



July 11, 2016

Mr. Keith Romel
Manager, Support Services Coordination
Department of Aging and Disability Services
701 W. 51st ST
Austin, TX 78751

State and Local
Records Management

Re: Agency records retention schedule amendment approved for use

Dear Mr. Romel:

P.O. Box 12927
Austin, Texas
78711.2927

Amendment 6 to your agency's 3rd recertification of your records retention schedule is approved for use as of Wednesday, July 6, 2016. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

4400 Shoal Creek Blvd.
Austin, Texas
78756

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

www.tsl.texas.gov

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Commission Chairman
Michael C. Waters

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Megan Carey, at 512-463-5494 or mcarey@tsl.texas.gov.

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Sincerely,

A handwritten signature in black ink, appearing to read "C Kelso".

Craig Kelso
Director and State Records Administrator

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

cc: State Auditor, State Archivist, Jon Weizenbaum

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.539/539



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

Form SLR 105 or SLR 122 must accompany all submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 539
Department of Aging & Disability Services

(Check one)

- Initial Certification - Form SLR 105
Recertification - Form SLR 105
Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
Records Management Officer

Signature [Handwritten Signature]

Name (Print or type) Keith D. Romel

Date 5/11/16

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
(For the exclusive use of the State Auditor's Office)

Signature
Name (Print or type)
Date

Not Required at This Time

Texas State Library and Archives Commission
(For the exclusive use of the State Library and Archives Commission)

Signature [Handwritten Signature]
Name (Print or type) REBECCA CANNON
Date 7-6-16

Cert/Recert No. 3 Amendment No. 6

CAUTION

A state record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

A state record whose retention period expires during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record may not be destroyed until the completion of the action and the resolution of all issues that arise from it.





STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 1

2. Agency Code 539		3. Agency Name Department of Aging & Disability Services								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	
4.7.005	412	Provider Claims Audit/Recovery Files	AC+1	9	AC+10	AC=after corrections. Title XIX of the Federal Social Security Act established regulations for the Medicaid program, which provides funding for medical and health-related services for persons with limited income.		8	412	C
	1076	Foster Grandparent Volunteer Station	AC+3		AC+3	AC=after termination of program activities with host agency and grant cycle closure. Reference for Partnering Agencies Hosting Foster Grandparent Program				N

Retention Codes (Field 7)			Archival Codes (Field 8)		Amendment Codes (Field 12)	
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	A – Transfer to State Archives	R – Review by State Archivist	N – New	C – Changed
AV – Administrative Value	FE – Fiscal Year End	PM – Permanent			D – Deleted	
	LA – Life of Asset	US – Until Superseded				



May 6, 2016

Mr. Keith Romel
Manager, Support Services Coordination
Department of Aging and Disability Services
701 W. 51st ST
Austin, TX 78751

State and Local
Records Management

Re: Agency records retention schedule amendment approved for use

Dear Mr. Romel:

P.O. Box 12927
Austin, Texas
78711.2927

Amendment 5 to your agency's 3rd recertification of your records retention schedule is approved for use as of Thursday, April 28, 2016. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

4400 Shoal Creek Blvd.
Austin, Texas
78756

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

www.tsl.texas.gov

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Commission Chairman
Michael C. Waters

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Megan Carey, at 512-463-5494 or mcarey@tsl.texas.gov.

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Sincerely,

A handwritten signature in blue ink, appearing to be "CK" or similar initials.

Director and Librarian
Mark Smith

Craig Kelso
Director and State Records Administrator

Assistant State Librarian
Edward Seidenberg

cc: State Auditor, State Archivist, Jon Weizenbaum

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.539/539



STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

Form SLR 105 or SLR 122 must accompany all submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 539
Agency Name Dept of Aging & Disability Services

(Check one)

- Initial Certification - Form SLR 105
Recertification - Form SLR 105
Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
Records Management Officer

Signature [Handwritten Signature]

Name (Print or type) Glen Bason

Date 2/24/16

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
(For the exclusive use of the State Auditor's Office)

Signature
Name (Print or type)
Date

Not Required at This Time

Texas State Library and Archives Commission
(For the exclusive use of the State Library and Archives Commission)

Signature [Handwritten Signature]
Name (Print or type) Donna Osborne
Date 4/28/16

Cert/Recert No. 3 Amendment No. 5

CAUTION

A state record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

A state record whose retention period expires during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record may not be destroyed until the completion of the action and the resolution of all issues that arise from it.





July 16, 2015

Mr. Glen Bason
Director, Executive and Staff Operations
Department of Aging and Disability Services
701 W. 51st ST
Austin, TX 78751

State and Local
Records Management

Re: Agency records retention schedule amendment approved for use

Dear Mr. Bason:

P.O. Box 12927
Austin, Texas
78711.2927

Amendment 4 to your agency's 3rd recertification of your records retention schedule is approved for use as of Friday, July 10, 2015. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrn/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

4400 Shoal Creek Blvd.
Austin, Texas
78756

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

www.tsl.texas.gov

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Commission Chairman
Michael C. Waters

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Bret Adams, at 512-936-0270 or badams@tsl.texas.gov.

Members
Sharon T. Carr
Martha Doty Freeman
E. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Sincerely,

Craig Kelso
Director and State Records Administrator

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

cc: State Auditor, State Archivist, Jon Weizenbaum

*Preserving yesterday,
informing today,
inspiring tomorrow.*

R01.539/539

539 BA



Texas State Library and Archives Commission

STATE OF TEXAS Records Retention Schedule Certification

SLR 105C

Form SLR 105 or SLR 122 must accompany all submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 539
Agency Name Department of Aging & Disability Services

(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
- Records Management Officer

Signature [Handwritten Signature]

Name (Print or type) Glen E Bason

Date May 19, 2015

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
(For the exclusive use of the State Auditor's Office)

Signature _____
Name (Print or type) _____
Date _____

Not Required at This Time

Texas State Library and Archives Commission
(For the exclusive use of the State Library and Archives Commission)

Signature [Handwritten Signature]
Name (Print or type) _____
Date 07-10-15

Cert/Recert No. 3 Amendment No. 4

CAUTION

A state record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

A state record whose retention period expires during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record may not be destroyed until the completion of the action and the resolution of all issues that arise from it.





STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 1

2. Agency Code	539	3. Agency Name	Department of Aging & Disability Services						
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4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total			9. Remarks	Page No.	

4.5.005	1073	Foster Grandparent	AC+6		AC+6	AC=Final Financial Status Report submission or last Audit, whichever is most recent				N
	1074	MFP (Money Follows the Person) Quality of Life Surveys	AC+1		AC+1	AC=CMS (Centers for Medicare & Medicaid Services) Authorization to Release				N

Retention Codes (Field 7) AC – After Closed, Terminated, Completed, Expired, Settled AV – Administrative Value CE – Calendar Year End FE – Fiscal Year End LA – Life of Asset	MO – Months PM – Permanent US – Until Superseded	Archival Codes (Field 8) A – Transfer to State Archives R – Review by State Archivist	Amendment Codes (Field 12) N – New C – Changed D – Deleted
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State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711.2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.texas.gov

Commission Chairman
Michael C. Waters

Members
Sharon T. Carr
Martha Doty Freeman
F. Linwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

Director and Librarian
Mark Smith

Assistant State Librarian
Edward Seidenberg

*Preserving yesterday,
informing today,
inspiring tomorrow.*

May 23, 2014

Mr. Keith Romel
Manager, Business Management Services
Department of Aging and Disability Services
701 W. 51st ST
Austin, TX 78751

Re: Agency records retention schedule amendment approved for use

Dear Mr. Romel:

Amendment 3 to your agency's 3rd recertification of your records retention schedule is approved for use as of Thursday, May 22, 2014. Your currently approved records retention schedule and all amendments are available on our website at <https://www.tsl.texas.gov/slrms/state/schedules.html>. Please maintain this amendment with your currently approved schedule so that it can be easily referenced.

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please contact the Government Information Analyst assigned to your agency, Bret Adams, at 512-936-0270 or badams@tsl.texas.gov.

Sincerely,

Craig Kelso
Director and State Records Administrator

cc: State Auditor, State Archivist, Jon Weizenbaum

R01.539/539



STATE OF TEXAS Records Retention Schedule Certification

SLR 105C
*Form SLR 105 or SLR 122
must accompany all
submissions of this form.*

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 539
Agency Name Texas Department of Aging & Disability Services

(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
- Records Management Officer

Signature Keith Romel

Name *(Print or type)* Keith D. Romel

Date 4-25-2014

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
(For the exclusive use of the State Auditor's Office)

Signature _____
Name *(Print or type)* _____
Date _____

Not Required at This Time

Texas State Library and Archives Commission
(For the exclusive use of the State Library and Archives Commission)

Signature E. Hidenberg
Name *(Print or type)* _____
Date 05-22-14

Cert/Recert No. 3 Amendment No. 3

CAUTION

A state record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

A state record whose retention period expires during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record may not be destroyed until the completion of the action and the resolution of all issues that arise from it.





May 3, 2013

Mr. Keith Romel
Manager, Business Management Services
Department of Aging and Disability Services
701 W. 51st ST
Austin, TX 78751

Re: Department of Aging and Disability Services
3rd Recertification, Amendment Number 2

Dear Mr. Romel:

Enclosed are approved amendment pages to your records retention schedule. Please maintain these pages with your currently approved schedule so that they can be easily referenced.

We appreciate your efforts in maintaining an up-to-date schedule. Making additions and changes to your schedule as you identify them not only ensures the integrity of your recordkeeping practices, but keeps your agency in compliance with state regulations (13 TAC §6.4) requiring the submission of any needed amendments to a retention schedule during its certification period to keep the information in the schedule current.

We will notify you of the date your schedule is due for recertification. Any additional approved amendments to your schedule, such as this one, should be incorporated into your main retention schedule prior to submitting it for recertification.

Thank you again for your commitment to complying with state records management laws and regulations. If we can provide any assistance to you, please call the information analyst assigned to your agency, Bret Adams, at 512-936-0270.

Sincerely,

Craig Kelso
Director and State Records Administrator

Enclosure

cc: State Auditor, State Archivist
cc: (without enclosure) Jon Weizenbaum

State and Local
Records Management

P.O. Box 12927
Austin, Texas
78711-2927

4400 Shoal Creek Blvd.
Austin, Texas
78756

www.tsl.state.tx.us

Commission Chairman
Michael C. Waters

Members
Sharon T. Carr
Martha Doty Freeman
F. Lynwood Givens
Larry G. Holt
Wm. Scott McAfee
Sandra J. Pickett

*Interim
Director and Librarian*
Edward Seidenberg

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informing today,
inspiring tomorrow.*

R01-539/539



Texas
State Library
and Archives
Commission

STATE OF TEXAS

Records Retention Schedule Certification

BFA

SLR 105C

Form SLR 105 or SLR 122
must accompany all
submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 539
Agency Name TX Dept of Aging & Disability Services

(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
- Records Management Officer

Signature Keith Romel
Name *(Print or type)* Keith D. Romel
Date 4/12/13

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
(For the exclusive use of the State Auditor's Office)

Signature _____
Name *(Print or type)* _____
Date _____

Not Required at This Time

Texas State Library and Archives Commission
(For the exclusive use of the State Library and Archives Commission)

Signature Donna Osborne
Name *(Print or type)* Donna Osborne
Date 5/1/13

Cert/Recert No. 3 Amendment No. 2

CAUTION

A state record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

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STATE OF TEXAS

Records Retention Schedule Amendment

SLR 122

Form SLR 105C must accompany this form.

1. Page 1 of 1

2. Agency Code 539		3. Agency Name Department of Aging & Disability Services								
4. Records Series Item No.	5. Agency Item No.	6. Record Series Title	7. Retention Period			8. Archival	10. 106 No.	11. Current Schedule		12. Amend. Type
			Agency	Storage	Total	9. Remarks		Page No.	Agency Item No.	

	1069	Death Review	6		6	Deaths which occur in Home and Community-Based Services (HCS), Texas Home Living (TxHmL) and Deaf Blind with Disabilities (DBMD) programs.				N
	1070	Complaint Records	6		6	Complaints received by Home and Community-Based Services (HCS), Texas Home Living (TxHmL) and Consumer Rights and Services.				N
	1071	4 Person Approvals	6		6	4 person applications including letter of approval, fire inspection, fire alarm installations, certificate of inspection.				N

Retention Codes (Field 7)				Archival Codes (Field 8)			Amendment Codes (Field 12)		
AC – After Closed, Terminated, Completed, Expired, Settled	CE – Calendar Year End	MO – Months	PM – Permanent	A – Transfer to State Archives	R – Review by State Archivist	N – New	C – Changed	D – Deleted	
AV – Administrative Value	FE – Fiscal Year End	LA – Life of Asset	US – Until Superseded						



Texas
State Library
and Archives
Commission

STATE OF TEXAS

Records Retention Schedule Certification

BA
SLR 105C

*Form SLR 105 or SLR 122
must accompany all
submissions of this form.*

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 539
 Agency Name Texas Department of Aging & Disability Services

(Check one)

- Initial Certification - Form SLR 105
- Recertification - Form SLR 105
- Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
- Records Management Officer

Signature *Keith Romel*

Name *(Print or type)* Keith D. Romel

Date 8/22/2012

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
(For the exclusive use of the State Auditor's Office)

Signature _____
 Name *(Print or type)* Not Required at This Time
 Date _____

Texas State Library and Archives Commission
(For the exclusive use of the State Library and Archives Commission)

Signature *Peggy D. Rudd*
 Name *(Print or type)* Peggy D. Rudd
 Date 9/13/12

Cert/Recert No. 3 Amendment No. 1

CAUTION

A state record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

A state record whose retention period expires during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record may not be destroyed until the completion of the action and the resolution of all issues that arise from it.





STATE OF TEXAS

Records Retention Schedule Certification

SLR 105C

Form SLR 105 or SLR 122 must accompany all submissions of this form.

Section 1. Agency Information

(Submitting agencies complete this section only)

Agency Code 539
Texas Department of Aging & Disability Services

(Check one)

- Initial Certification - Form SLR 105
Recertification - Form SLR 105
Amendment - Form SLR 122

I hereby certify that this records retention schedule was prepared in accordance with Texas Government Code, Chapter 441, Subchapter L.

(Check one)

- Agency Head
Records Management Officer

Signature Keith D. Romel

Name (Print or type) Keith D. Romel

Date 6/28/2012

Section 2. Approvals

(Submitting agencies do not write in this section)

State Auditor's Office
(For the exclusive use of the State Auditor's Office)

Not Required at This Time

Signature
Name (Print or type)
Date

Texas State Library and Archives Commission
(For the exclusive use of the State Library and Archives Commission)

Signature Peggy D. Rudd
Name (Print or type) Peggy D. Rudd

Date 8/2/12

Cert/Recert No. 3 Amendment No.

CAUTION

A state record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues that arise from it.

A state record whose retention period expires during any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record may not be destroyed until the completion of the action and the resolution of all issues that arise from it.



**Texas Department of Aging and Disability Services
RECORDS RETENTION SCHEDULE**

RMD 105

Agency Code: 539

Recertification 2012

Record Series ID Number	Agency Item Number	Record Series Title	Agency (Office) Retention	Records Center Retention	Total Retention	A R C	V I T	106 Number	Remarks
<u>ACCESS & INTAKE</u>			<u>AREA AGENCIES ON AGING</u>			<u>CONTRACTING/ACCOUNTABILITY</u>			
5.1.001	1052	CONTRACTS	AC	4	AC+4		X		AC=expiration or termination of the instrument according to its terms.
4.7.008	923	FEDERAL GRANTS	AC	3	AC+3		X	05-539-325	AC=satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the common rule).
	937	AREA AGENCY ON AGING (AAA)	AC+2	4	AC+6			05-539-308	AC=final action.
4.5.001	955	WORKSHEETS FOR PREPARING REPORTS	FE	3	FE+3			05-539-316	
<u>ACCESS & INTAKE</u>			<u>AREA AGENCIES ON AGING</u>			<u>LOCAL PROCEDURE DEV & SUPPORT</u>			
1.1.058	924	BOARD MEETINGS/AGENDAS	PM	PM	PM	A		05-539-321	Former Texas Department on Aging records. Agency retains permanent record copy. Archival requirement met by sending a copy to Archives & Information Services Division, TSLAC.
1.1.058	925	CITIZENS ADVISORY COUNCIL MEETINGS/AGENDAS	PM	PM	PM	A		05-539-322	Former Texas Department on Aging records. Agency retains permanent record copy. Archival requirement met by sending a copy to Archives & Information Services Division, TSLAC.
<u>ACCESS & INTAKE</u>			<u>COMMUNITY SERVICES</u>			<u>CONTRACTS</u>			
5.1.001	904	COMMUNITY CARE CONTRACTS	AC	4	AC+4		X		AC=close/denial of contract. Includes monitoring material, correspondence, applications, etc.
<u>ACCESS & INTAKE</u>			<u>COMMUNITY SERVICES</u>			<u>POLICY DEVELOPMENT & SUPPORT</u>			
	812	CLASS PROVIDERS	FE	5	FE+5			95-539-262	CLASS=Community Living Assistance and Support Services. Records include information on services, contract and program correspondence provided by contractors for previous fiscal years.
	815	UNACCEPTED REQUESTS FOR PROPOSALS	AC	4	AC+4			95-539-265	AC=end of fiscal year in which proposal was denied. Records are requests for proposals from potential contractors the CLASS program did not accept.

Retention Codes

- AC - After closed, terminated, completed, expired, settled
- AV - Administrative Value
- CE - Calendar Year End
- LA - Life of Asset
- PM - Permanent
- US - Until Superseded
- FE - Fiscal Year End

ARC (Archival) Codes

- A - Transfer to State Archives
- R - Review by State Archivist

**Texas Department of Aging and Disability Services
RECORDS RETENTION SCHEDULE**

RMD 105

Agency Code: 539

Recertification 2012

Record Series ID Number	Agency Item Number	Record Series Title	Agency (Office) Retention	Records Center Retention	Total Retention	A R C	V I T	106 Number	Remarks
	827	CCAD-PROGRAM PROVIDERS	AC	5	AC+5			98-539-279	AC=provider out of business or no longer providing services. Retention based on that of client clinical records (40 TAC 19.1910). Records are files of contractors who provide services to CCAD clients and support CCAD programs.
	889	MDCP PROVIDER FILES	AC	3	AC+3			02-539-303	AC=end of receiving services.
4.7.005	890	MDCP PROVIDER CLAIM FILES	AC	3	AC+3		X	02-539-304	AC=resolution of claim.
<u>ACCESS & INTAKE</u>		<u>COMMUNITY SERVICES</u>			<u>PROGRAM OPERATIONS</u>				
	887	DENIED MDCP APPLICATION FILES	FE+1	4	FE+5			02-539-301	
	888	MDCP PARTICIPANT CASE RECORDS FILES	AC+1	6	AC+7			02-539-302	AC=end of receiving services.
<u>ACCESS & INTAKE</u>		<u>COMMUNITY SERVICES & PROGRAM OPER</u>			<u>PROGRAM ENROLLMENT</u>				
	47	CLIENT RECORDS	AC+1	4	AC+5				AC=case denial or final action. CCAD=Community Care for the Aged and Disabled.
	48	REGIONAL NURSE CLIENT RECORDS WITHOUT MEDICAL RECORDS	AC+1	4	AC+5				AC=case denial or action which closes case.
	49	MEDICAID ELIGIBILITY INSTITUTIONAL CLIENT CASE RECORDS	FE+1	4	FE+5				Purge at end of the fiscal year in which the case was denied or client death was recorded.
	50	MEDICAID ELIGIBILITY NON-INSTITUTIONAL CLIENT CASE RECORDS	FE+1	4	FE+5				Purge at end of the fiscal year in which the case was denied or client death was recorded.
	193	CCAD REGIONAL NURSE CLIENT RECORDS WITH MEDICAL RECORDS	AC+1	5	AC+6				AC=case denial or action which closes case. HIPAA Compliant.
	236	MEDICAL DISABILITY DETERMINATION CASE FILES	FE+2	4	FE+6			92-539-105	
	430	IN-HOME AND FAMILY SUPPORT PROGRAM ADMINISTRATION	AC+3		AC+3				AC=until end of fiscal year in which purpose is completely served.

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**Texas Department of Aging and Disability Services
RECORDS RETENTION SCHEDULE**

RMD 105

Agency Code: 539

Recertification 2012

Record Series ID Number	Agency Item Number	Record Series Title	Agency (Office) Retention	Records Center Retention	Total Retention	A R C	V I T	106 Number	Remarks
	798	IN-HOME AND FAMILY SUPPORT PROGRAM CASEFILES	AC+3	77	AC+80				AC=cases denied with no services. After three years files may be thinned. Retain DADS forms 2363, 2371, 4116 and original receipts for 'CE' grant. If denied for failure to furnish receipts all of above, and receipt reconciliations are retained.
	886	COMMUNITY SERVICES INTEREST LIST	AC	3	AC+3				AC=end of the Federal fiscal year in which request was made. Documents that a person requested services and agreed to be place on an interest list. Includes DADS forms 2112, 2114, 2118.
<u>ACCESS & INTAKE</u>			<u>GUARDIANSHIP SERVICES</u>			<u>CLIENT SERVICES</u>			
	963	GUARDIANSHIP CASE RECORDS	AC+2	5	AC+7				AC=case closed.
1.1.070	973	GUARDIANSHIP HANDBOOKS	AC+1	2	AC+3	R	X		AC=completion or termination of program, rules, policies or procedures.
<u>ACCESS & INTAKE</u>			<u>GUARDIANSHIP SERVICES</u>			<u>OVERSIGHT & COMMUNITY SUPPORTS</u>			
5.1.001	964	PROGRAM CONTRACTS	AC+2	5	AC+7			X	AC=expiration or termination of the instrument according to its terms.
	965	CONTRACT MONITORING	2	5	7				
<u>ACCESS & INTAKE</u>			<u>LOCAL AUTHORITIES</u>			<u>CONTRACT MANAGEMENT</u>			
5.1.001	931	CONTRACTS - COMMUNITY SERVICES PERFORMANCES	AC	6	AC+6			X	AC=expiration or termination of the instrument according to its terms. Contains contracts, recoupments, penalties, sanctions, followup, deliverables, and contract amendments. Vital records protected by storing original contracts.
<u>ACCESS & INTAKE</u>			<u>LOCAL AUTHORITIES</u>			<u>CONTRACT/ACCOUNTABILITY&OVERSIGHT</u>			
5.1.001	932	PROGRAM REVIEWS FOR MHMR CENTERS	AC	4	AC+4			X	AC= expiration or termination of the instrument according to its terms. Record consists of announcement letters, reports of findings, plans of improvement/correction. Vital records protected by storing original contracts.
<u>ACCESS & INTAKE</u>			<u>LOCAL AUTHORITIES</u>			<u>LOCAL PROCEDURE DEV & SUPPORT</u>			

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5.1.001	1010	PROVIDER AGREEMENT	2	3	5		X		Agreement with individuals/families, advocacy organizations, mental retardation authorities and providers.
1.1.048	1011	LITIGATION	AC+1	4	AC+5	R			AC=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 for want of prosecution or on motion of the plaintiff; or final decision of a court in a lawsuit.
<u>ACCESS & INTAKE</u>		<u>PASARR/MERP</u>				<u>MEDICAID ESTATE RECOVERY PROGRAM</u>			
	974	CLIENT CORRESPONDENCE INCLUDING HARDSHIP WAIVERS	2	5	7				
5.1.001	975	PROGRAM CONTRACTS	AC+2	5	AC+7		X		AC=expiration or termination of instrument according to its terms.
	976	CONTRACT MONITORING	AC+3	5	AC+8				AC=after completion.
<u>ACCESS & INTAKE</u>		<u>PASARR/MERP</u>				<u>PROGRAM ENROLLMENT</u>			
	739	PASARR FILES	4	5	9			94-539-223	PASARR=Pre-Admission Screening and Annual Resident Review.
<u>ACCESS & INTAKE</u>		<u>UTILIZATION MANAGEMENT & REVIEW</u>				<u>IDD WAIVERS</u>			
	1017	DISCHARGES/TRANSFERS	FE	6	FE+6				
	1058	FAIR HEARINGS (HSC, CLASS, TXHML, DBMD, ICF/ID)	AC	5	AC+5				AC=case closed. Files include the appeal request, hearing evidence package, defense documentation and case notes.
	1059	INDIVIDUAL SERVICE DELIVERY (HCS, DBMC, TXHML)	AC	5	AC+5				AC=case closed. Plan of care packets that include service planning documentation for individuals submitted by contracted providers.
	1060	INDIVIDUAL ELIGIBILITY (HCS, ICF/ID, DBMD, TXHML)	AC	5	AC+5				AC=case closed. Eligibility packets that include ID/RC assessment, functional assessments and any supporting documentation of individual eligibility as submitted by contracted providers.

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	1061	LEVEL OF NEED INCREASE REQUEST (HCS)	AC	5	AC+5				AC=case closed. Packets submitted by HCS contracted providers which include service planning documentation, service delivery records, professional assessments and recommendations, and PE/UR chronologies of activity.
	914	UTILIZATION REVIEWS/CONTROLS	FE	6	FE+6				Client Records/OBRA.
<u>CHIEF FINANCIAL OFFICER</u>			<u>ACCOUNTING</u>			<u>ACCOUNTS PAYABLE</u>			
4.7.003	1049	RETURNED WARRANT DATA	FE+7		FE+7				Return warrant detail including Medicaid related payments.
4.7.003	1050	RETURNED WARRANT DATA/PERSONAL NEEDS ALLOWANCE	FE+3		FE+3				Return warrant detail for Personal Needs Allowance(PNA) payments.
4.6.002	1051	PAYROLL RECONCILIATION	FE+3		FE+3				Reconciliation of Enterprise Overpayment Report. Actual individual employee payroll overpayments.
4.7.005	119	CLAIMS FILES	AC+3		AC+3		X		AC=resolution of claim.
	121	TINS DOCUMENTS & DIRECT DEPOSIT DOCUMENTS	CE+7		CE+7				Includes vendor information,federal tax ID or SSN and bank account information to pay vendor.
4.2.004	136	PURCHASE & EXPENDITURE VOUCHERS	FE+3	4	FE+7			92-539-179	Travel/Administrative (TRVL) claims payment vouchers, Office Supply Ordering System (OSOS) and Procurement Card (PCAR) statement payment vouchers. Voucher detail reports (VPNA, VTPN, VBANK) includes signature cover pages indicating approval of expenditures.
	197	IRS REPORTING - 1099 MISC. & INTEREST	CE+7		CE+7				Electronic database with 1099 reporting details and related communications. Hard copies of corrected forms.
4.2.005	257	PURCHASE AND EXPENDITURE MANUAL VOUCHERS	FE	4	FE+4			91-539-051	Payments authorized by legislative action and/or Comptroller Public Accounts (CPA) for claims prior to FY+2. Original documents maintained by CPA.

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4.2.007	808	EXPENDITURE VOUCHERS FOR CLIENT CLAIMS	FE+3	4	FE+7			95-539-261	Expenditure vouchers related to Client Claims containing Medicaid related payments including signature cover pages indicating approval of expenditures. Expenditure detail report containing Medicaid related payments.
4.5.002	959	INTERNAL ACCOUNTING REPORTS FOR INTERFACES	FE+1	2	FE+3				Generates ISAR, ISAS, and PTUS reports summarizing daily amounts being spent.
<u>CHIEF FINANCIAL OFFICER</u>		<u>ACCOUNTING</u>						<u>COST ALLOCATION RANDOM TIME STUDY</u>	
4.3.003	609	RANDOM MOMENT STUDIES	FE+5	5	FE+10			91-539-081	
<u>CHIEF FINANCIAL OFFICER</u>		<u>ACCOUNTING</u>						<u>COST, FEDERAL REPT & CASH MGMT</u>	
4.1.007	111	COST ALLOCATION/REALLOCATION	FE+10		FE+10				JECA Factor calculations, reallocation journals and verifications.
4.7.008	112	FEDERAL GRANT AWARDS	FE+10		FE+10		X		Legal document awarding financial assistance from the federal government.
4.2.001	113	CASH MANAGEMENT JOURNALS AND DEPOSITS	FE+5	5	FE+10			95-539-240	JECM, BECM HHSAS Financials and USAS Journal, Deposit Journals and Budget Journals.
4.5.003	131	FINANCIAL REPORTS AND EXCEPTIONS (QUARTERLY, SEMI-ANNUAL & ANNUAL)	FE+10		FE+10				Federal reports, depreciation schedules, annual interest, schedule of expenditures of federal awards.
<u>CHIEF FINANCIAL OFFICER</u>		<u>ACCOUNTING</u>						<u>GENERAL LEDGER ACCOUNTS RECEIVABLE</u>	
4.2.001	126	JOURNAL ENTRIES AND PURCHASE VOUCHERS	FE+4	3	FE+7			91-539-037	JEAR, PVAR deposit, journal, inter-agency transfer and refund vouchers.
4.2.002	127	ACCOUNTS RECEIVABLE CASH RECEIPT FORMS, CASH RECEIPTS, LOGS & REPORTS	FE+1	2	FE+3			92-539-158	Monies received and supporting documentation.
4.2.002	664	CASH RECEIPTS AND RESTITUTION FILES	FE	3	FE+3			92-539-083	
<u>CHIEF FINANCIAL OFFICER</u>		<u>ACCOUNTING</u>						<u>GENERAL LEDGER PROPERTY ACCOUNTING</u>	
5.2.014	394	INVENTORY, ANNUAL PHYSICAL	FE+1	2	FE+3			91-539-064	
5.2.009	395	PROPERTY ACCOUNTING RECORDS	LA+3		LA+3				

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<u>CHIEF FINANCIAL OFFICER</u>			<u>ACCOUNTING</u>			<u>GENERAL LEDGER RECONCILIATION</u>			
4.5.002	110	INTERNAL FISCAL MANAGEMENT REPORTS	FE+3		FE+3				Retained until monthly fiscal balancing and audits completed.
4.4.001	115	GENERAL LEDGER	FE+1	2	FE+3		X	92-539-150	
4.7.001	259	ACCOUNTING POLICIES AND PROCEDURES	US+3		US+3		X		Vital record series protected through routine distribution.
4.6.002	679	RECONCILIATIONS TO GENERAL AND SUB LEDGER	FE	3	FE+3			92-539-136	Media includes computer print-outs and working papers.
<u>CHIEF FINANCIAL OFFICER</u>			<u>BUDGET MANAGEMENT</u>			<u>BUDGET MANAGEMENT</u>			
4.5.006	118	ANNUAL OPERATING BUDGET	FE+3		FE+3				Required by the General Appropriation Act.
1.1.004	562	BIENNIAL BUDGET REQUESTS	AC	6	AC+6	A		92-539-111	AC=Sept. 1 of odd-numbered calendar years. Archival requirement will be met by sending required copies of Legislation Appropriations Requests to the State Publications Depository Program, TSLAC.
4.5.001	564	BUDGET WORKING PAPERS	AC+10		AC+10				AC=completion of reports using data.
5.1.001	578	FRAUD CONTROL CONTRACT	AC+4		AC+4		X		AC=completion of all terms of contract or contract superseded. Contract with Feds.
	579	BUDGET DATA	FE+3		FE+3				
<u>CHIEF FINANCIAL OFFICER</u>			<u>BUDGET MANAGEMENT</u>			<u>FORECASTING & DEMOGRAPHICS</u>			
	398	PURCHASED HEALTH SERVICES ACTUARIAL DATA REPORTS	CE	20	CE+20			92-539-115	Historical research, forecasting.
1.1.068	649	QUARTERLY REPORTS ON KEY PERFORMANCE MEASURES	AC+10		AC+10				AC=September 1 of odd-numbered calendar years. Previously known as Performance and Funds Management Report.
1.1.064	996	BIENNIAL LAR PERFORMANCE MEASURE DEFINITIONS	10		10		X		Information assists in understanding the biennial budget requests & the quarterly key measures reports.
	997	REFERENCE GUIDE (ANNUAL)	10		10				Previously known as the DHS At-A-Glance.

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	998	QUARTERLY BLUE BOOK	10		10				Abbreviate, pocket-size, quarterly version of the Reference Guide.
1.1.068	999	DATA BOOK	AC+10		AC+10				AC=September 1 of odd-numbered calendar year. Status report that includes program area performance, statistical trend information, key indicators & current items of interest.
<u>CHIEF FINANCIAL OFFICER</u>		<u>BUDGET MANAGEMENT</u>		<u>PERFORMANCE&WORKLOAD MEASUREMENT</u>					
1.1.064	818	WORK MEASUREMENT SURVEY BOOKLETS	AC	11	AC+11		X	96-539-269	AC=conclusion of survey. Records consist of original data from workload measurement studies. Information is used for Legislative Appropriation Requests (LAR) and Equity of Service Statement (ESS).
1.1.064	878	WORK MEASUREMENT STUDY REPORTS	FE	11	FE+11		X		Final reports written on each work measurement study completed. Information used for LAR and ESS.
1.1.064	879	WORK MEASUREMENT STUDY DATABASES	FE	11	FE+11		X		Databases with raw data and sample databases backed up on tape or zipdisks for studies completed in the last three years.
<u>CHIEF FINANCIAL OFFICER</u>		<u>CLAIMS MANAGEMENT</u>		<u>PROVIDER CLAIMS/CLAIMS SUPPORT</u>					
	1008	REHABILITATIVE SERVICES	AC+3		AC+3				AC=after completion of authorized therapy services.
4.7.005	213	PROVIDER CLAIM AND PAYMENT DATA	AC+3		AC+3		X		AC=completion of all audit activity. Com. MI and MB systems.
4.7.005	411	PROVIDER BILLING SERVICES CORRECTION DOCUMENTS	AC	3	AC+3		X	92-539-161	AC=completion of all audit activity. MB system.
4.7.005	412	PROVIDER CLAIMS AUDIT/RECOVERY FILES	AC	3	AC+3		X	92-539-162	AC=after corrections. Check registers and payment histories.
4.7.005	413	PROVIDER CLAIMS SPECIAL CORRECTIONS	AC	3	AC+3		X	92-539-163	AC=completion of all audit activity. Some data is entered into MB system, but not all.
4.1.002	813	CLASS WAIVERS	FE	3	FE+3			95-539-263	Records include billing turnarounds, billing waivers and other billing information for the CLASS program. Primarily records consist of DADS forms 4116, 3625.
	961	HSC AA/MHM/DE/BILLING	AC	3	AC+3				AC=after entry of AA/MHM/DE provider billing request.

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	962	HSC DEDUCTIONS/RECOUPMENTS	AC	3	AC+3				AC=after completion of deduction/recoupment.
<u>CHIEF OPERATING OFFICER</u>			<u>CONSUMER RIGHTS & SERVICES</u>			<u>COMPLAINT INTAKE</u>			
	927	CONSUMER COMPLAINTS	AV		AV				AV=after data entry into CARE.
<u>CHIEF OPERATING OFFICER</u>			<u>CONSUMER RIGHTS & SERVICES</u>			<u>SURROGATE DECISION-MAKING</u>			
	928	SURROGATE CONSENT PACKET	AC+2	4	AC+6				AC=last action. Packet contains treatment and hearing forms.
	929	SURROGATE CONSENT HEARINGS	AC+1	5	AC+6				AC=last action. Hearing Tapes.
	930	SURROGATE CONSENT DATABASE	AC+6		AC+6				AC=last action. Tracks treatment expiration dates.
<u>CHIEF OPERATING OFFICER</u>			<u>CONTRACT OVERSIGHT & SUPPORT</u>			<u>CLIENT TRUST FUND</u>			
	1030	NURSING FACILITY & ICF/ID TRUST FUND INVESTIGATION	2	4	6				HIPAA compliant.
	419	NURSING FACILITY & ICF/ID TRUST FUND MONITORING	2	4	6			92-539-129	HIPAA compliant.
I.1.002	421	NURSING FACILITY & ICF/ID AUDIT MATERIAL	AC	7	AC+7			92-539-130	AC=end of calendar year in which all action on audit has been completed.
<u>CHIEF OPERATING OFFICER</u>			<u>CONTRACT OVERSIGHT & SUPPORT</u>			<u>CONTRACT SANCTION REVIEW</u>			
	1001	SANCTION ACTION REVIEW COMMITTEE PACKETS	6		6				HIPAA compliant.
<u>CHIEF OPERATING OFFICER</u>			<u>CONTRACT OVERSIGHT & SUPPORT</u>			<u>SUPPORT & TECHNICAL ASSISTANCE</u>			
	1000	QUALITY ASSURANCE REVIEWS	5		5				Includes announcement letter & fax, questionnaire, entrance & exit conferences, calculations, report of findings and action plans.
<u>CHIEF OPERATING OFFICER</u>			<u>EXECUTIVE & STAFF OPERATIONS</u>			<u>ADMINISTRATIVE SERVICES</u>			

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	943	DISCLOSURE TRACKING AND ACCOUNTING SYSTEM (DTAS)	6		6				Health Insurance Portability & Accountability Act of 1996 (HIPAA).
	944	HIPAA PRIVACY TRAINING	6		6				Health Insurance Portability & Accountability Act of 1996 (HIPAA).
	945	HIPAA SECURITY TRAINING	6		6				Annual employee renewal. Health Insurance Portability & Accountability Act of 1996 (HIPAA).
	946	HIPAA COMPLIANCE DOCUMENTATION	6		6				
<u>CHIEF OPERATING OFFICER</u>		<u>EXECUTIVE & STAFF OPERATIONS</u>		<u>EDUCATIONAL SERVICES</u>					
5.1.001	106	CONTRACTS	AC+1	3	AC+4		X		AC= end of contract period.
	571	EXTERNAL TRAINING REQUESTS AND APPROVALS	2		2				
	572	CLASS ATTENDANCE REPORTS	CE+2		CE+2				Used to monitor attendance which is required within one month.
	573	CLASS INFORMATION FILES	CE+2	4	CE+6				Details about class, scheduling, attendees, and evaluations which is required by the American Nurses' Credentialing Center's Commission on Accreditation (ANCC COA) and the Texas Nurses Association (TNA).
3.1.027	740	TRAINING RECORDS	AC	5	AC+5			94-539-221	AC=termination of employment.
3.1.027	942	PATHLORE REGISTRAR TRAINING TRACKING SYSTEM	AC+5		AC+5				AC=termination of employment
<u>CHIEF OPERATING OFFICER</u>		<u>EXECUTIVE & STAFF OPERATIONS</u>		<u>EXECUTIVE & STAFF OPERATIONS</u>					
5.4.013	659	BUSINESS CONTINUITY PLAN	US		US		X		
<u>CHIEF OPERATING OFFICER</u>		<u>EXECUTIVE & STAFF OPERATIONS</u>		<u>SUPPORT SERVICES/BUSINESS MGMT</u>					
5.1.007	204	REQUESTS FOR PRINTING/DISTRIBUTION	AV		AV				
5.6.005	367	VEHICLE USE REPORTS	FE+3		FE+3				Includes mileage, fuel/oil consumption, passengers carried & other related operational information.

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5.6.004	369	LICENSE & DRIVING RECORD CHECKS	AC		AC				AC=until superseded or until termination of employment.
5.4.012	370	BUILDING KEY CHECK-OUT FORMS	AC+3		AC+3		X		AC=until superseded, expired, or terminated, whichever sooner.
5.6.003	385	INSPECTION REPAIR & MAINTENANCE RECORDS - VEHICLES	LA+1		LA+1				
5.3.004	388	TRUCK RUN FILES: DELIVERIES, PICK-UPS, MANIFEST, REQUESTS	AV		AV				
1.2.005	581	RECORDS RETENTION SCHEDULE	US		US				Original is retained by the State & Local Records Management Division, TSLAC.
1.2.008	583	REQUEST FOR AUTHORITY TO DISPOSE OF STATE RECORDS	FE+3		FE+3				Original is retained permanently by TSL Records Management Division. RMD 102.
1.2.011	584	RECORDS CENTER STORAGE APPROVAL FORMS	US		US				Original is retained by TSL Records Management Division. RMD 106.
1.2.012	585	RECORDS INVENTORY WORKSHEETS	US		US				
5.2.004	780	BUILDING SPACE REQUESTS	AC+1		AC+1				AC=completion of project.
	785	COST REPORT WORK PAPERS	FE+5	2	FE+7			94-539-234	
	789	MANAGEMENT INFORMATION FOCUS REPORT	AC+5	6	AC+11			94-539-235	AC=completion of project.
1.2.010	819	RECORDS DISPOSITION LOGS AND STORAGE TRANSMITTALS	2	8	10			98-539-275	
5.1.001	867	MAIL SERVICES FILES	AC+1	3	AC+4		X		AC=expiration or termination of the instrument according to its terms. Would include contracts, correspondence, change notices and other contract management documentation.
	957	PROCUREMENT CARD	FE+2		FE+2				
1.2.001	989	DESTRUCTION AUTHORIZATION	FE+3		FE+3				Agency level documents authorizing final disposition of records under a certified records retention schedule.

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ARC (Archival) Codes

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**Texas Department of Aging and Disability Services
RECORDS RETENTION SCHEDULE**

RMD 105

Agency Code: 539

Recertification 2012

Record Series ID Number	Agency Item Number	Record Series Title	Agency (Office) Retention	Records Center Retention	Total Retention	A R C	V I T	106 Number	Remarks
<u>CHIEF OPERATING OFFICER</u>			<u>INFORMATION TECHNOLOGY</u>		<u>APPLICATION DEVELOPMENT & SUPPORT</u>				
	1012	HOSPICE BATCH FORMS	6		6				Client Assessment and Provider Systems (CAPS) to meet HIPAA requirements.
<u>CHIEF OPERATING OFFICER</u>			<u>INFORMATION TECHNOLOGY</u>		<u>MANAGEMENT SERVICES</u>				
2.1.002	436	AUTOMATED FILES, MASTER FILES	AC+3		AC+3		X		AC=completion of 3rd verification cycle, or audit completion confirming successful transaction updates, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.
2.2.001	600	SYSTEM SECURITY RECORDS	FE	5	FE+5			91-539-078	Records document computer security violations and are used for fraud investigations and audit purposes. Former DHS records to remain on schedule until final disposition of records.
	680	REQUESTS FOR COMPUTER ACCESS	CE	7	CE+7			92-539-181	
	861	IT OVERVIEW	US	5	US+5				On DADS IT intranet site.
	862	IT BUSINESS PLAN	AC+6		AC+6				AC=Sept. 1 of odd numbered calendar years. On DADS IT intranet site
<u>CHIEF OPERATING OFFICER</u>			<u>LEGAL SERVICES</u>		<u>LEGAL SERVICES</u>				
1.1.073	1031	ADMINISTRATIVE HEARINGS	AC+1	4	AC+5	R			AC=last action
	1064	OPEN RECORDS TRACKING SYSTEM	FE+2		FE+2				
	1065	CASE-MAN SYSTEM	PM		PM				System contains settlements/judgments from old lawsuits which are used internally.
1.1.048	488	LITIGATION FILES	AC	10	AC+10	R		92-539-086	AC=end of litigation. Legal precedent or historical value cases are archival. Retention based on reference to cases that involve settlement agreements, changes to handbooks, changes to rules.
5.1.001	489	CONTRACTS - FEDERAL/INTERAGENCY	AC	5	AC+5		X	92-539-167	AC=end of contract. Retention to assure compliance with federal requirements.

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RMD 105

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5.1.001	490	CONTRACTS - PROVIDER SERVICES	AC	5	AC+5		X	92-539-109	AC=end of contract. Retention needed to assure compliance with federal requirement pertaining to federal funding.
1.1.014	492	AGENCY ATTORNEY OPINIONS ON CASES AND POLICY STATEMENTS	AC	6	AC+6	R		93-539-203	AC=until end of fiscal year in which statements are superseded. Does not include opinions regarding actual or pending litigation.
1.1.048	548	POTENTIAL LITIGATION	AC	4	AC+4	R		92-539-085	AC=end of calendar year in which litigation is no longer a potential. Retention to assure the statute of limitations has expired.
1.1.072	948	PUBLIC INFORMATION REPORTS	2		2				Reports to TBPC on agency's Public Information Act activities.
<u>CHIEF OPERATING OFFICER</u>		<u>LEGAL SERVICES</u>						<u>POLICY & RULES</u>	
1.1.070	598	RULES	AC	20	AC+20	R	X	92-539-189	AC=after rule or regulation is repealed.
1.1.071	672	ADOPTED RULES WORK FILES	AC+3		AC+3	R	X		AC=completion or termination of program, rules, policies or procedures.
1.1.071	673	ABANDONED RULES WORK FILES	AC+3		AC+3	R	X		AC=completion or termination of program, rules, policies or procedures.
<u>COMMISSIONER'S OFFICE</u>		<u>COMMISSIONER'S OFFICE</u>						<u>COMMISSIONER'S OFFICE</u>	
1.1.058	176	BOARD MEETING AGENDAS AND MINUTES	PM	PM	PM	A		00-539-291	Agency retains permanent record copy. Archival requirement met by sending a copy to the Archives & Information Services, TSLAC. Former Dept of Human Services information. TX. Govt code, Chapter 551.
1.1.007	177	EXECUTIVE ADMINISTRATIVE FILES	FE	10	FE+10	R	X	91-539-074	
1.1.062	595	COUNCIL MEETING - SUPPORTING DOCUMENTATION	2		2	A			Backup/supporting documentation to council meeting minutes.
1.1.073	853	PUBLIC HEARINGS	AC+5		AC+5	R			AC=last action.

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1.1.059	881	MEETINGS, AGENDAS, AND ELECTRONIC RECORDINGS OF CLOSED	AC+2		AC+2				AC=the date of the meeting or completion of pending action involving the meeting, whichever is later. Certified agendas or electronic recordings of closed meetings of state boards, commissions, committees, and councils. Gov. Code 551.104(a).
1.1.058	935	DADS COUNCIL MEETING AGENDA AND MINUTES	PM		PM	A			Agency retains permanent record copy. Archival requirement met by sending a copy to the Archives and Information Services, TSLAC. TX Govt Code, Chapter 551.
<u>CONSUMER&EXTERNAL AFFAIRS</u>		<u>COMMUNICATIONS</u>		<u>COMMUNICATIONS</u>					
1.1.019	593	PRESS RELEASES	2		2	R			News or press releases issued by the agency.
1.1.019	596	NEWS CLIPPINGS/BRIEFS	3		3	R			Related to DADS and programs
1.1.066	661	ANNUAL NARRATIVE REPORT	AC+3	3	AC+6	A			AC=September 1 of odd-numbered calendar years. Agency sends required copies to the Publications Depository, TSLAC.
<u>CONSUMER&EXTERNAL AFFAIRS</u>		<u>COMMUNICATIONS</u>		<u>MEDIA SERVICES</u>					
1.1.043	494	PUBLIC SERVICE ANNOUNCEMENTS AND TRAINING VIDEOS AND DVD'S	2		2				
1.3.002	497	PRODUCTIONS FILES	AC+1		AC+1	R			AC=until no longer used or are superseded. Series includes mechanicals, electronic production masters, job tickets. Series is most any printed product for the agency; excluding forms.
1.1.060	498A	BOARD MEETINGS	2		2				Record copy is in Commissioner's Office, Agency Item 176.
1.3.002	791	ORIGINAL ART AND PHOTOGRAPHS WITH RELEASES	AV		AV	R			AV=useful life of photograph or original artwork. May include oversize media. Includes photographs and art acquired for DADS publications and related. Releases give permission to use image. Can include copyright waivers and related.

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1.3.001	995	DEPARTMENT PUBLICATIONS	AC+2		AC+2				AC=until superseded or obsolete.
<u>CONSUMER&EXTERNAL AFFAIRS</u>		<u>COMMUNICATIONS</u>							
1.1.070	360	HANDBOOK REVISIONS FOR HANDBOOKS	AC+2	8	AC+10	R	X	03-539-306	AC=completion or termination of program, rule, policies or procedures.
1.1.071	361	HANDBOOK REVISION WORK FILES	AC+3		AC+3	R	X		AC=completion or termination of program, rule, policies or procedures.
1.1.070	362	MASTER HANDBOOKS	AC+3		AC+3	R	X		AC=completion or termination of program, rule, policies or procedures.
1.2.003	587	FORMS HISTORY FILE	AC+1		AC+1				AC=form no longer used.
1.1.070	653	MICROFILMED HANDBOOKS AND REVISIONS	5	5	10	R	X	92-539-112	Maintained ten years due to potential litigation support.
<u>CONSUMER&EXTERNAL AFFAIRS</u>		<u>CONSUMER&EXTERNAL AFFAIRS</u>							
	982	MEMORANDUMS OF UNDERSTANDING	AC+3		AC+3				AC=end of agreement.
<u>CONSUMER&EXTERNAL AFFAIRS</u>		<u>GOVERNMENT RELATIONS</u>							
	565	IMPACT STATEMENTS	AC+6		AC+6				AC=end of legislative session. Includes legislative inquiries.
	977	FISCAL NOTE SUBMITTALS	AC+6		AC+6				AC=end of legislative session.
1.1.024	992	IMPLEMENTATION PLANS	AC+6		AC+6	R			AC=end of legislative session.
<u>CONSUMER&EXTERNAL AFFAIRS</u>		<u>STATE LONG TERM CARE OMBUDSMAN</u>							
	978	CERTIFICATION APPLICATIONS FOR VOLUNTEERS	3		3				
1.1.006	993	STATE LEVEL COMPLAINTS	AC+5		AC+5				AC=final disposition of the complaint.
1.1.067	994	ANNUAL PROGRAM PERFORMANCE REPORTS	3		3	R			

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CONSUMER&EXTERNAL AFFAIRS

VOLUNTEER&COMMUNITY ENGAGEMENT

VOLUNTEER&COMMUNITY ENGAGEMENT

1.1.058	1025	VOLUNTEER SERVICES STATE COUNCIL (VSSC)	PM		PM	A			Record contains minutes, agendas, legal information and insurance. VSSC was dissolved in 2007 - retain for audit and historical purposes.
	109	INDIVIDUAL VOLUNTEER RECORDS	AC+1	2	AC+3				AC=end of volunteer's service.
	575	VOLUNTEER SERVICES PROGRAM MANAGEMENT FILES	1	2	3				Volunteer program mandated by following statutes: TX Govt Code Title 10 ch 2109; 7 CFR 272.4; 42 CFR 432.32; 45 CFR 225.2; etc.
	979	PARADIGM/SFR50	AC+7		AC+7				AC=completion or termination of program. A donor/volunteer tracking database.
	980	PARTNERSHIP DONATION AGREEMENT	AC+3		AC+3				AC=end of agreement.
	983	VOLUNTEER AWARDS	AC+3		AC+3				AC=completion of award presentation.

DEPUTY COMMISSIONER

CENTER FOR POLICY & INNOVATION

POLICY DEVELOPMENT & OVERSIGHT

1.1.071	452	POLICY AND INITIATIVES PROGRAM DEVELOPMENT FILES	AC	20	AC+20	R	X	00-539-293	AC= completion or termination of program rules, policies or procedures. Compliant with OIG's office.
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DEPUTY COMMISSIONER

CENTER FOR POLICY & INNOVATION

QUALITY MONITORING PROGRAM

	1054	ICF MORTALITY REVIEW COMMITTEE	AC	6	AC+6				AC=completion of review. Record includes decedent's records (medical, psychological, plan of care, etc.) requested by the Committee to conduct mortality reviews.
	1056	NURSING FACILITY QUALITY REVIEW REPORT (NFQR)	AC	6	AC+6				AC=completion of report.
	1057	NURSING PEER REVIEW COMMITTEE FILES	AC	7	AC+7				AC=completion of review.
	991	QUALITY MONITORING PROGRAM	3		3				Visit reports, schedules and visit data.

DEPUTY COMMISSIONER

CENTER FOR POLICY & INNOVATION

QUALITY REPORTING

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	1039	LONG TERM SERVICES AND SUPPORTS QUALITY REVIEWS (LTSSQR)	AC	6	AC+6				AC= after closure. Legislatively mandated (Rider 13, HB 1, 82nd Legislature, 2011.
5.1.001	1053	CONTRACTS	AC	4	AC+4		X		AC=expiration or termination of the instrument according to its terms.
<u>DEPUTY COMMISSIONER</u>		<u>CENTER FOR POLICY & INNOVATION</u>						<u>RESEARCH ANALYSIS AND SUPPORT</u>	
4.7.008	166	GRANT DOCUMENTATION FILES (BOOKS)	AC	3	AC+3		X	92-539-169	AC=satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule).
<u>DEPUTY COMMISSIONER</u>		<u>CENTER FOR PROGRAM COORDINATION</u>						<u>PLANNING & PROJECT MANAGEMENT</u>	
	1066	ELECTRONIC VISIT VERIFICATION	AC+6		AC+6				AC=after completion. Telephone and computer-based system that electronically verifies service visits occur.
	938	AGENCY FUNCTIONAL REVIEW	3	7	10				
1.1.024	939	AGENCY BUSINESS PLAN	AC+1	2	AC+3	R			AC=decision made to implement or not to implement result of planning process.
<u>GENERAL AGENCY</u>		<u>COMMON RECORDS</u>						<u>ALL AREAS</u>	
3.1.027	1009	EMPLOYEE TRAINING AND EDUCATIONAL ACHIEVEMENT RECORDS	AC+1	4	AC+5				AC=termination of employment.
2.1.007	1026	SOFTWARE PROGRAMS	AC		AC		X		AC=until electronic records are transferred to and made usable in a new software environment or there are no electronic records being retained to meet an approved retention period that requires the software to be retrieved and read. 13 TAC 6.94
2.1.008	1027	HARDWARE DOCUMENTATION	AC		AC		X		AC=until electronic records are transferred to and made usable in a new hardware environment or there are no electronic records being retained to meet an approved retention period that requires the hardware to be retrieved and read. 13 TAC 6.94

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2.1.009	1028	TECHNICAL DOCUMENTATION	AC		AC		X		AC=until electronic records are transferred to and made usable in new hardware/software environment or there are no electronic records being retained to meet an approved retention period that requires the documentation to be retrieved and read.13 TAC 6.94
5.1.004	523	ADDRESS AND TELEPHONE LISTINGS	US		US				
1.1.040	592	SPEECHES, PAPERS & PRESENTATIONS	AC		AC	R			AC=end of term in office or termination of service in a state position. Notes or text of speeches, papers, presentations or reports delivered in conjunction with agency work.
1.1.007	611	CORRESPONDENCE - ADMINISTRATIVE	I	3	4	R	X	92-539-164	Incoming/outgoing & internal correspondence. Only administrative correspondence of executive staff, board or commission members, division director and program heads require archival review.
5.1.012	614	CHARGE SCHEDULES - PRICE LISTS	US+3		US+3				Includes cost records, labor, materials, and overhead.
5.1.015	615	CORRESPONDENCE LOGBOOKS	I		I				
1.1.013	616	CALENDARS, APPOINTMENT & ITINERARY RECORDS	CE+1		CE+1	R			Only the calendars, appointment, & itinerary records of elected officials, executive staff, board or commission members, division directors, & program heads require archival review.
1.1.063	617	MEETING MINUTES/NOTES - STAFF	I		I				Minutes/notes of internal staff meetings.
1.1.027	619	PROPOSED LEGISLATION	AV		AV				Drafts or proposed legislative bills & related correspondence as applicable to each program area.
1.1.069	622	REPORTS - EMPLOYEE	I		I				Activity & production reports for workload measure,funding,etc.
1.1.065	634	REPORTS AND STUDIES - RAW DATA	AV		AV				Information or data collected/compiled for the purpose of producing non-fiscal reports.
1.1.067	635	REPORTS AND STUDIES - FINAL (NON-FISCAL)	I	2	3	R		95-539-268	Non-routine or special reports/studies.
1.1.043	637	TRAINING MATERIALS	US+1		US+1				Instructional materials developed by an agency for training entities or individuals it regulates or serves.

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1.1.008	638	CORRESPONDENCE, GENERAL	2		2				Non-administrative incoming/outgoing and internal correspondence pertaining to or arising from the routine operations of the policies, programs, services or projects.
	639	PROJECT LOGBOOKS	AC+3		AC+3				AC=close of project.
3.4.006	640	TIME AND LEAVE RECORDS	FE	4	FE+4			92-539-135	These records include Time and Leave Forms and related forms. 40 TAC 815.106(i)
	643	SUPERVISOR'S NOTES	AV		AV				Supervisor's records. Records are career counseling notes and similar. Files may consist of copies of performance plans and appraisals, etc. Original records supporting a personnel action must be sent to HRS for inclusion in master personnel file.
1.1.021	724	PUBLIC INFORMATION REQUESTS - EXEMPTED	AC	2	AC+2			94-539-220	AC= date of notification that records are exempt. Includes all correspondence & documentation for exempt requests. Tx Public Information Act, 552.001. Prior to 9/1/05 record series contained exempted and not exempted requests.
1.1.055	761	STRATEGIC PLAN	AC	6	AC+6	A			AC=Sept. 1 of odd-numbered calendar years. Revisions on past plans by each division concerning their program. Archival requirement met by sending required copies to State Publications Depository Program, TSLAC.
1.1.023	776	ORGANIZATIONAL CHARTS	US		US	A			Archival requirement met by sending required copies to State Publications Depository Program, TSLAC.
1.1.057	841	TRANSITORY INFORMATION	AC		AC				AC=purpose of record has been fulfilled. Records of temp. usefulness that are not an integral part of a record series, that aren't regularly filed within agency's recordkeeping system and that are required for completion of an action.
1.1.067	876	STUDIES AND REPORTS	1	2	3	R			
1.1.002	934	AUDITS	AC+2	5	AC+7				AC=publication or release of final audit findings. Includes working papers that support the audit.

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1.1.038	936	CUSTOMER SURVEYS	AC+1	2	AC+3				AC= completion of survey. Surveys returned by customers/clients of an agency. Statistical data maintained rating an agency's performance.
1.1.020	947	PUBLIC INFORMATION REQUESTS - NOT EXEMPTED	AC	1	AC+1				AC= date request fulfilled. Includes all correspondence and documents relating to requests for records that are furnished to the public. Tx Public Information Act 552.001.
1.1.010	984	DIRECTIVES	US+1		US+1				Any document that officially initiates, rescinds, or amends general office procedures.
1.1.011	985	EXECUTIVE ORDERS	US+3		US+3	A	X		Any document that initiates, rescinds, or amends a regulation, policy or procedure that governs the program, services or projects.
1.1.024	986	PLANS AND PLANNING RECORDS	AC+3		AC+3	R			AC= decision made to implement or not to implement result of planning process.
1.1.056	987	ADA (AMERICANS WITH DISABILITIES ACT) DOCUMENTATION	3		3				28 CFR 35.105c.
1.1.071	988	AGENCY RULES, POLICIES AND PROCEDURES - WORKING FILES	AC+3		AC+3	R	X		AC= completion or termination of program, rules, policies or procedures.
5.1.014	990	OFFICE PROCEDURES	US+1		US+1				Internally distributed manual, guidelines, or similar records that establish standard office procedures.

INTERNAL AUDIT

INTERNAL AUDIT

INTERNAL AUDIT

1.1.002	186	AUDIT WORK PAPERS	AC+3	4	AC+7			94-539-231	AC= end of fiscal year that final audit findings are published or released.
	779	INTERNAL AUDIT REPORTS	AC+7		AC+7				AC= end of fiscal year that final audit findings are published or released.

JOINT SERVICES

CIVIL RIGHTS

CIVIL RIGHTS

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	24	COMPLAINTS FILES	AC+2		AC+2				AC=final disposition of complaint.
3.1.039	1042	OMBUDSMAN RECORDS	AC		AC				AC=final decision or matter closed.
1.1.056	847	ADA (AMERICANS WITH DISABILITIES ACT) DOCUMENTATION	3		3				Includes accommodation requests.
	852	COMPLIANCE REVIEW FILES	3		3				
3.1.027	906	CIVIL RIGHTS TRAINING RECORDS	AC+5		AC+5				AC=termination of employment.
<u>JOINT SERVICES</u>			<u>ENTERPRISE PROCUREMENT&CONTRACT</u>			<u>ENTERPRISE PROCUREMENT&CONTRACTING</u>			
5.1.001	11	CONTRACTS	AC+2	3	AC+5		X		AC=expiration or termination of the instrument according to its term. Tx Building and Procurement Commission retains record copy.
4.2.005	14	PAYMENT VOUCHER (INCLUDING REMOTE ENTRY DOCUMENTS)	FE+3		FE+3				Records are closed when voucher is processed to State Office fiscal management services (FMS). FMS retains microfilm copy for five years. Remote entry documents must be retained until audit is complete.
4.2.005	15	PURCHASE REQUISITION (FORM 4298 AND RELATED CORRESPONDENCE)	FE+3		FE+3				
5.1.001	101	PROCUREMENT RECORDS FOR THE SUCCESSFUL & UNSUCCESSFUL OFFEROR	AC+1	3	AC+4		X		AC=expiration or termination of the instrument according to its terms. Vital record series protected via storage at off-site storage vendor.
5.1.001	104A	CONTRACT RECORDS W/ TERMINATION DATE (EXCEPT MEDICAL SERVICES)	AC+1	3	AC+4		X		AC=expiration or termination of the instrument according to its terms.
5.1.001	104B	CONTRACT RECORDS W/OUT TERMINATION DATE (EXCEPT MEDICAL SERVICES)	AC+1	3	AC+4		X		AC=expiration or termination of the instrument according to its terms.
	372	PROCUREMENT FILES	AC	5	AC+5			92-539-140	AC=termination of contract according to its terms. Includes shipping/delivery reports, computer equipment purchases/services contracts (APD) and maintenance/service contracts (non APD).

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5.1.013	650	INSURANCE POLICIES	AC	4	AC+4		X	92-539-141	AC=termination of policy. For vehicles, equipment, etc. Originals held by insurance company. Not vital after closure.
5.1.001	685	EQUIPMENT LEASES	AC	4	AC+4		X	92-539-143	AC=expiration or termination of the instrument according to its terms.
<u>JOINT SERVICES</u>		<u>HUMAN RESOURCE SERVICES</u>			<u>HUMAN RESOURCE SERVICES</u>				
3.1.001	56	EMPLOYMENT APPLICATIONS (APPLICANT NOT HIRED)	1	1	2				Records may include applications, resumes, and related from applicants who applied for a posted position. Material for hired applicants becomes part of Master Personnel Files. 29 CFR 1602.31(a).
3.1.019	1006	PERFORMANCE APPRAISALS	AC	5	AC+5				AC=termination of employment.
3.1.011	1007	EMPLOYEE INSURANCE RECORDS	AC		AC				AC=until superseded or termination of employment.
3.1.024	1044	PHYSICAL EXAMINATIONS/MEDICAL REPORT	AC	2	AC+2				AC=until superseded or termination of employment. Medical or physical examination reports or certificates of employees for whom periodic monitoring of health or fitness is required.
3.1.026	1045	CRIMINAL HISTORY CHECKS	AC		AC				AC=the criminal history record has served the immediate purpose for which it was obtained.
3.3.027	1046	APTITUDE AND SKILLS TESTS	US	2	US+2				29 CFR 1602.31
3.3.028	1047	APTITUDE AND SKILLS TESTS (TEST PAPERS)	2		2				29 CFR 1602.31
3.3.029	1048	APTITUDE AND SKILLS TESTS (VALIDATION RECORDS)	AC+2		AC+2				AC=as long as the test is used by an agency. 29 CFR 1602.31
3.1.014	310	SELECTION & PROMOTION, JOB ANNOUNCEMENT FILES	CE	5	CE+5		X	91-539-053	29 CFR 1602.31
3.1.006	311	SUPERVISOR'S CONFERENCE NOTES	AC+3		AC+3				AC=termination of counseling.
	314M	MASTER PERSONNEL FILES	AC	5	AC+5		X	92-539-156	AC=date of termination.

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RMD 105

Agency Code: 539

Recertification 2012

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3.1.029	316	FEDERAL I-9 EMPLOYMENT ELIGIBILITY VERIFICATION	AC+3		AC+3		X		AC=termination of employment. Retained for three years after date of hire for employees or one year after termination whichever is later. Retention includes both cases. Form does not actually verify citizenship. 8 CFR 274a.2(b)(2)(i)(A) and (c)(2).
3.3.011	318	INACTIVE PERSONNEL MASTER CARDS	AC+5	70	AC+75		X	92-539-178	AC=end of employment. Legacy Department of Human Services records.
3.1.023	322	POSITION/JOB DESCRIPTIONS	AC+4		AC+4		X		AC=until superseded or job eliminated. 40 TAC 815.106(i).
3.3.015	323	JOB AUDITS - POSITION CLASSIFICATION REVIEWS	US+4	3	US+7			92-539-187	
3.1.011	326	UNIFORM GROUP INSURANCE PLAN ADMINISTRATIVE FILES	AC	6	AC+6			92-539-160	AC=until superseded or termination of employment. Contains individual insurance information.
1.1.041	644	EMPLOYEE SUGGESTION SYSTEM	CE	2	CE+2			95-539-244	Suggestions and responses.
3.1.037	648	EMPLOYEE RECOGNITION	AC+5		AC+5				AC=termination of employment. Awards, incentives, tenure, etc.
3.1.021	670	MASTER PERSONNEL FILES (INVOLUNTARY TERMINATIONS)	AC+5		AC+5		X		AC=termination of employment. Legacy Department of Human Services records.
3.3.024	687	PERSONNEL POLICIES AND PROCEDURES	US+3		US+3				
	688	POLICY INTERPRETATIONS	AC	10	AC+10			94-539-225	AC=end of fiscal year in which interpretations are completed
	689	GROUP INSURANCE ADVISORY COMMITTEE (GIAC) FILES	I	19	20			93-539-213	Legacy Department of Human Services records.
3.1.034	823	SELECTION AND PROMOTION - UNSOLICITED APPLICATIONS	CE+1		CE+1				Records consist of resumes, applications, and other applicant materials sent to the agency, but do not correspond to a job announcement.
1.1.006	824	COMPLAINT FILES	AC+5		AC+5				AC=disposition of complaint. Records consist only of complaints.
3.2.007	829	UNEMPLOYMENT COMPENSATION RECORDS	AC+1	4	AC+5				AC=completion of claim. Records include routine feedback from Tx Workforce Commission, notices of appeals, and related.

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3.1.014	918	PRE-EMPLOYMENT DRUG SCREENING TEST RESULTS	I	1	2		X		29 CFR 1602.31
3.3.011	919	FORMER EMPLOYEE VERIFICATION RECORDS	AC	75	AC+75		X		AC=termination of employment.
3.1.018	920	GRIEVANCE RECORDS	AC	2	AC+2		X		AC=final decision on the grievance.
<u>JOINT SERVICES</u>		<u>HUMAN RESOURCE SERVICES</u>		<u>PAYROLL/TIME, LABOR & LEAVE</u>					
3.4.004	1062	OVERTIME AUTHORIZATIONS	FE+5		FE+5				
3.4.005	1063	OVERTIME SCHEDULES	FE+5		FE+5				
3.2.002	122	EMPLOYEE EARNINGS RECORDS	CE+3	2	CE+5		X	91-539-034	40 TAC 815.106(i)
3.2.001	124	EMPLOYEE DEDUCTION AUTHORIZATIONS	AC+5		AC+5		X		AC=after termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.
3.2.003	256	FEDERAL TAX RECORDS	AC+2	3	AC+5		X	91-539-041	AC=tax due date, date claim is filed, or date tax is paid whichever is later.
3.2.004	261	INCOME ADJUSTMENT AUTHORIZATIONS	AC+3	2	AC+5		X	91-539-043	AC=after termination of employee or after amendment, expiration, or termination of authorization, whichever is sooner.
3.2.009	317	STATE DEFERRED COMPENSATION	AC	5	AC+5		X	92-539-168	AC=all accounts with a vendor or vendors for the individual participant have been closed.
3.4.002	325	LEAVE RECORDS	FE	3	FE+3		X	92-539-159	
3.4.001	327	LEAVE ADJUSTMENTS AND REPORTING DOCUMENTS	FE	3	FE+3			91-539-045	
3.2.002	682	PAYROLL REPORTS	FE+2	3	FE+5		X	92-539-145	
3.3.031	775	SICK LEAVE POOL/EXTENDED SICK LEAVE	FE+5		FE+5				
<u>JOINT SERVICES</u>		<u>RISK MANAGEMENT</u>		<u>RISK MANAGEMENT</u>					
5.4.007	380	SAFETY TRAINING - HAZARDOUS MATERIAL	FE	5	FE+5			95-539-238	Tx Health and Safety code, sec. 502.009(g). Includes registration and/or content of courses.

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1.1.043	381	SAFETY TRAINING - OTHER THAN HAZARDOUS MATERIAL	AC	2	AC+2				AC= end of fiscal year in which records are superseded. Registration and/or content of courses.
5.4.003	382	SAFETY ADMINISTRATION RECORDS	AC+I	2	AC+3				AC=end of fiscal year in which the inspection was completed or date of the correction of any deficiency if the inspection report revealed a deficiency. May include inspection records, reports, and related.
5.4.001	383	INDIVIDUAL ACCIDENT REPORTS	CE	5	CE+5		X	92-539-190	29 CFR 1904.33 The Texas Department of Insurance retains copies of the reports submitted to it for 50 years.
5.4.009	788	WORKPLACE CHEMICAL LISTS	30		30				Tx Health and Safety code sec. 502.005(d). Consists of lists of chemicals stored in bulk amounts, used primarily in print shops. Lists are stored on site at this time.
	900	SECURITY INCIDENT REPORT	1	2	3				For summary documentation of security incidents which affect person or property at DADS locations. Used for analysis in determining the best utilization of agency resources when assessing security needs for the workplace.
<u>REGULATORY SERVICES</u>			<u>ENFORCEMENT</u>			<u>PROF CREDENTIALING ENFORCEMENT</u>			
	1003	EMPLOYEE MISCONDUCT REGISTRY	2	3	5				SB 967& Chapter 253 of the Health and Safety Code.
	825	NFA INVESTIGATIVE CASES AND WORKING PAPERS	AC+I	4	AC+5				AC=close of investigation. Program transferred from TDH 09/01/1997.
	833	SANCTION NURSE AIDE AND MEDICATION AIDE FILES	AC	80	AC+80			99-539-282	AC=final action of decision to close case. 42CFR 483.156
<u>REGULATORY SERVICES</u>			<u>ENFORCEMENT</u>			<u>PROVIDER LICENSING ENFORCEMENT</u>			
	750	UNLICENSED FACILITY	PM		PM				SB 344, 80th Legislative Session, Section 247.050
<u>REGULATORY SERVICES</u>			<u>FIELD OFFICES</u>			<u>LEGAL</u>			
	863	ADMINISTRATIVE PENALTY FILES	AC+I	4	AC+5				AC=final decision made. Files relate to nursing facilities.

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1.1.048	864	LITIGATION FILES	AC+10		AC+10	R			AC=as applicable, decision of agency not to file a lawsuit or decision that a lawsuit will not be filed against it on a matter; dismissal of a lawsuit for want of prosecution or on motion of the plaintiff; or final decision of court in a lawsuit.
<u>REGULATORY SERVICES</u>			<u>INSTITUTIONAL SERVICES</u>			<u>CONTRACTS</u>			
4.7.008	722	TITLE XIX CONTRACT MASTER FILES	AC	10	AC+10			93-539-217	AC=satisfaction of all Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments (the Common Rule). Records that are prior to last two ownerships are inactive and stored.
4.7.010	915	NURSING FACILITY SECURITY RECORDS	AC+1	2	AC+3		X		AC=retirement of debt. Bonds or letters of credit for nursing facilities.
<u>REGULATORY SERVICES</u>			<u>LICENSING & CREDENTIALING</u>			<u>DATA/RECORDS</u>			
	1018	INVESTIGATIONS OF UNLICENSED ASSISTED LIVING FACILITIES	PM		PM				Health & Safety Code 247.050 (Senate Bill 344 effective 9-1-07)
	1055	NURSING FACILITY MONTHLY MEDICAID OCCUPANCY REPORT	CE+2	4	CE+6				Report determines an increase or decrease of Medicaid beds within a Nursing Facility.
	655	TITLE XIX NURSING FACILITY MASTER FILES	CE	15	CE+15			92-539-116	Records in this series include record surveys, vendor holds, decertifications, license renewals, hearing and appeals for nursing homes including MR files.
	692	PROVIDER ACKNOWLEDGEMENT OF DOCUMENT RECEIPT	1	14	15			92-539-153	Records support legal functions of the regulatory department
	730	ICF-MR/RC FILES	1	5	6			97-539-273	Intermediate care facilities serving persons with mental retardation and related conditions. HIPAA Compliant.
	736	REPORTS OF RESIDENT DEATH	1	4	5				Monthly Nursing Home reports.
	758	MASTER FACILITY DATA BASE	AC		AC				AC = revocation of license or facility closed.

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2.1.001	766	LTC AUTOMATED FILES	AC+3		AC+3		X		AC=completion of 3rd verification cycle, or audit completion confirming successful transaction processing, or required audit trail maintenance, or the ability to restore or migrate when errors are detected or when hardware or software changes occur.
	820	FACILITY/HOME HEALTH LICENSING & CERTIFICATION FILES	CE	6	CE+6		X	97-539-270	Vital record series protected by regions keeping copies. Includes reports, facility documentation, and notes of certification reviews and related. Includes doctor & nurse notes, etc. Health & Safety Code 242.032. HIPAA Compliant.
	865	LTC - R INTEGRATED	CE+5		CE+5				The use of this database ended 9/2000.
	866	C.A.R.E.S.	CE+5		CE+5				Compliance Assessment Review Enforcement. Database was enacted 9/2000.
<u>REGULATORY SERVICES</u>		<u>LICENSING & CREDENTIALING</u>		<u>NFA LICENSING</u>					
	1002	MEDICATION AIDE FILES	AC+2		AC+2				AC=program/director approved. Waiver of training and competency evaluations.
	733	NURSE AIDE TRAINING	AC+2		AC+2				AC=program/director approved. Waiver of training and competency evaluations.
	826	TEST FILES FOR NFA	I	11	I2			98-539-276	Transferred from TDH 09/01/1997. Includes test results, sign-in sheets, original test copies, keys, etc.
	831	FACILITY NURSE AIDE EMPLOYMENT VERIFICATION RECORDS	CE	3	CE+3			99-539-280	NAR form 5509 and related documents.
	832	NURSE AIDE REGISTRY	AC	3	AC+3			99-539-281	AC=beginning of inactive status of nurse aide in registry or closing of incomplete nurse aide application. NAR form 5506 and related documents.
	834	NURSE AIDE REGISTRY DATABASE	AC	3	AC+3				AC=expiration of database.
	885	NURSING FACILITY ADMINISTRATOR LICENSURE FILES	I	4	I5				Includes first application and renewals.
<u>REGULATORY SERVICES</u>		<u>LICENSING & CREDENTIALING</u>		<u>PROFESSIONAL & TECHNICAL REVIEW</u>					
	1034	MEDICARE ENROLLMENT FOR SKILLED FACILITIES	AC+1		AC+1				AC=termination of two most recent providers.

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	1035	BED ALLOCATION	LA+1		LA+1				Facilities have Bed Allocations regulated by tracking Medicaid, Medicare and Licensed Beds.
<u>REGULATORY SERVICES</u>			<u>SURVEY OPERATIONS</u>			<u>ADMINISTRATION</u>			
5.2.003	737	BUILDING PLANS/SPECIFICATIONS	LA	3	LA+3	R	X	94-539-227	Blueprints of facilities. Purge three years after facility closes.
<u>REGULATORY SERVICES</u>			<u>SURVEY OPERATIONS</u>			<u>WAIVER SURVEY & CERTIFICATION</u>			
	1041	RESIDENTIAL REVIEWS	3	3	6				Findings of annual visits to all Home and Community-Based Services' residences in which supervised living, residential support and foster/companion care is provided.
	940	WAIVER SURVEY & CERTIFICATION PACKETS	3	3	6				Packet consists of survey, letters, evidence collected, review process documentation.
	941	ABUSE/NEGLECT/EXPLOITATION REPORTS & COMPLAINT FOLLOWUP	3	3	6				Screens & processes reports received from DFPS, HSC & TxHML with complaint followup.
<u>STATE SUPPORTED LIVING CENTERS</u>			<u>FACILITIES</u>			<u>FACILITIES</u>			
	1004	CLIENT RECORDS AFTER DEATH	AC+5	5	AC+10				AC=Client's Death. Agency item number 1013 replaces this item.
	1013	CLIENT RECORDS	AC+5	5	AC+10			12-539-336	AC=last service date for client or 30th birthday, whichever is longer.
	1014	OBSERVATION NOTES	5		5				Information is summarized annually at client's staffing.
	1015	DETERMINATION OF MENTAL RETARDATION (DMR)	AC+30		AC+30				AC=last service date or 21st birthday, whichever is later.
	1016	INFECTION CONTROL - EXPOSURE	30		30				Includes employee and patient exposures. Employee requirement found in OSHA 29 CFR 1910.1020(d)(1) & 29 CFR 1910.1030.
	1019	INFECTION CONTROL REPORTS (MONTHLY AND ANNUALLY)	4		4				

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	1020	INFECTION CONTROL RISK ASSESSMENTS	4		4				
	1021	AUTHORIZATION TO RELEASE CONFIDENTIAL INFORMATION (HIPAA)	AC+6		AC+6				AC=authorization's expiration date. 45 CFR 164.530(j)(1)-(2)
	1022	RECORD OF HIPAA-AFFECTED DISCLOSURES	AC+6		AC+6				AC=date of disclosure. 45 CFR 164.530(j)(1)-(2)
	1023	HIPAA PRIVACY DOCUMENTATION (INCLUDING LETTERS, MEMOS, FORMS)	6		6				45 CFR 164.530(j)(1)-(2)
	1024	CLIENT TRUST FUND	FE	3	FE+3				
	1029	DAILY PATIENT/CLIENT COUNT	5		5				
	1032	VIDEO SURVEILLANCE FOOTAGE REVIEW LOG	1		1				
	1033	VIDEO SURVEILLANCE CAMERA MAINTENANCE INSPECTION LOG	AC+1	2	AC+3				AC=after closed
	1036	VIDEO SURVEILLANCE DATA REQUEST	AC	1	AC+1				AC=after closed.
	1037	VIDEO SURVEILLANCE CHANGE MANAGEMENT REQUEST	AC+1	3	AC+4				AC=after closed.
	1038	CLIENT RECORDS (MICROFORMS)	AC	68	AC+68			11-539-335	AC=9/1/2004 Health & Human Services Consolidation. This record series is reserved for facilities that are unable to isolate the individual records eligible for destruction in Agency #1013.
5.2.019	1040	SERVICE ORDERS	1		1				Agency copy of forms completed by mechanical service personnel for installation or repair. Includes billing code, service, labor, parts, and remarks.
	1043	CLIENT RECORDS (MICROFICHE)	AC	68	AC+68			12-539-337	AC=9/1/2004 Health & Human Services Consolidation. This record series is reserved for facilities that are unable to isolate the individual records eligible for destruction in Agency #1013.

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966		ABUSE & NEGLECT	AC		AC		X		AC=10 years from date of the commission of the offense or 10 years from the 18th birthday of the victim. (Code of Criminal Procedure Art. 12.01) if biological material is collected, a new record series must be used.
967		CLINICAL/MEDICAL X-RAYS	AC+3	4	AC+7				AC=Date of X-ray or if patient was younger than 18 years of age when treated the X-ray shall be maintained until the patient reaches age 21 or the seven years from date of x-ray, whichever is longer. 22TAC§165.1
968		CONTROLLED SUBSTANCE	1	1	2				
969		DEATH REVIEWS	2	3	5				
970		EMPLOYEE VACCINATION RECORDS	2	8	10				
972		CLIENT RECORDS (CORE)	AC+5	5	AC+10				AC=Client's discharge or 21st birthday of minor, whichever is later. Agency item number 1013 replaces this item.
<u>STATE SUPPORTED LIVING CENTERS</u>			<u>MANAGEMENT SUPPORT OVERSIGHT</u>			<u>MANAGEMENT SUPPORT OVERSIGHT</u>			
1005		CARE SYSTEM	AC+7		AC+7				AC-completion or termination of program.

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