

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			

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

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.	

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VITAL Record (Include in Field 9)

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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.)
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.

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2.1	6478	MASTER FILES (THE SOURCE DATABASE)	US	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	LA+3	Vital Record.
3.1	6461	POSITIVE PERFORMANCE RECORDS (MAINTAINED BY SUPERVISORS)	AC	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+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	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	6455	PERFORMANCE APPRAISALS	AC+5	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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3.3.020	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			
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).	

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5.1.001	1939	CONTRACTS (INCLUDES RFPs - FUNDED CONTRACTS, APPLICATION REVIEW) (Substance Abuse)	AC+1	6	AC+7		Vital Record. AC=EXPIRATION OR TERMINATION OF THE INSTRUMENT ACCORDING TO ITS TERMS.	05-537-498
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)	05-537-383
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+1	6	AC+7		Vital Record. AC=SATISFACTION OF ALL UNIFORM ADMINSTRATIVE REQUIREMENTS FOR GRANTS (CLOSE-OUT). FOR REPAYMENT AGREEMENTS OVER 24 MONTHS IN DURATION OR TURNED OVER TO ATTORNEY GENERAL COLLECTIONS. RETAIN CONTRACT IN AGENCY AFTER PAID IN FULL.	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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