCY COPY/PRINTING SERVICE	AV		AV		
5.1.016	4124	TELEPHONE MESSAGE NOTIFICATIONS	1		1		INCLUDES E-MAILS, PHONE MESSAGE BOOKS AND SLIPS, ETC.
5.2.010	6479	EQUIPMENT MANUALS	LA		LA		

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5.2.011	6481	EQUIPMENT WARRANTIES	AC+1	AC+1	AC=DATE OF WARRANTY EXPIRATION
5.4.002	6483	EVACUATION PLANS	US	US	

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