

Schedule 150-1-1-1-4

**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 150-1-1-4
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

Tore A. Lane

TITLE

DIRECTOR, DIVISION OF CHILDREN AND FAMILY SERVICES

DATE

3/25/09

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

Luzon Kauter

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

Deann Huffman

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

Jan D. Lee

DATE

April 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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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:

Permanent verification: Adoption Papers, Alien Registration Card (I-551), Alien Registration Receipt Card (I-151), Arrival – Departure Record (I-94), Baptismal, Birth Certificates, Census Record, Certificate of Citizenship (N-560 or N-561), Certificate Request (IM-22), Church Record, Citizenship Papers, Corrections Institutional Record, Death Certificate, Document Verification Request (G-843), Driver's License, EDC (Expected Date of Confinement); Employment Authorization Document (I-688B or I-766), Family Bible, Hospital Birth Record, Indian Census Records, Marriage License, Memoriam Card, Newspaper Notice, Paternity Acknowledgement, Paternity Declaration, Refugee Travel Document I-571), Social Security Card, State ID Card, Supplement, Other Immigration Documents, Passport – U.S. or Foreign, Court Order and Supporting Documentation, Guardian Conservator Report, Law Enforcement Record, Power of Attorney Record, Trust Documentation, Will, Domestic Violence Record, Drug Rehabilitation Record, Military Service Record.

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.

Resources: 401K Statement, Agreement to Sell Real Property and Repay Assistance (IM-1), Assessment of Resources (IM-73), Assessor Record, Bank Statement, Burial Fund Statement, Burial Lot Record, Dealer Statement, Debit Card Statement, Designation of Resources (IM-74), Fund Raiser (Community) Documents, IRA Statement, Life Estate Record, Life Insurance, Property Verification, Real Estate Deeds, Savings Bonds, Stock Investment Account Statement, Vehicle Title & Registration, and Other Verification Request – Nebraska Health and Human Services System (EA-150).

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.

Income: Earned Income Verification Form (EA-300), Employer Contracts (current/prior employees), Employer Statements (Letters, Telephone), Federal Tax Forms and Documentation, Financial Aid Award Letter, Gambling Income Letter, Insurance Settlement, Interest, Lay Off Notice, Pay Record, Pay Stubs, QRF (Quarterly Report Form), Self Employment Ledger, Self Employment Record, Social Security Documentation, Tip Ledger, Unemployment Compensation Benefits Statement, Union Record, Wage and Tax Statement (W-2), Withholding Record, Workman's Compensation Document.

Correspondence: Address Information Request (ASD-10), Authorization for Release of Information (ASD-46), Client Verification Checklist (EA-4), Collateral Contract, Incident Report, Postmaster Returns Guardianship/POA Consent Letter, and Question Referral (ASD-17).

Confidential: Worker Controlled.

Medical: Disability Report (DM-5R), Doctor Statement, Drug Treatment Record, EPSDT (Early & Periodic Screening Diagnosis and Treatment, Incapacity Statement (CC-3E), Insurance Card, MC9-AD, Medical Record, Physician's Confidential report (DM-5), Physician's Disability Determination (MILTC)-3B), Physician's Report on Hearing Loss (DM-5H), Policies, Prior Authorization Document Adjustment (MC-10), Prior Authorization for Assisted Living (MC9-AL), Prior Authorization for Nursing Facility Care (MC9-NF), Priority Conditions for Cooling Assistance Checklist (IM-55) Medical, Assistance Notice of Requirement to Cooperate and Right to Claim Good Cause (IM-60), Recipient Choice of Lock-in Provider Agreement (MC-66), Social Study (DM-12D), and Worker's Compensation Medical Document.

Education: Report Card, School Records and School Schedules.

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	AGENCY
	DIVISION
	SUB-DIVISION

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):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

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.

DATE	SIGNATURE
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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.)

Container	Cubic Feet	Weight (lbs)	Sheets of Paper (8.5" x 11")	Electronic Data Equivalent
			1	20 Kb
			52	1 Mb (1024 Kb)
			53,687	1 Gb (1024 Mb)
N/A	N/A	2,204 lbs (1 metric ton)	220,000	4.1 Gb
Records center carton	1 Cu. Foot	16.66 lbs	1,667	32 Mb
Vertical File Cabinet, 4 drawer letter-size	6 Cu. Feet	100 lbs	10,000	190 Mb
Vertical File Cabinet, 4 drawer legal-size	8 Cu. Feet	133.3 lbs	13,333	254 Mb
About a pickup load	50 Cu. Feet	7,500 lbs	748,638	14 Gb