

State of Texas
Records Retention Schedule

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

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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			

641 - COMMUNITY MENTAL HEALTH AND SUBSTANCE ABUSE PROGRAM SERVICES SECTION (MH&SA)

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	FE+3		FE+3			
1.1	3631	SPECIAL TRAINING EVENTS	FE+3		FE+3		INCLUDES INSTITUTE; BEST PRACTICES; PREVENTION CONFERENCES; SIGN-INS; EVALUATIONS; PRE/POST TESTS.	
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		AC=DATE WHEN LAST PROJECT COMPLETED IN LOG BOOK.	
1.1	5481	PEER REVIEW & QUALITY IMPROVEMENT PROJECT (PRQIP) FILES	FE+6MO		FE+6MO			
1.1	6476	REVIEW STATE GRANT OPPORTUNITIES	AV		AV			

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1.1	6983	STATEWIDE SURVEY OF TEXAS SCHOOLS	AV	AV	A	USED TO TRACK TRENDS IN SUBSTANCE ABUSE. ARCHIVAL REQUIREMENT IS FULFILLED BY SENDING REQUIRED COPIES TO THE STATE PUBLICATIONS DEPOSITORY PROGRAM, TEXAS STATE LIBRARY AND ARCHIVES COMMISSION.	
1.1	7235	COMPLAINTS RECEIVED ABOUT CONTRACTORS AND PROVIDERS (MEDICAID & INDIGENT)	AC+3	4	AC+7	AC=ANSWER SENT TO PERSON MAKING COMPLAINT; COMPLAINT DISMISSED OR CLOSED.	11-537-556
1.1.007	6423	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	6425	GENERAL CORRESPONDENCE (LIMITED TO DOCUMENTING THE ROUTINE OPERATIONS OF THE POLICIES, PROGRAMS, SERVICES OR PROJECTS.)	2		2	INCLUDES SOME E-MAIL	
1.1.010	4933	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	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	

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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	AC			INCLUDES CLIENT DATA TRAINING SURVEYS. 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.
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. 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	2979	STAFF MEETING MINUTES	1	1			
1.1.065	7242	REPORTS AND STUDIES - RAW DATA	AV	AV			
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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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. (7/12/2011-Local District-Texas School Survey previously stored in Iron Mountain transferred to State Archivist)
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 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	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.

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2.1	1931	CLIENT DATA DATASETS	AV	AV			Vital Record. CONTAINS INDIVIDUAL CLIENT ADMISSION, DISCHARGE, AND IDENTIFICATION INFORMATION
2.2.016	6951	SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS	LA+3	LA+3			Vital Record.
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 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	6450	EMPLOYEE COUNSELING RECORDS	AC+3	AC+3			AC=TERMINATION OF COUNSELING. KEEP THIS RECORD SEPARATE FROM PERFORMANCE APPRAISAL.
3.1.014	6452	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.
3.1.019	6454	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.

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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 INHOUSE 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	6470	TIME OFF AND/OR SICK LEAVE REQUESTS		FE+5	FE+5		BEGINNING OCTOBER 2005, RECORDS KEPT IN CAPPs.	
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	

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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+7	AC+7	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	
5.2.010	6479	EQUIPMENT MANUALS	LA	LA	
5.2.011	6481	EQUIPMENT WARRANTIES	AC+1	AC+1	AC=EXPIRATION OF WARRANTY
5.4.002	6483	EVACUATION PLANS	US	US	

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