

State of Texas
Records Retention Schedule

Recertified: 5/23/2012 **Updated (with or without**
Amendment Approved: 2/19/2014 **amendment): 10/4/2017**

___ 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			

608 - PATIENT QUALITY CARE UNIT

148	NARCOTIC TREATMENT PROGRAM APPLICATION (FDA 2632) & RELATED MATERIAL	AC		AC			AC=PAPER VERSION KEPT 1 YEAR AND THEN SCANNED. AFTER SCANNING THE PAPER VERSION IS DESTROYED; ELECTRONIC IS RETAINED UNTIL 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)	4		4			INCLUDES HOSPITAL LICENSING DEFICIENCIES.
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 YEARS.
1000	NARCOTIC TREATMENT PROGRAM OUT OF BUSINESS (OOB) FILES	AC		AC			AC=PAPER VERSION KEPT 1 YEAR AND THEN SCANNED. AFTER SCANNING THE PAPER VERSION IS DESTROYED; ELECTRONIC IS RETAINED UNTIL 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	AC		AC			AC=PAPER VERSION KEPT 1 YEAR AND THEN SCANNED. AFTER SCANNING THE PAPER VERSION IS DESTROYED; ELECTRONIC IS RETAINED UNTIL NEEDED TO CONDUCT REGULATORY ACTIVITIES OR REVIEW.

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608 - PATIENT QUALITY CARE UNIT							
2213	NARCOTIC TREATMENT PROGRAM REGULATORY EXCEPTIONS	AC		AC		AC=PAPER VERSION KEPT 1 YEAR AND THEN SCANNED. AFTER SCANNING THE PAPER VERSION IS DESTROYED; ELECTRONIC IS RETAINED UNTIL NEEDED TO CONDUCT REGULATORY ACTIVITIES OR REVIEW.	
2214	NARCOTIC TREATMENT PROGRAM MEDICAL RESPONSIBILITY (FDA 2633)	AC		AC		AC=PAPER VERSION KEPT 1 YEAR AND THEN SCANNED. AFTER SCANNING THE PAPER VERSION IS DESTROYED; ELECTRONIC IS RETAINED UNTIL 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	AC		AC		AC=PAPER VERSION KEPT 1 YEAR AND THEN SCANNED. AFTER SCANNING THE PAPER VERSION IS DESTROYED; ELECTRONIC IS RETAINED UNTIL NEEDED TO CONDUCT REGULATORY ACTIVITIES OR REVIEW.	
2218	NARCOTIC TREATMENT PROGRAM SPECIAL INVESTIGATION RECORDS	AC		AC		AC=PAPER VERSION KEPT 1 YEAR AND THEN SCANNED. AFTER SCANNING THE PAPER VERSION IS DESTROYED; ELECTRONIC IS RETAINED UNTIL 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.	

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	3461	MEDICARE SURVEY DOCUMENTS	AC	AC		AC=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	AC	AC		AC=PAPER VERSION KEPT 1 YEAR AND THEN SCANNED. AFTER SCANNING THE PAPER VERSION IS DESTROYED; ELECTRONIC IS RETAINED UNTIL NEEDED TO CONDUCT REGULATORY ACTIVITIES OR REVIEW.	
	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	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.)	

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1.1	127	FACILITY LICENSURE FILES	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	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	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)	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
1.1	499	COMPLAINT INVESTIGATIONS FILES WITH A FINDING (CASE SUMMARY, ACTIVITY LOG, MEMORANDUM TO CLOSE, ORIGINAL COMPLAINT, CORRESPONDENCE, ADDITIONAL DOCUMENTATION)	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	AC+5		AC+5		AC=INVESTIGATION COMPLETED. CAUTION: LEGAL SECTION WILL REVIEW CASE AT END OF RETENTION PERIOD TO ASSESS NEED FOR FURTHER RETENTION	

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1.1.007	704	NARCOTIC TREATMENT PROGRAM WARNING LETTERS	AC+3	AC+3	R	Vital Record. AC=PAPER IS KEPT 1 YEAR THEN SCANNED AND 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 (LIMITED TO FORMULATION, PLANNING, IMPLEMENTATION, INTERPRETATION, MODIFICATION, OR REDEFINITION OF THE PROGRAMS, SERVICES OR PROJECTS & THE ADMINISTRATIVE REGULATIONS, POLICIES AND PROCEDURES THAT GOVERN THEM.)	AC+3	AC+3	R	Vital Record. AC=PAPER IS KEPT ONE YEAR THEN SCANNED AND 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	AC+1	R	AC=PAPER IS RETAINED FOR ONE YEAR, THEN SCANNED AND DESTROYED; ELECTRONIC MAINTAINED 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. CAUTION: RETENTION PERIOD MAY BE EXTENDED AS NEEDED FOR REGULATORY ACTIVITIES OR REVIEW. COURT CASES INVOLVING NARCOTIC TREATMENT PROGRAMS CROSS-REFERENCE EARLIER CASES. THESE RECORDS MUST BE RETAINED 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. AC=PURPOSE OF RECORD HAS BEEN FULFILLED.
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	AV	AV		PAPER IS RETAINED FOR TWO YEARS, THEN SCANNED AND DESTROYED; ELECTRONIC IS KEPT. 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.
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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