

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

X RECERTIFICATION

___ REPLACEMENT PAGE

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4. Records

Series Item # 5. Agency Item #

7. RETENTION PERIOD

Agency Storage Total 8. Archival 9. Remarks

10. 106 No.

642 - COMMUNITY MENTAL HEALTH AND SUBSTANCE ABUSE CONTRACTOR SERVICES SECTION (MH&SA)

Series Item #	Agency Item #	Records Series Title	Agency	Storage	Total	8. Archival	9. Remarks	10. 106 No.
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
1.1.007	6424	CORRESPONDENCE, ADMINISTRATIVE (LIMITED TO FORMULATION, PLANNING, IMPLEMENTATION, INTERPRETATION, MODIFICATION, OR REDEFINITION OF THE PROGRAMS, SERVICES OR PROJECTS & THE ADMINISTRATIVE REGULATIONS, POLICIES AND PROCEDURES THAT GOVERN THEM.)	4		4	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	6426	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2		2		INCLUDES SOME E-MAIL	
1.1.010	6477	DIRECTIVES (DOCUMENTATION THAT OFFICIALLY INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.)	US+1		US+1		(INITIATES, RESCINDS OR AMENDS GENERAL OFFICE PROCEDURES.)	
1.1.013	6428	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	6431	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	AC+1		AC+1		AC=DATE REQUEST FULFILLED	
1.1.021	6432	PUBLIC INFORMATION REQUESTS - EXEMPTED (DENIED)	AC+2		AC+2		AC=DATE OF NOTIFICATION THAT RECORDS ARE EXEMPT	
1.1.024	6434	PLANS AND PLANNING RECORDS	AC+3		AC+3	R	AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS.	
1.1.043	6435	TRAINING MATERIALS	US+1		US+1		(Instruction materials developed by an agency for training entities or individuals it regulates or serves. Not internal training materials.)	

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ARCHIVAL CODES (Field 8)

VITAL Record (Include in Field 9)

A - Transfer to State Archivist
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10. 106 No.

4. Records Series Item #		5. Agency Item #	7. RETENTION PERIOD			8. Archival	9. Remarks	10. 106 No.
Series Item #	5. Agency Item #	6. Records Series Title	Agency	Storage	Total			
642 - COMMUNITY MENTAL HEALTH AND SUBSTANCE ABUSE CONTRACTOR SERVICES SECTION (MH&SA)								
1.1.057	6437	TRANSITORY INFORMATION	AC		AC		AC=PURPOSE OF RECORD HAS BEEN FULFILLED. INCLUDES TELEPHONE MESSAGE NOTIFICATIONS & SOME E-MAIL CONTAINING ROUTINE INFORMATION USED FOR COMMUNICATION, BUT NOT FOR THE DOCUMENTATION OF A SPECIFIC AGENCY TRANSACTION.	
1.1.063	6438	STAFF MEETING AND MINUTES	1		1			
1.1.069	6441	REPORTS, ACTIVITY	1		1			
1.1.070	3869	RULES, POLICIES, AND PROCEDURES - FINAL	AC+3		AC+3	R	Vital Record. AC=COMPLETION OR TERMINATION OF PROGRAM, RULES, POLICIES OR PROCEDURES.	
1.1.071	6443	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	2383	STORED RECORDS REQUESTS (REQUESTS/RECEIPTS FOR RECORDS STORED AT STATE RECORDS CENTER)	AV		AV			
1.2.003	6445	FORMS HISTORY FILE	AC+1		AC+1		AC=DISCONTINANCE OF USE OF FORM	
1.2.006	2416	RECORDS TRANSMITTAL FORMS (RMD 101)	AC+2		AC+2		AC=DATE OF AUTHORIZATION FOR DESTRUCTION, PERMANENT TRANSFER FROM STORAGE, OR TRANSFER TO STATE ARCHIVES BY THE AGENCY RECORDS ADMINISTRATOR.	
2.1	6478	MASTER FILES (THE SOURCE DATABASE)	US		US		MODIFIED ON AS AN AS NEEDED BASIS. BACKED UP DAILY.	
2.2.016	6952	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3		LA+3		Vital Record.	

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3.1	6461	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 CAPPs TO DOCUMENT SECOND AND THIRD LEVEL REMINDERS, BUT A PAPER COPY IS STILL FORWARDED TO HHSC HR FOR EMPLOYEE'S MASTER PERSONNEL FILE.			
3.1.006	6451	EMPLOYEE COUNSELING RECORDS		AC+3		AC+3			AC=TERMINATION OF COUNSELING. KEEP THIS RECORD SEPARATE FROM PERFORMANCE APPRAISAL.			
3.1.014	6453	EMPLOYMENT SELECTION RECORDS (INCLUDES APPLICATIONS FOR EMPLOYMENT-NOT HIRED)		2		2			Vital Record maintainted by CAPPs only. Send all records to CAPPs. CAPPs HAS FULLY ASSUMED THIS FUNCTIONALITY AS OF SEPT 2006.			
3.1.019	6455	PERFORMANCE APPRAISALS		AC+5		AC+5			MAY CONTAIN SOME CONFIDENTIAL INFORMATION SUCH AS MEDICAL INFORMATION, SOCIAL SECURITY NUMBER, OR OTHER DATA PROTECTED BY THE PRIVACY DOCTRINE. AC=TERMINATION OF EMPLOYEE. CAPPs ASSUMED THIS FUNCTIONALITY IN AUGUST 2005. HHS-HR MUST RECEIVE ALL PERFORMANCE APPRAISALS THAT ARE NOT ALREADY IN CAPPs. HHS-OGC REQUESTED LONGER RETENTION PERIOD.			
3.3.020	6459	WORK SCHEDULES / ASSIGNMENTS		1		1						
3.3.023	6463	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	6465	JOB PROCEDURE RECORDS		US+3		US+3						

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3.3.030	6467	TRAINING ADMINSTRATION RECORDS	US+2		US+2	(MATERIALS AND RECORDS FOR IN-HOUSE TRAINING OF AGENCY PERSONNEL OF POLICES AND PROCEDURES.) TRAINING MATERIAL NOT FOUND IN TRAIN OR CAPPs. (DOES NOT INCLUDE HAZARDOUS MATERIAL TRAINING RECORDS).
3.4.007	6471	TIME OFF AND/OR SICK LEAVE REQUESTS	FE+5		FE+5	BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPs.
4.5	3641	JBS (RATE VALIDATION) REPORTS	FE+3		FE+3	INCLUDES FINAL FULL REPORT, SITE VISIT REPORTS/WORKPAPERS, PHASE I & II SURVEYS & ALL OTHER SCHEDULES/WORKPAPERS.
4.7	3825	FINANCIAL STATEMENT ANALYSIS	FE+1	2	FE+3	(FY SPREADSHEET FOR EACH PROVIDER; RESULTS OF THE REVIEW; COPY OF FINANCIAL STATEMENTS)
4.7	3914	PROVIDER PROFILES	AC+1	2	AC+3	AC=CLOSEOUT OF CONTRACT. 05-537-507
4.7	6486	ONE-TIME AGREEMENTS	FE+3		FE+3	DISTRIBUTION OF ADDITIONAL FUNDS
4.7.008	6472	FEDERAL GRANT RECORDS	AC+3		AC+3	Vital Record. AC=SATISFACTION OF ALL UNIFORM ADMINISTRATIVE REQUIREMENTS FOR GRANTS AND COOPERATIVE AGREEMENTS TO STATE AND LOCAL GOVERNMENTS (THE COMMON RULE).
5.1.001	1939	CONTRACTS (INCLUDES RFPs - FUNDED CONTRACTS, APPLICATION REVIEW) (Substance Abuse)	AC	7	AC+7	Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS. (120)05-537-074; (500)10-537-555; (599)05-537-307; (550)10-537-554; (642)05-537-498; 05-537-383; 05-537-483

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642 - COMMUNITY MENTAL HEALTH AND SUBSTANCE ABUSE CONTRACTOR SERVICES SECTION (MH&SA)								
5.1.001	2320	CONTRACTS (Mental Health)	AC	7	AC+7		Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS. (Includes COMMUNITY SERVICES PERFORMANCES and MENTAL HEALTH CONTRACTS)	(120)05-537-074; (500)10-537-555; (599)05-537-307; (550)10-537-554; (642)05-537-498; 05-537-383; 05-537-483
5.1.001	4211	FEDERAL GRANT CONTRACT RECORDS (TRACKING SHEETS, CONTRACT, AMENDMENTS, REVIEW SUMMARIES, TRANSMITTAL LETTERS, CORRECTIVE ACTION PLANS, CORRESPONDENCE, AWARD NOTICES, REPORTS, MEASURES, CLOSE-OUT INFO, SANCTIONS, REPAYMENT AGREEMENTS, APPLICATIONS, RENEWALS, RFPs, COST ALLOCATION PLANS, TECHNICAL ASSISTANCE, TRAVEL POLICIES, ARTICLES OF INCORPORATION, & BOARD MINUTES)	AC	7	AC+7		Vital Record. AC=EXPIRATION OR TERMINATION OF THE CONTRACT ACCORDING TO ITS TERMS.	(120)05-537-074; (500)10-537-555; (599)05-537-307; (550)10-537-554; (642)05-537-498; 05-537-383; 05-537-483
5.1.007	6474	REQUISITION FOR IN-AGENCY /INTER-AGENCY COPY/PRINTING SERVICE	AV		AV			
5.1.015	4044	COURIER AUTHORIZATION & MAILING AUTHORIZATION LOG (TRACKING RECORDS)	1		1			
5.2.010	6480	EQUIPMENT MANUALS	LA		LA			
5.2.011	6482	EQUIPMENT WARRANTIES	AC+1		AC+1		AC=EXPIRATION OF WARRANTY	
5.4.002	6484	EVACUATION PLANS	US		US			

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