

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			

606 - PROFESSIONAL LICENSING & CERTIFICATION UNIT

	5855	INSPECTION REPORTS	AC+5		AC+5		INCLUDES INSPECTIONS OF MASSAGE SCHOOLS, MASSAGE ESTABLISHMENTS, ORTHOTIC AND PROSTHETIC FACILITIES AND UNACCREDITED LIMITED RADIOLOGICAL TECHNOLOGIST PROGRAMS. AC = DATE OF INSPECTION. IF INSPECTION RESULTS IN AN ENFORCEMENT CASE THEN THE INSPECTION REPORT MUST BE MOVED TO THE ENFORCEMENT CASE FILE.
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.

RETENTION CODES (Field 7)

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ARCHIVAL CODES (Field 8)

VITAL Record (Include in Field 9)

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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; VERIFICATION FORMS; EXAMS AND TRAINING EVALUATIONS)	
1.1	428	CLINICAL TRAINING INSTITUTION FILES (LCDC)	AC	20	AC+20		Vital record. AC=APPROVAL DATE.	05-537-502
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	19	AC+20		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	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			

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1.1	4204	INSTRUCTOR/CURRICULUM/SCHOOL APPLICATIONS AND DOCUMENTATION	AC+1	19	AC+20	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		
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.	

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1.1	4558	LICENSING FILES (APPROVED)	AC	20	AC+20		AC=DATE LICENSE ISSUED. PORTIONS OF EACH FILE ARE CONFIDENTIAL. INCLUDES OPTICIANS; RESPIRATORY; MEDICAL RADIOLOGICALTECHNICIANS; MASSAGE THERAPY; FITTING & DISPENSING HEARING INSTRUMENTS; SPEECH/AUDIOLOGY; DIETICIANS; OPTICIANS; MEDICAL LAB PRACTITIONER; MIDWIFERY; PROFESSIONAL COUNSELORS; LICENSED CHEMICAL DEPENDENCY COUNSELOR (LCDC); MARRIAGE/FAMILY THERAPIST; MEDICAL PHYSICIST; AND OFFENDER EDUCATION INSTRUCTOR LICENSES (OEI)	05-537-119
1.1	4560	LICENSING FILES (DISAPPROVED, DELETED, VOIDED)	AC	3	AC+3		AC=AFTER CLOSED. PORTIONS OF EACH FILE ARE CONFIDENTIAL. INCLUDES SPEECH-AUDIOLOGY; ATHLETIC TRAINER; DIETITIANS; RESPIRATORY TECH; PROFESSIONAL COUNSELOR; AND MARRIAGE & FAMILY THERAPIST.	
1.1	4562	WRITTEN EXAMINATIONS	6 MO		6 MO			
1.1	4563	PRACTICAL EXAMINATIONS (PASS)	6 MO		6 MO		VIDEOTAPES AND AUDIOTAPES	
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			

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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			
1.1.060	6061	MEETINGS, AUDIO OR VIDEOTAPES OF OPEN	AC+90 DA		AC+90 CA		AC=OFFICIAL APPROVAL OF WRITTEN MINUTES OF MEETING.	
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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