

State of Texas
Records Retention Schedule

Recertified: 5/23/2012 **Updated (with or without**
Amendment Approved: 2/19/2014 **amendment): 10/3/2017**

___ ORIGINAL SUBMISSION
X RECERTIFICATION
___ REPLACEMENT PAGE
___ ADDENDUM PAGE

Automated Facsimile of SLR-105

2. Agency Code: 537 3. Agency: Texas Department of State Health Services

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

646 - DISASTER BEHAVIORAL HEALTH SERVICES BRANCH

1.1.007	6997	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. POLICIES AND PROCEDURES. ONLY ADMINISTRATIVE CORRESPONDENCE OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.
1.1.008	6998	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2	2		INCLUDES SOME E-MAIL.
1.1.011	6999	EXECUTIVE ORDERS - INITIATES, RESCINDS, OR AMENDS A REGULATION, POLICY OR PROCEDURE THAT GOVERNS PROGRAMS, SERVICES, OR PROJECTS OF AN AGENCY.	US+3	US+3	A	Vital Record.
1.1.013	7000	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.
1.1.024	7001	PLANS AND PLANNING RECORDS	AC+3	AC+3		AC=DECISION MADE TO IMPLEMENT OR NOT TO IMPLEMENT RESULT OF PLANNING PROCESS
1.1.038	7002	CUSTOMER SURVEYS	AC	AC		AC=FINAL DISPOSITION OF SUMMARY REPORT. (SURVEYS CANNOT BE DESTROYED UNTIL SUMMARY REPORT HAS BEEN SENT TO STATE ARCHIVIST AT THE END OF THE RETENTION PERIOD.) SEE 1.1.067 FOR SUMMARY REPORTS COMPILED FROM CUSTOMER SURVEYS.

RETENTION CODES (Field 7)

AC - After Closed, Terminated, Completed, Expired, Settled	CE - Calendar Year End	MO - Months
AV - As Long As Administratively Valuable	FE - Fiscal Year End	DA - Days
US - Until Superseded	PM - Permanent	LA - Life of Asset

ARCHIVAL CODES (Field 8)

VITAL Record (Include in Field 9)

A - Transfer to State Archivist
R - Review by State Archivist
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1.1.043	7003	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.)
1.1.057	7004	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	7005	STAFF MEETING MINUTES AND NOTES	1	1			
1.1.065	7006	REPORTS AND STUDIES (NON-FISCAL) - RAW DATA	AV	AV			(RAW DATA DOES NOT INCLUDE CUSTOMER SURVEYS. SEE 1.1.038)
1.1.067	7007	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	7008	REPORTS - ACTIVITY	1	1			REPORTS COMPILED BY STAFF ON A DAILY OR PERIODIC BASIS PERTAINING TO WORKLOAD MONITORING, TASK COMPLETION TIMES, NUMBER OF PUBLIC CONTACTS, ETC.
1.2.003	7009	FORMS HISTORY FILE	AC+1	AC+1			AC=DISCONTINUANCE OF USE OF FORM

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1.3.001	7010	STATE PUBLICATIONS	AC+2	AC+2		
AC=UNTIL SUPERSEDED OR OBSOLETE. WEB PUBLICATIONS ARE MADE AVAILABLE ONLINE TO PUBLIC FOR AT LEAST SIX MONTHS. 13 TAC RULE 3.4(B). THEN RETAINED TO MEET THEIR RECORDS SERIES' RETENTION PERIOD OR THE PERIOD FOR PUBLICATIONS, WHICHEVER IS LONGER. REQUIRED NUMBER OF COPIES PRINTED AT HHS PRINTING ARE SENT TO CLEARINGHOUSE. IF OUTSIDE PRINTER, PROGRAM MUST SEND REQUIRED NUMBER OF COPIES TO HHS PRINTING FOR SUBMISSION TO CLEARINGHOUSE.						
1.3.002	7011	PUBLICATION DEVELOPMENT FILES	AV	AV	R	INCLUDES COMMENTS FROM STAKEHOLDERS IN THE CREATION OF A PUBLICATION.
2.2.016	7012	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3	LA+3		Vital Record.
3.1	7013	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	7014	EMPLOYEE COUNSELING NOTES	AC+3	AC+3		AC=TERMINATION OF COUNSELING. KEEP THIS RECORD SEPARATE FROM PERFORMANCE APPRAISAL.
3.1.014	7015	EMPLOYMENT SELECTION RECORDS (INCLUDES APPLICATIONS FOR EMPLOYMENT-NOT HIRED)	2	2		Vital Record maintained by CAPPS only. Send all records to CAPPS. CAPPS HAS FULLY ASSUMED THIS FUNCTIONALITY AS OF SEPT 2006.

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3.3.023	7016	REIMBURSABLE ACTIVITIES, REQUESTS AND AUTHORIZATIONS TO ENGAGE IN	FE+3	FE+3		INCLUDES TRAVEL, EDUCATIONAL LEAVE, COLLEGE CLASSES OR WORKSHOPS. TRAVEL OFFICE ASSUMED RETENTION OF TRAVEL REQUESTS BEGINNING OCTOBER 2005.
3.3.025	7017	JOB PROCEDURE RECORDS	US+3	US+3		
3.3.030	7018	TRAINING ADMINISTRATION RECORDS	US+2	US+2		(MATERIALS AND RECORDS FOR INHOUSE TRAINING OF AGENCY PERSONNEL OF POLICES AND PROCEDURES.) TRAINING MATERIAL NOT FOUND IN TRAIN OR CAPPs. (DOES NOT INCLUDE HAZARDOUS MATERIAL TRAINING RECORDS). Employee Certificates associated with this training must be forwarded to HHS-Human Resources for Employee Personnel File.
4.2.002	7019	ACCOUNTS RECEIVABLE FILES	FE+3	FE+3		INCLUDES STUDENT REGISTRATION FEES; CISM; INVOICES.
4.7.008	7020	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	7021	CONTRACTS	AC+7	AC+7		Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS
5.1.007	7022	REQUISITIONS FOR IN-AGENCY/INTER-AGENCY COPY/PRINTING SERVICE	AV	AV		

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