### MENTAL HEALTH AND SUBSTANCE ABUSE SERVICES DIVISION

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<th>Item #</th>
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**COMMENTS:**

- COMPLAINTS RECEIVED BY THE PUBLIC AND RECORDS PERTAINING TO THE RESOLUTION OF THE COMPLAINT. **AC+FINAL DISPOSITION OF THE COMPLAINT.**
- **R** Vital Record. ONLY ADMINISTRATIVE CORRESPONDENCE OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.
- **R** ONLY CALENDARS, APPOINTMENT, AND ITINERARY RECORDS OF EXECUTIVE STAFF, BOARD OR COMMISSION MEMBERS, DIVISION DIRECTORS AND SECTION/UNIT/BRANCH HEADS REQUIRE ARCHIVAL REVIEW.
- **R** AC=DATE REQUEST FULFILLED
- **R** AC=DATE OF NOTIFICATION THAT RECORDS ARE EXEMPT

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**RETENTION CODES (Field 7):**

- **AC** - After Closed, Terminated, Completed, Expired, Settled
- **AV** - As Long As Administratively Valuable
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- **LA** - Life of Asset
- **DA** - Days
- **MO** - Months

**ARCHIVAL CODES (Field 8):**

- **R** - Review by State Archivist
- **A** - Transfer to State Archivist
- **E** - Exempt from sending

<table>
<thead>
<tr>
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<td><strong>R</strong> - Review by StateArchivist</td>
</tr>
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<td><strong>E</strong> - Exempt from sending</td>
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### State of Texas
### Records Retention Schedule

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

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.

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#### 625 - MENTAL HEALTH AND SUBSTANCE ABUSE SERVICES DIVISION

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<td>1.1.057</td>
<td>TRANSITORY INFORMATION</td>
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**Archival Codes (Field 8):**
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**Vital Record (Include in Field 9):**
- AV - As Long As Administratively Valuable
## Records Retention Schedule

#### State of Texas

#### MENTAL HEALTH AND SUBSTANCE ABUSE SERVICES DIVISION

| 1.1.068 | 1706 | REPORTS ON PERFORMANCE MEASURES | AC+1 | 5 | AC+6 | AC=SEPT 1 OF ODD-NUMBERED CALENDAR YEARS. |
| 2.2.016 | 5999 | SOFTWARE REGISTRATIONS, WARRANTIES, AND LICENSE AGREEMENTS | LA+3 | LA+3 | Vital Record. |
| 3.1 | 6724 | 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. BEGINNING 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. |
| 3.1.014 | 1685 | EMPLOYMENT SELECTION RECORDS / NOTES (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 | 1038 | PERFORMANCE APPRAISALS/JOURNALS | 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. |
| 3.1.023 | 1067 | POSITION/JOB DESCRIPTIONS | AC+4 | AC+4 | Vital Record. AC=UNTIL SUPERSEDED OR JOB ELIMINATED. AccessHR ASSUMED THIS FUNCTIONALITY IN AUGUST 2005. |

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### Vital Record (Include in Field 9)

- **V**: Vital Record
### State of Texas Records Retention Schedule

**Agency:** Texas Department of State Health Services

**Retention Period:** 10/4/2017

**Archival:** Recertified: 5/23/2012

**Updated (with or without amendment):** 10/4/2017

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<td><strong>3.4.004</strong> OVERTIME AUTHORIZATIONS</td>
<td>1036</td>
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**RECORDS RETENTION SCHEDULE**

**RECORDS SERIES ITEM #**

**625 - MENTAL HEALTH AND SUBSTANCE ABUSE SERVICES DIVISION**

**RECORDS SERIES TITLE**

**AGENCY**

**AGENCY CODE:** 537

**AMENDMENT APPROVED:** 2/19/2014

**RECERTIFIED:** 5/23/2012

**UPDATED (WITH OR WITHOUT AMENDMENT):** 10/4/2017

**RECORDS SERIES ITEM #**

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