Schedule 150-1-1-1-1-4

DEPARTMENT OF HEALTH AND HUMAN SERVICES
ECONOMIC AND FAMILY SUPPORT

APRIL 6, 2009

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559
REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE

TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA

SCHEDULE
150-1-1-1-4

AGENCY, BOARD OR COMMISSION
DEPARTMENT OF HEALTH AND HUMAN
SERVICES

DIVISION, BUREAU OR OTHER UNIT
ECONOMIC AND FAMILY SUPPORT
Supersedes Edition of July 31, 2006

PART I – AGENCY STATEMENT:
In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE

TITLE

DATE

PART II – APPROVAL OF STATE ARCHIVES:
The attached schedule has been analyzed, all archival and historical material has been properly identified, no disposition except by transfer to the State Archives has been recommended for such material, and this schedule is approved as submitted.

SIGNATURE

DATE

3/25/09

PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:
The attached schedule has been reviewed, all audit material has been properly identified, and this schedule is approved as submitted.

SIGNATURE

DATE

3/26/09

PART IV – APPROVAL OF STATE RECORDS ADMINISTRATOR:
The attached schedule has been reviewed in accordance with Section 84-1212.01, R.R.S. 1943, and is approved as submitted.

SIGNATURE

DATE

4/6/2009

RMA 01005D
INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guideline for storing and disposing of agency records, regardless of the media on which they reside, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. This schedule was written specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. These retention schedules, which are approved by the State Records Administrator, provide your only ongoing authority to dispose of records. Listed below are some basic procedures to follow when applying your schedule.

DISPOSING OF RECORDS

1. Check your schedules to see what the retention period is. Note: Your agency’s unique schedule will take precedence over State Agencies General Records Schedule #124 for any items which have differences in retention requirements.

2. Dispose of records that have met their retention periods.

3. For records requiring a review or transfer to the NE State Historical Society (State Archives), your agency is required to contact the State Archives and negotiate the transfer. Additionally, once the records are accessioned to their collection, they become the possession of the State Archives. Please contact their office by calling (402) 471-4783.

4. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. If you wish, you may receive this form electronically by contacting the Records Management Division. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Specialist in Records Management to see whether the records will fit under an item already on the schedule. If they do not, they must be retained until they are added to the next revision of your schedule.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. A Records Management Specialist in Records Management can assist you with the schedule update, which may involve adding new records series and making revisions to existing items. Keeping your schedule current will ensure you have the ongoing authority to discard records when their useful life has ended.

QUESTIONS

If you have any questions about these procedures, please contact your agency Records Officer or your Records Management Specialist in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or microfilming records, scanning records, etc.

Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE  68508-2294
402-471-2559
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DEPARTMENT OF HEALTH AND HUMAN SERVICES
ECONOMIC AND FAMILY SUPPORT

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SCHEDULE 150-1-1-1-4 – DEPARTMENT OF HEALTH AND HUMAN SERVICES – ECONOMIC AND FAMILY SUPPORT

150-1-1-1-4-1  BENEFICIARY DATA EXCHANGE
Data from the Social Security Administration on clients by DHHS request. It includes old age, survivors, disability benefit, and some buy-in data.

ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.¹
ELECTRONIC RECORD: Dispose of after superseded.

150-1-1-1-4-2  DISASTER RECOVERY BACK-UPS FOR ELECTRONIC RECORDS
Back-up tapes or other storage media are only to be used for system restoration in the event of a disaster. Disaster recovery back-ups are never to be used or considered for records access, archiving or management purposes. Tapes will be maintained and then overwritten or destroyed following these rotations:

E-MAIL RECORDS: See Schedule 124.
ALL OTHER ELECTRONIC RECORDS:
Daily (M-F): Dispose of after 1 week.
Weekly (Sunday): Dispose of after 3 weeks.
Monthly: Dispose of after 1 year.

150-1-1-1-4-3  ECONOMIC ASSISTANCE CASE FILES
Files may include, but not limited to:

IPV/Disqualifications: Demand Letter, Intentional Program Violation Documentation (IPV), Monthly Billing Statements, Referral for Investigation (ASD-63), Request for Voluntary Repayment (IM-64), and Sanction/Disqualification Documentation.

Hearing: Action Taken on Disqualification Hearing – Not Guilty (FSP-58A), Action taken on Disqualification Hearing (FSP-58), Action Taken on Disqualification Hearing (FSP-59), Advanced Notice of Administrative Disqualification Hearing (FSP-56), Appeal Decisions, Appeal Requests and Supporting, Documentation, Notice and Petition for Fair Hearing (DA-6), and Waiver of Administrative Hearing (FSP-57).

Medical Transportation, Mortgage Papers, Moving Expenses, Nebraska Low Income Energy Assistance Program Provider Certification (IM-52), Nebraska Low Income Energy Assistance Program Refunds/Cancellations, (IM-12) Warrant Information Request (FA-29), Payment History, Purchase and Prepare Statement Real Estate Tax Statement, Rental Lease, Service Animal Maintenance, Shelter Receipts, Subsistence to Obtain Medical Care, Tools, Transportation, Transportation Receipt, Tuition/Book, Utility Bills and Utility Receipts.


Confidential: Worker Controlled.


Work Requirements: Assessment Guide (WP-10), Employment First Domestic Violence Screening Form (WP-7), Employment First Participant Assessment Form (WP-4A), Employment First Self sufficiency Contract (WP-6), Employment First Service Plan (WP-4C), Employment First Support Status Change Form (WP-3), Employment First/Food Stamp Referral and Communication Forms (WP-FS-1), Employment First/Food Referral and Communication Form (WP-FS-1), Release of Information for Workfare (FSP-43), Vocational Rehabilitation Referral (IM-2), Waiver of ADC Statement and Workfare Status Reports.

Child Care & Social Services Block Grant: Assessment, Child Care Schedule, Exception Request, Service Plan, and Understanding the Child Care Subsidy Program (CC-I).

Unknown: Documents that can’t be categorized.
Child Support: Acknowledgement of Paternity (CSE-12), Child Support Payment, Notice of Requirement to Cooperate and Right to Claim Good Cause (CSE-22), and Supporting Documentation for Child Support (CSE-97).
Organization: Provider documents.
PRIOR TO OCTOBER 2009: Transfer to the State Records Center immediately; dispose of 6 years after the closed date of the case file.
AFTER NOVEMBER 2009: Scan to network and dispose of after 30 days.
ELECTRONIC RECORD: Dispose of after 6 years.

**150-1-1-1-4-4** EMPLOYMENT FIRST
Files contain records and correspondence related to EMPLOYMENT FIRST PROGRAM. Dispose of after 4 years.

**150-1-1-1-4-5** FEDERAL ENERGY GUIDELINES
Various manuals with Federal guidelines for low energy assistance energy program etc. and reference materials, therein. Dispose of after 3 years.

**150-1-1-1-4-6** FEDERAL REVIEWS
Federal reviews of the Economic Assistance Programs. Dispose of after 4 years.

**150-1-1-1-4-7** FOOD DISTRIBUTION PROGRAM OFFERING REQUEST (Form FDP-115)
Form used to describe and offer USDA foods to recipient agency on a pro-rated basis. Dispose of 3 years after end of the federal fiscal year, provided audit has been completed.¹

**150-1-1-1-4-8** INTEGRATED UNEMPLOYMENT COMPENSATION
Records from the Department of Labor, determining unemployment compensation on DHHS clients. ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.¹ ELECTRONIC RECORD: Dispose of after superseded.

**150-1-1-1-4-9** INTEGRATED WAGE DATA
IRS information from clients W-2 form, received from the Social Security Administration. ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.¹ ELECTRONIC RECORD: Dispose of after superseded.

**150-1-1-1-4-10** NEBRASKA LOW INCOME ENERGY, HOME ENERGY OR EMERGENCY ENERGY
Records from energy assistance program, whereby DHHS assists clients with fuel bills and may include documents relating to the crisis program. Dispose of after 3 years, provided audit has been completed.¹

**150-1-1-1-4-11** PAYMENT OF MEDICARE CLIENT’S PART B PREMIUMS
Records reflecting the buy-in system, whereby DHHS lets the Health Care Financing Administration (HCFS) know DHHS is paying the premium, and to notify Social Security not to deduct the premium from the SSA benefits. ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.¹ ELECTRONIC RECORD: Dispose of after superseded.
150-1-1-1-4-12 POLICY/PROCEDURE & TRAINING FILES
Various manuals and reference materials.  
Transfer to the State Archives after superseded or no longer applicable.

150-1-1-1-4-13 POLICY QUESTIONS
Data for policy inquiries by field staff sent to Economic Assistance via Microsoft Exchange.  
ELECTRONIC RECORD: Dispose of after superseded.

150-1-1-1-4-14 PROVIDER CONTRACTS
Contracts with various providers who provide services to DHHS clients.  
Dispose of after 3 years, provided audit has been completed.¹

150-1-1-1-4-15 RECIPIENT UPDATE (Form FDP-122DE)
Form used to update or change recipient agency information such as: mailing address, Average Daily Participation, recipient number etc.  
Dispose of 3 years after end of the federal fiscal year, provided audit has been completed.¹

150-1-1-1-4-16 REFUGEE REPORTS
These are reports for the Refugee Program.  
Dispose of after 4 years.

150-1-1-1-4-17 REFUGEE RESETTLEMENT
Correspondence and related materials concerning the refugee program.  
Dispose of after 7 years.

150-1-1-1-4-18 REQUISITION, FOOD
Form used to requisition food items made available by U.S.D.A.  
Dispose of after 3 years, provided audit has been completed.¹

150-1-1-1-4-19 STATE DATA EXCHANGE
Data from the Social Security Administration, on every Supplemental Security Income client within the State of Nebraska.  
ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.¹  
ELECTRONIC RECORD: Dispose of after superseded.

150-1-1-1-4-20 STATE PLANS
Plans include Energy Plans, TANF Plan and Title 19 Plan.  
Dispose of after 4 years, subject to review by the State Archives for possible accession.

150-1-1-1-4-21 STRAIGHT BILL OF LADING (Form FDP-112)
Form shows issuance and receipt of USDA foods and charges to recipient agency.  
Dispose of 3 years after end of the federal fiscal year, provided audit has been completed.¹

150-1-1-1-4-22 WELFARE CLIENT ELIGIBILITY
Previously known as ADC, AABD, SDP, and Medicaid, now known as PAE.  
Dispose of after 3 years, provided audit has been completed.¹
NOTE

1. These records may be disposed of after the required retention period provided the audit of the Comprehensive Annual Financial Report (CAFR) is complete and any required federal audit is complete, and all related audit comments have been resolved. Check with the organization that performed the audit, either the Auditor of Public Accounts or the federal cognizant agency, if there is a question whether resolution is complete.
RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE
RECORDS MANAGEMENT DIVISION
440 S. 8TH STREET SUITE 210
LINCOLN, NE 68508-2294

REQUIRED INFORMATION:
In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

<table>
<thead>
<tr>
<th>SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)</th>
<th>TOTAL VOLUME DISPOSED (SEE REVERSE)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

OPTIONAL INFORMATION (FOR YOUR USE ONLY):
You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.
RMA 03006D
VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

<table>
<thead>
<tr>
<th>Container</th>
<th>Cubic Feet</th>
<th>Weight (lbs)</th>
<th>Sheets of Paper (8.5” x 11”)</th>
<th>Electronic Data Equivalent</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A</td>
<td>N/A</td>
<td>2,204 lbs (1 metric ton)</td>
<td>220,000</td>
<td>4.1 Gb</td>
</tr>
<tr>
<td>Records center carton</td>
<td>1 Cu. Foot</td>
<td>16.66 lbs</td>
<td>1,667</td>
<td>32 Mb</td>
</tr>
<tr>
<td>Vertical File Cabinet, 4 drawer letter-size</td>
<td>6 Cu. Feet</td>
<td>100 lbs</td>
<td>10,000</td>
<td>190 Mb</td>
</tr>
<tr>
<td>Vertical File Cabinet, 4 drawer legal-size</td>
<td>8 Cu. Feet</td>
<td>133.3 lbs</td>
<td>13,333</td>
<td>254 Mb</td>
</tr>
<tr>
<td>About a pickup load</td>
<td>50 Cu. Feet</td>
<td>7,500 lbs</td>
<td>748,638</td>
<td>14 Gb</td>
</tr>
</tbody>
</table>