Schedule 150-3-1-1

HEALTH AND HUMAN SERVICES SYSTEM

DEPARTMENT of HHS – FINANCE & SUPPORT

VITAL RECORDS

Nebraska Records Management Division

REQUEST FOR APPROVAL OF RECORDS RETENTION AND DISPOSITION SCHEDULE

	SCHEDULE NUMBER: 150-3-1-1
	AGENCY, BOARD OR COMMISSION: Health and Human Services System
TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA	DIVISION, BUREAU OR OTHER UNIT: Vital Records
	Supersedes 35-22 Edition of June 30, 1994

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 * Stephen B Carter	
TITLE DIRECTOR HHSS - FINANCE & SUPPORT	DATE 3/23/01

PART II – ARCHIVAL APPROVAL

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 * Andrea I. Faly STATE ARCHIVIST	DATE March 27, 2001

PART III – APPROVAL BY 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 * Jim D Lee ADMINISTRATOR	DATE 4/2/01

RMA 01005D

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines for disposing, storing, and microfilming office records. This schedule was written specifically for records unique to your office and the 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 General Records Schedule #124 for any items which have differences in retention requirements.

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

3. 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. This report establishes that the destruction was done in your normal course of business.

   Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

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

For obsolete or one-time records, an Application for Authority for Records Action form may be submitted to the State Records Board for approval to destroy. Contact a Records Management Consultant to obtain this form.

SCHEDULE UPDATE

It is the responsibility of each agency to periodically update their schedule. Your Records Management Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that 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 a Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, etc.

Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
471-2559

printed on recycled paper

INDEX

Health & Human Services System
Department of HHS - Finance and Support
Vital Records

	Item	Page
ACCESS FOR RELEASE OF BIRTH INFORMATION/MEDICAL HISTORY FORMS	150-3-1-1-26	4
ADOPTION DECREES AND REPORTS AND ORIGINAL BIRTH CERTIFICATES	150-3-1-1-7	2
AMENDMENTS	150-3-1-1-21	4
APPLICATION FOR DISINTERMENT PERMIT/DISINTERMENT PERMIT/REPORT OF DISINTERMENT	150-3-1-1-15	3
BIRTH CERTIFICATES	150-3-1-1-2	1
BIRTH QUERIES	150-3-1-1-12	2
BURIAL-TRANSIT PERMITS (Out-of-State)	150-3-1-1-14	3
CASKET SALES REPORTS	150-3-1-1-11	2
CORRECTION ROLL COPIES	150-3-1-1-27	5
CREDIT CARD AND CYBERCACHE RECEIPTS	150-3-1-1-28	5
CASH REGISTER JOURNAL OR TAPES	150-3-1-1-23	4
DEATH CERTIFICATES	150-3-1-1-3	1
DEATH QUERIES	150-3-1-1-13	2
DISHONORED CHECKS	150-3-1-1-29	5
DISHONORED CHECK REPORT	150-3-1-1-30	5
DIVORCE AND ANNULMENT QUERIES	150-3-1-1-17	3
DIVORCE CERTIFICATES (DISSOLUTIONS OF MARRIAGE)	150-3-1-1-5	1
FETAL DEATH CERTIFICATES	150-3-1-1-6	1
INDEXES	150-3-1-1-1	1
INTERNET REQUESTS	150-3-1-1-31	5
INSPECTION LOGBOOK	150-3-1-1-22	4
LEGITIMATION RECORDS	150-3-1-1-8	2
MARRIAGE CERTIFICATES	150-3-1-1-4	1
MARRIAGE QUERIES	150-3-1-1-16	3
MATERNITY REPORTS	150-3-1-1-9	2
MONTHLY REPORT OF MARRIAGES, DIVORCES AND ANNULMENTS	150-3-1-1-18	3

MONTHLY VITAL STATISTICS REPORT 150-3-1-1-19 3
MORTALITY DISTRIBUTION REPORT 150-3-1-1-20 3

PATERNITY RELATED CLAIM FORMS.....150-3-1-1-32 5

REFUND CHECKS, BANK STATEMENTS,
RECONCILIATIONS 150-3-1-1-24 4
REPORTING FORMS OF INDUCED TERMINATION
OF PREGNANCY 150-3-1-1-10 2
REQUEST FOR COPIES.....150-3-1-1-25 4

RECORDS MANAGEMENT **150-3-1-1-2** **5**

INSTRUCTION PACKETS.....150-3-1-1-2-3 6

RECORDS DISPOSITION REPORTS.....150-3-1-1-2-1 5
RECORDS MANAGEMENT MATERIALS 150-3-1-1-2-2 5

SECURITY MICROFILM TRANSFER FORMS 150-3-1-1-2-4 6

HEALTH AND HUMAN SERVICES SYSTEM
Department of HHS - FINANCE & SUPPORT

SCHEDULE NO. 150-3-1-1 VITAL RECORDS

150-3-1-1-1 INDEXES

Indexes which list births, deaths, fetal deaths, marriages and divorces, maintained by name in sound-ex order. Early indexes are ledgers. Current system utilizes microfiche.

PAPER RECORD: Microfilm for security; retain permanently.
ELECTRONIC DATA: Backup as required; retain permanently.
SECURITY COPY: Backup as required; retain permanently.
SECURITY MICROFILM: Transfer to State Archives; retain permanently.
MICROFILM WORK COPY: Retain permanently.

150-3-1-1-2 BIRTH CERTIFICATES

Includes delayed birth certificates and rescanned (newly created original) birth certificates. Certificates, 1930-1939, 1950 to present, are on optical disk (OD).

ORIGINAL RECORD: Microfilm for security; retain permanently.
SECURITY MICROFILM: Transfer to State Archives; retain permanently.
MICROFILM WORK COPY: Retain permanently.
OD WORK COPY: Retain permanently.
OD SECURITY COPY: Transfer to State Records Center; retain permanently.

150-3-1-1-3 DEATH CERTIFICATES

ORIGINAL RECORD: Microfilm for security; retain permanently.
SECURITY MICROFILM: Transfer to State Archives; retain permanently.
MICROFILM WORK COPY: Retain permanently.

150-3-1-1-4 MARRIAGE CERTIFICATES

ORIGINAL RECORD: Microfilm for security; retain permanently.
SECURITY MICROFILM: Transfer to State Archives; retain permanently.
MICROFILM WORK COPY: Retain permanently.

150-3-1-1-5 DIVORCE CERTIFICATES (DISSOLUTIONS OF MARRIAGE)

Annulment and dissolution of marriage certificates.

ORIGINAL RECORD: Microfilm for security; retain permanently.
SECURITY MICROFILM: Transfer to State Archives; retain permanently.
MICROFILM WORK COPY: Retain permanently.

150-3-1-1-6 FETAL DEATH CERTIFICATES

ORIGINAL RECORD: Microfilm for security; retain permanently.
SECURITY MICROFILM: Transfer to State Archives; retain permanently.
MICROFILM WORK COPY: Retain permanently.

150-3-1-1-7 ADOPTION DECREES AND REPORTS AND ORIGINAL BIRTH CERTIFICATES

Adoptive birth certificates are prepared by Vital Records from information provided in the reports of adoption, information sheets and decrees of adoption. Original birth certificate is closed. These documents are used to establish and file the adoptive birth certificates; are confidential and not available to inspection except upon a court order, §71-626-01 R.R.S. 1943. Item # 150-3-1-1-26, Medical History Forms, are transferred into this record series.

ORIGINAL BIRTH CERTIFICATE: Microfilm for security; retain permanently.
ADOPTION DECREE: Microfilm and destroy.
MEDICAL HISTORY FORM: Microfilm and destroy.
SECURITY MICROFILM: Transfer to State Archives; retain permanently.
MICROFILM WORK COPY: Retain permanently.

150-3-1-1-8 LEGITIMATION RECORDS

Issue of new birth certificates for children who have been legitimated by the subsequent marriage of their parents. Paternity acknowledgements, certified copies of marriage records and the information for the new birth certificates are furnished in support of request for issuance of new birth certificates.

ORIGINAL RECORD: Microfilm and destroy.
SECURITY MICROFILM: Transfer to State Archives; retain permanently.
MICROFILM WORK COPY: Retain permanently.

150-3-1-1-9 MATERNITY REPORTS

Monthly reports of births from hospitals. Records sex and date of birth of each child, names and addresses of parents and attending physician.

Dispose of after 2 years.

150-3-1-1-10 REPORTING FORMS OF INDUCED TERMINATION OF PREGNANCY

These abortion-reporting forms are sent to the Division of Health Data Systems for compilation of statistics.

Dispose of 2 years after returned from the Division of Health Data Systems.

150-3-1-1-11 CASKET SALES REPORTS

Retailers' monthly sales reports, which include name and address of purchaser, name of deceased, date and place of death.

Dispose of after 2 years.

150-3-1-1-12 BIRTH QUERIES

When an incomplete birth certificate is filed, this standardized inquiry form is sent as an information request. The information is recorded on the inquiry form and returned to Vital Records for transcription to the birth certificate.

Dispose of 2 years after transcription to birth certificate.

150-3-1-1-13 DEATH QUERIES

When an incomplete death certificate is filed, this standardized inquiry form is sent as an information request. The information is recorded on the inquiry form and returned to Vital Records for transcription to the death certificate.

Dispose of 1 year after transcription to death certificate.

150-3-1-1-14 BURIAL-TRANSIT PERMITS (Out-of-State)

Authorization for initial transit of a deceased person, issued in accordance with the law of the State in which the death occurred, other than Nebraska.

Dispose of after 1 year.

150-3-1-1-15 APPLICATION FOR DISINTERMENT PERMIT/ DISINTERMENT PERMIT/REPORT OF DISINTERMENT

Application records name and address of applicant, his relationship to the deceased, name of the deceased and where buried, where deceased will be reburied, means of transportation to be used and permit number. Dis-interment Permit, issued by Vital Records, is retained by the cemetery where dis-interment took place. After completion of dis-interment and re-interment or shipment, funeral director in charge forwards the Report of Dis-interment to Vital Records. Both permit and report record permit number, name of deceased, where disinterred and where reburied or shipped.

Dispose of after 1 year.

150-3-1-1-16 MARRIAGE QUERIES

When an incomplete marriage report is filed, the inquiry form is sent as an information request. The information is recorded on the form and returned to Vital Records for transcription to the marriage certificate.

Dispose of 1 year after transcription to marriage certificate.

150-3-1-1-17 DIVORCE AND ANNULMENT QUERIES

When an incomplete divorce or annulment report is filed, this standardized inquiry form is sent as an information request. The information is recorded on the inquiry form and returned to Vital Records for transcription to the divorce and annulment certificate.

Dispose of 1 year after transcription to certificate.

150-3-1-1-18 MONTHLY REPORT OF MARRIAGES, DIVORCES AND ANNULMENTS

The number of marriages, divorces and annulments are reported each month to the National Center for Health Statistics, Rockville, MD.

Dispose of after 1 year.

150-3-1-1-19 MONTHLY VITAL STATISTICS REPORT

The number of birth, death and infant deaths are reported each month to the National Center for Health Statistics, Rockville, MD.

Dispose of after 1 year.

150-3-1-1-20 MORTALITY DISTRIBUTION REPORT

Reports to the National Center for Health Statistics, Research Triangle Park, N.C. Reports are prepared from a 10% sampling of total monthly deaths.

Dispose of after 1 year.

150-3-1-1-21 AMENDMENTS

Amendments to Birth, Death, Marriage and Divorce Certificates. Consists of court orders changing persons' names, affidavits and documentary evidence filed with Vital Records in support of requested corrections or revisions.

ORIGINAL RECORD: Microfilm and destroy.
SECURITY MICROFILM: Transfer to State Archives; retain permanently.
MICROFILM WORK COPY: Retain permanently.

150-3-1-1-22 INSPECTION LOGBOOK

Logbook lists microfilm corrections and retakes. Includes roll and document number and why the document needs to be retaken.

Retain permanently.

150-3-1-1-23 CASH REGISTER JOURNALS OR TAPES.

Cash register tapes.

Dispose of 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.[1] See Records Retention Schedule Item #124-1-9.

150-3-1-1-24 REFUND CHECKS, BANK STATEMENTS, RECONCILIATIONS

Checks from Vital Records to the public for copy overpayments and bank statements and reconciliation records.

Dispose of according to Records Retention Schedule Items # 124-1-8 and #124-1-5.

150-3-1-1-25 REQUEST FOR COPIES

Correspondence from the public requesting copies of various records. These are returned with or without the certificate to the requestor. Requests that require further action by Vital Records are filed and maintained for 3 years. Requestor information is entered onto database.

CORRESPONDENCE: Transfer to State Records Center after 2 years; dispose of after a total of 3 years, provided audit has been completed.[1]
ELECTRONIC DATA: Backup as required; dispose of after 3 years, provided audit has been completed.[1]
SECURITY COPY: Backup monthly; dispose of after 1 year.
ALL OTHER COPIES: Dispose of after 3 years.

150-3-1-1-26 ACCESS FOR RELEASE OF BIRTH INFORMATION/MEDICAL HISTORY FORMS

These forms are required to be filed in Vital Records by those Nebraska-born persons who have attained the age of twenty-five and were adopted prior to September 1, 1988.
Nebraska-born persons who have attained twenty-one years of age and were relinquished for adoption on or after September 1, 1988 are also required to file the access forms. Medical histories of these persons are also required to be filed with Vital Records after September 1, 1988 only. The name and addresses of biological parents and/or siblings are released in accordance with the Statutes upon receipt of the required forms.

ACCESS FOR RELEASE OF BIRTH INFORMATION: Retain permanently.
MEDICAL HISTORY FORMS: Transfer to Item # 150-3-1-1-7, Adoption Decrees and Reports and Original Birth Certificates.

150-3-1-1-27 CORRECTION ROLL COPIES

Microfilmed certificates which have had corrections made to the face of the original paper certificate.

CORRECTED PAPER CERTIFICATE: Microfilm and destroy.
MICROFILM WORK COPY: Retain permanently.
MICROFILM SECURITY COPY: Transfer to State Archives; retain permanently.

150-3-1-1-28 CREDIT CARD AND CYBERCACHE RECEIPTS

Receipts received through transactions done by credit cards.

Dispose of according to Records Retention Schedule Item # 124-1-44.

150-3-1-1-29 DISHONORED CHECKS

Checks received for records, which were not collectable.

Dispose of after 3 years, provided audit has been completed.[1]

150-3-1-1-30 DISHONORED CHECK REPORT

Listing of dishonored checks.

Dispose of after 3 years, provided audit has been completed.[1]

150-3-1-1-31 INTERNET REQUESTS for BIRTH CERTIFICATES

Birth certificate requests received via the Vital Records website. .

PAPER RECORD: Transfer to State Records Center after 2 years; dispose of after a total of 3 years, provided audit has been completed. [1]
ELECTRONIC DATA: Backup as required; dispose of after 3 years, provided audit has been completed. [1]
SECURITY COPY: Backup monthly; dispose of after 1 year.

150-3-1-1-32 PATERNITY RELATED CLAIM FORMS

May include the notice of intent to claim paternity forms and certificates of no notice of intent to claim paternity forms pursuant to Nebraska Revised Statutes, Sec. 43-104.02 to 43-104.05. If a father files a notice of intent to claim paternity form within five days after the birth of a child, the Department sends a copy of such form to the mother. Also, if a notice of intent to claim paternity is not filed, the Department will supply a certificate to such effect to the mother or her agent.

Dispose of 5 years after final disposition of the case.

RECORDS MANAGEMENT

150-3-1-1-2-1 RECORDS DISPOSITION REPORTS

Copies of reports of records destroyed, shredded or disposed.

Dispose of according to Records Retention Schedule Item # 124-1-176.

150-3-1-1-2-2 RECORDS MANAGEMENT MATERIALS

Includes information from seminars, continuing education, brochures used to teach, legislative materials, Secretary of States rules, notes on progress made by various units or divisions, etc.

Dispose of after 1 year.

150-3-1-1-2-3 INSTRUCTION PACKETS

Includes instructions for updating retention schedules for HHSS. Materials may include references to State agencies (i.e. audit, archives, records center, shredders etc.), analysis of determining appropriate retention periods and information on whether a document is a record for retention schedule purposes.

PAPER COPY: Transfer to Client unit or divisions; dispose of after superseded.
ELECTRONIC DATA: Backup as required; dispose of after superseded.
SECURITY COPY: Back-up as required; dispose of after superseded.

150-3-1-1-2-4 SECURITY MICROFILM TRANSFER FORMS

Forms originating from Archives, showing the acceptance of security microfilm from HHSS.
Retain permanently.

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

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.)

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal size	12 cubic feet
Records center carton	1 cubic foot
About a pickup load	50 cubic feet