Schedule 150-3-7

DEPARTMENT OF HEALTH AND HUMAN SERVICES

DIVISION OF MEDICAID & LONG TERM CARE

December 16, 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

SCHEDULE
150-3-7

AGENCY, BOARD OR COMMISSION
DEPARTMENT OF HEALTH AND HUMAN SERVICES

TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA

DIVISION, BUREAU OR OTHER UNIT
DIVISION OF MEDICAID & LONG TERM CARE
Supersedes Edition of September 2, 2009

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
Director, Division of Medicaid & Long Term Care

DATE
12/10/09

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

DATE
12/12/09

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
12/14/09

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
12/14/09

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 for those records common to most state government agencies. For those records not found in this schedule, check your specific agency schedule. 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 of, or transfer to the NE State Historical Society (State Archives), your agency is required to contact the State Archives to negotiate the transfer. Additionally, once the records are accessioned into their collection, they become the property of the State Archives. The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Nebr. Rev. Stat. §82-107). 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  
DIVISION OF MEDICAID AND LONG TERM CARE

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150-3-7-1-5 ADMINISTRATIVE APPEALS
Files related to administrative appeals, may include notice of appeal, Legal Services' notice of hearing, documentation or exhibits, findings and orders, etc.
Dispose of after 6 years.

150-3-7-1-6 ESTATE RECOVERY
Files related to the administration of the Estate Recovery program, including client specific files, death notice, demand letter, correspondence, statement of claims to court, copies of checks, etc.
Dispose of after 6 years.

150-3-7-1-1 GENERAL CORRESPONDENCE
Files related to the administration of the Medicaid program.
Dispose of after 6 years.

150-3-7-1-2 MEDICAID DATA MANAGEMENT/MMIS FILES (FORMERLY EXPLANATION OF MEDICAID BENEFITS (MC-8))
Files, APDs (Advance Planning Document), contracts, and bills related to the coordination of MMIS (Medicaid Management Information System).
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-1-7 MEDICAID MANAGEMENT INFORMATION SYSTEM (MMIS)
Electronic records of data contained in the MMIS.
Dispose of after 10 years.

150-3-7-1-3 MEDICAID MEDICAL DIRECTOR FILES
Files of the Medical Director of the Medicaid program.
Dispose of after 6 years.

150-3-7-1-4 PEER REVIEW ORGANIZATION (PRO) OR PRO-LIKE ORGANIZATION RECORDS
Quality and Utilization Management/Review Records generated by the Sunderbruch Corporation, NE Foundation for Medical Care (NFMC), Qualis Health or other peer review organization (PRO) or PRO-like organization.
Dispose of after 6 years.
150-3-7-23 AGED & DISABLED MEDICAID WAIVER

150-3-7-23-1 PROVIDER RECORD KEEPING (480 NAC 5-011)
Providers of waiver services must retain for six years the following material:
Documentation which supports provision of services to each client served under the
waiver, any other documentation determined necessary by DHHS to support selection and
provision of services under a plan of services and supports, financial information
necessary to allow for an independent audit under the waiver, documentation which
supports requests for payment under the waiver, and provider agreements with DHHS.
ORIGINAL RECORD: Dispose of after 6 years, provided audit has been completed.¹
ELECTRONIC RECORD: Dispose of after 6 years, provided audit has been
completed.¹

150-3-7-23-2 RESOURCE DEVELOPMENT DOCUMENTATION
Resource Development Documentation shall be maintained for each provider, and
retained for six years. Documentation must include provider agreements, addendum’s,
and checklists, verification of central registry checks, felony and/or misdemeanor
statements, written notices to and other communication with, the provider, activities related
to services delivery monitoring, narrative documentation (e.g., resource development staff
decisions and actions, and other factual, relevant information), and billing and payment
records.
Dispose of after 10 years, provided audit has been completed.¹

150-3-7-23-3 SERVICES COORDINATION DOCUMENTATION (480
NAC 5-004)
Services coordination documentation shall be maintained for each client. Records may be
kept in computer or paper form. Documentation includes Initial referral information,
Documentation related to waiver eligibility and authorization, determinations of NF level of
care, Assessment(s) and other functional information, plans of services supports, All
written notices to, and other communication with, the client/guardian, interagency
correspondence, including referrals, activities related to services delivery monitoring, and
narrative documentation, etc.
ORIGINAL RECORD: Dispose of after 6 years.
ELECTRONIC RECORD: Dispose of after 6 years.

150-3-7-13 AGING PROGRAM (STATE UNIT ON AGING)

150-3-7-13-1 ANNUAL ASSESSMENT REPORT OF AREA AGENCIES
Final written results of the Annual Assessment of Area Agencies. Specific areas of
operation are reviewed and recommendations noting strengths and areas of concern are
indicated. Includes worksheets, copy of AAA’s (Area Agency on Aging) response and
final written report.
ORIGINAL RECORD: Transfer to the State Records Center after 3 years; dispose
of after 6 years, provided audit has been completed.¹
ELECTRONIC RECORD: Dispose of after superseded.
150-3-7-13-2  AREA AGENCY CENTRAL FILE
Files of each Area Agency on Aging project that is currently operating in the state. Records may include: correspondence, progress reports, site assessments, complaints, letters of intent, applications for support, subcontracts, annual plan and five year plan. ORIGINAL RECORD: Transfer to the State Records Center after 3 years; dispose of after 6 years, provided audit has been completed.¹ ELECTRONIC RECORD: Dispose of after superseded.

150-3-7-13-4  AUDIO VISUAL MATERIALS
Videotapes used to promote services and programs for the aged. Includes audiovisual records. Dispose of after 6 years, or when obsolete, or no longer of educational value, whichever is longer; subject to review by the State Archives for possible accession.

150-3-7-13-5  CENTURY SOCIETY RECORDS
Record of a program that recognizes and honors 100 year old Nebraskans, includes the Directory of Awarded Century members. REQUESTS: Dispose of after 6 years. DIRECTORY: Retain permanently.

150-3-7-13-11  COMMITTEE MEETING MINUTES AND AGENDA
SEE SCHEDULE 124 – GENERAL RECORDS FOR STATE AGENCIES.

150-3-7-13-6  COMPLAINTS AND CORRESPONDENCE
Record of complaints. Information usually consists of correspondence. Dispose of 6 years after last activity regarding complaint.

150-3-7-13-7  CONTRACTS (FORMERLY CONTRACTS AND AGREEMENTS)
Written agreements between the Nebraska Division of Aging Services, other agencies, outside organizations and individuals for the performance of specific services. The document specifies the terms of the contract, all provisions and conditions for nullification. SEE SCHEDULE 150-3-1-2 – DHHS – SUPPORT SERVICES.

150-13-7-13-8  FEDERAL FINANCIAL STATUS AND CASH TRANSACTIONS REPORTS
Copies of financial and cash transactions reports that have been sent to the Federal Regional Offices. The reports indicate the status of program funds or cash transactions. Transfer to the State Records Center after 3 years, dispose of after 6 years, provided audit has been completed.¹

150-3-7-13-3  FINANCIAL MONTHLY AND QUARTERLY REPORTS
Monthly reports of area agency expenditures and quarterly reports to the Division of Aging Services from area agencies including reports of staffing, compensation funding, training, coordination, pooling of resources, any expenditures and units of service. Transfer to the State Records Center after 3 years; dispose of after 6 years, provided audit has been completed.¹
150-3-7-13-18 **FUNCTIONAL CRITERIA & SENIOR CARE OPTIONS/WAIVER BILLING DOCUMENTS**

Client-specific information about functional needs and abilities used in determining eligibility for nursing facility or HCBS waiver services through Medicaid. Monthly billing of Medicaid screening and case management through Senior Care Options and the Aged and Disabled waiver.

**ORIGINAL RECORD:** Dispose of after 6 years from the month of the billing, provided audit has been completed.¹

**ELECTRONIC RECORD:** Dispose of after superseded.

150-3-7-13-9 **GRANT APPLICATIONS PLANS**

Annual plan to grantor agencies providing grant funds to the Nebraska Department on Aging for aging programs. Records may include: Grantee application for support, notification of grant award, acceptance of grant award, budget revisions, description of programs, program objectives, and correspondence etc.

**ORIGINAL RECORD:** Transfer to the State Records Center after 3 years; dispose of after 6 years, provided audit has been completed.¹

**ALL OTHER COPIES:** Dispose of after 6 years.

150-3-7-13-10 **LEGISLATIVE MATERIALS**

Materials related to legislation that may be of interest to older Nebraskans and older Americans, including newsletters.

Dispose of after 6 years, or when no longer of administrative value, whichever is sooner.

150-3-7-13-12 **PROGRAM PERFORMANCE REPORT**

Any periodic report submitted to a federal agency in response to the Division of Aging Services’ performance in any area.

**ORIGINAL RECORD:** Dispose of after 6 years.

**ELECTRONIC RECORD:** Dispose of after superseded.

150-3-7-13-13 **PROJECT FILE**

Records of Area Agency projects for the elderly where funding is received from other agencies e.g. Labor. Projects are listed according to the sponsoring subdivision. Various service programs are maintained in these files.

**Transfer to the State Records Center after 3 years, dispose of after 6 years, provided audit has been completed.¹**

150-3-7-13-14 **PUBLIC HEARING FILES**

Records pertaining to public hearings. File may include: correspondence, newspaper clippings, news releases, notice of joint public hearing, attendance sheets, attendance statistics, and cassette recordings of the hearings.

**ORIGINAL RECORD:** Dispose of after 6 years.

**CASSETTE RECORDINGS:** Dispose of after 1 year.

150-3-7-13-15 **RESEARCH PROJECTS AND SURVEYS**

In-depth research projects, studies, or surveys that provide information to further programs and services for the elderly.

Dispose of after 6 years, subject to review by the State Archives for possible accession.
150-3-7-13-16  **SPECIAL PROJECTS SUBGRANT FILES**
Records of Special Sub-grant Programs for the elderly, i.e., Employment, Transportation, Disaster Relief, Day Care for the aged, pre-retirement education, etc. Files may include monthly Project Financial summary, cost itemization sheet, itemization of non-Federal contribution, Personnel Costs Breakdown, Income itemization and Utilization sheet, notification of grant awarded, correspondence, monthly worksheets and copies of vendor invoices.

Transfer to the State Records Center after 3 years, dispose of after 6 years, provided audit has been completed.¹

150-3-7-13-17  **STATE PLAN**
Nebraska’s state plan for programs and services for the aging. Information includes: state objectives, Action Plans, Resource allocation Plans, and General provisions.

ORIGINAL RECORD: Retain permanently in agency director’s office.

ALL OTHER COPIES: Dispose of 6 years after termination of project.

150-3-7-14  **AREA AGENCIES ON AGING**

150-3-7-14-2  **BUDGET FILES**
Records pertaining to budget fund requests, appropriations and expenditures for each fiscal period. May include budget proposals, budget summaries, actual expenditures per account, ledgers, amendments, expenditures by revenue sources, unapproved budgets, notes, worksheets, list of other local funding sources, etc.

Dispose of after 6 years, provided audit has been completed.¹

150-3-7-14-4  **CLIENT INFORMATION RECORD**
System used to record usage and referrals of service by each client.

Dispose of after 6 years, provided audit has been completed.¹

150-3-7-14-5  **CLIENT MASTER INDEX**
Index of all clients who have had contact with one or more Title III programs. Information may include month and year of application or contact, name, address, phone number, case manager, etc.

Dispose of 6 years after the last activity, provided audit has been completed.¹

150-3-7-14-6  **CLIENT REQUEST LOG**
Monthly record of work requests received from Title III program clients themselves or from other sources. Information may include work request number for that month, date work is requested, client’s name address and phone number, age of client, income code source of the request, Title III Program Person assigned to the job, completed work order number, completion date, etc.

Dispose of after 6 years.

150-3-7-14-7  **COMPANIONS, AVAILABLE FILE**
Records of a program that assists in providing companions for elderly persons. Companions are paid by the user for performing personal services such as reading, housekeeping, cooking, transportation, etc. File may include companion applications, companion index cards, quarterly list of available companions, etc.

QUARTERLY LIST OF AVAILABLE COMPANIONS: Dispose of after 6 years.

ALL OTHER RECORDS: Dispose of 6 years after last date of file.
150-3-7-14-8 DAILY CONTACT LOG
Daily listing of incoming telephone calls (client and non-client contacts).
Dispose of after 6 years.

150-3-7-14-9 JOB COMPLETION LEDGER (LOG RECAP)
This information may include the date, work order number, hours of labor, dollar amount of labor, material costs, total job cost, clients share, subsidized costs, etc.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-14-10 JOB EXPENSE SHEET (TIME SHEETS)
Complete record by pay period of the work dates, job number, hours worked, pay rate and total for each Title III program and/or contractor.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-14-11 MONTHLY REPORTS
Packet of various records that are sent to local Aging Commissions, County Boards and City Councils, from the local AAA. Records usually contain a copy of fiscal and program records, payroll data, invoice receipts, cost utilization sheets, summaries, statistical reports, etc.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-14-1 PLANS
Agency's proposed plans for that year's project operations. A five-year plan is also submitted to the Division of Aging Services. May include an introduction, application for grant award, description of programs, history of agency, maps, administration, fiscal information, staff organization, short and long range goals and objectives, etc.
AGENCY PROPOSED PLAN: Dispose of after 6 years.
FIVE-YEAR PLAN: Dispose of after 6 years, subject to review by the State Archivist for possible accession.

150-3-7-14-12 REPORT LOG
Worksheet used to compile Title III Program statistics. Information may include names, ages, subject, information, referral, counseling, number of contacts, mode of contact, etc.
Dispose of after 6 years.

150-3-7-14-13 TITLE III PROGRAM FISCAL FILES
Information pertaining to the administration of programs for the elderly. Records of the administration of Title III funds. These may include transportation, in-home services, telephone reassurance, information and referral, etc.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-14-3 TITLE III PROGRAMS AND SERVICES
Accounts payable, budget accounts ledger, cash received documents, claim forms, client files.
Dispose of after 6 years, provided audit has been completed.¹
150-3-7-21  **AUDIT**

150-3-7-21-1  **AUDIT FILES**
Financial auditing of long term care facilities.
Dispose of 6 years after receipt from provider.

150-3-7-21-2  **COST REPORTS**
Cost reports of long term care facilities. May include calculations of rates, adjustments, settlements, miscellaneous correspondence, etc.
Dispose of after 30 years.

150-3-7-21-4  **COST REPORTS – (HOSPITALS, NURSING HOMES, ETC)**
Financial reports of revenue and expenditures of facilities, as required by Medicare and Medicaid.
Dispose of 6 years after receipt from Provider.

150-3-7-21-3  **LAWSUITS – COST REPORTS (NURSING HOMES, ETC)**
Rate information, financial reports of revenue and expenditures of these facilities.
Dispose of 6 years after receipt from Provider.

150-3-7-2  **CLAIMS PAYMENT**

150-3-7-2-1  **CLAIMS (FORMERLY CLAIMS, NURSING HOME TURNAROUND DOCUMENT (MC-4), PERIODIC SCREENING REPORT AND CLAIM STATEMENT (FORM MC-5), PERSONAL CARE AIDE CLAIM FORM (MC-82), STATE WARD MEDICAL PAYMENTS FILES AND STATE WARD PROVIDER CONTRACTS)**
May include practitioner, hospital, drug, dental, and other Medicaid claims not specifically listed here. Also includes supporting documentation, Mechanized Billings, Periodic Screening Report, Claim Statement, adjustment information, MC-9’s, MC-10’s, prior authorizations, share of costs forms, etc. (See 150-3-7-2-5 for claims that are not scanned and related documentation)

**ORIGINAL RECORD:** Scan and dispose of after 6 years, provided audit has been completed.¹

**ELECTRONIC RECORDS:** Dispose of after 10 years, provided audit has been completed.¹

**SECURITY BACKUP COPY (CDs):** Dispose of after 10 years.

150-3-7-2-5  **CLAIMS – NOT SCANNED**
Turn around documents for nursing home and assisted living that are not scanned. Other related documentation to claims that are not scanned.
Dispose of after 10 years, provided audit has been completed.¹

150-3-7-2-2  **GENERAL CORRESPONDENCE**
Correspondence relating to the claim payments unit.
Dispose of after 6 years.
150-3-7-2-4  HEALTH INSURANCE PREMIUM PAYMENT (HIPP)
PROGRAM FILES
Contains closed client files for whom a HIPP payment has been made, including
information about health insurance, payment, coverage, contact, family membership,
what HIPP payments were made and when.
Dispose of after 10 years.

150-3-7-2-3  SURGICAL PRIOR AUTHORIZATIONS/PHYSICIANS
Requests for prior authorization to provide services.
ORIGINAL RECORD: Dispose of after 10 years.
ELECTRONIC RECORD: Dispose of after 10 years.

150-3-7-24  DISABLED PERSONS/FAMILY SUPPORT
150-3-7-24-2  COMPUTER DEMOGRAPHIC AND CASE TRACKING
RECORDS
Contains patient identifying information. Records dates of referral, case actions, case
status and worker assignments.
Dispose of 6 years after case has been closed.

150-3-7-24-1  DISABLED PERSONS AND FAMILY SUPPORT CASE
FILE (FORMERLY DISABLED PERSONS AND FAMILY
SUPPORT CASE FILE & RESPITE CARE GRANT FILE)
File includes application forms, letters of case actions, medical forms, case notes,
miscellaneous letters and other information.
Dispose of 6 years after case has been closed.

150-3-7-30  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:
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.

150-3-7-25  EARLY INTERVENTION
150-3-7-25-1  CLIENT FILES (480 NAC 10-006)
Client records include initial contact form, consent forms, medical records and
assessments necessary for services coordination, MDT report, IFSP, releases of
information, family correspondence, interagency correspondence, and narrative
documentation.
Dispose of 6 years after the completion of the activities for which early
intervention funds were used, provided audit has been completed.¹
150-3-7-25-2 EARLY INTERVENTION WAIVER
For home and community based services, records must contain all forms related to waiver eligibility, narrative documentation, determinations of NF level of care, IFSP’s (plan of care), all written notices to families, Provider enrollment contracts, and provider billing and payment records. Dispose of after 6 years, provided audit has been completed.  

150-3-7-3 KIDS CONNECTION

150-3-7-3-1 GENERAL CORRESPONDENCE
Correspondence relating to KIDS Connection Program. Dispose of after 6 years.

150-3-7-3-2 KIDS CONNECTION PROJECTS
Files related to projects in the KIDS Connection Program. Dispose of after 6 years, provided audit has been completed.  

150-3-7-3-3 KIDS CONNECTION REPORTS
Files related to reports in the KIDS Connection Program. ORIGINAL RECORD: Dispose of after 6 years. ELECTRONIC RECORD: Dispose of after 6 years.

150-3-7-4 LONG TERM CARE

150-3-7-4-10 DECEASED CLIENT FILES – ICF/MR
Includes physician certification, medical information, Qualified mental retardation professionals, (QMRP) assessments, Program Plans for deceased ICF-MR clients, DM-5MR-LTC, etc. Dispose of after 10 years.

150-3-7-4-9 DECEASED CLIENT FILES – LONG TERM CARE
Initial medical information and certification of deceased nursing home clients. May include DM-5-LTC, DM-5, and any supplementary medical information. Dispose of after 10 years.

150-3-7-4-11 DECEASED CLIENT FILES – SPECIAL NEEDS
Records of clients moved to assisted living situations. Dispose of after 10 years.

150-3-7-4-1 GENERAL CORRESPONDENCE
Correspondence relating to Long Term Care unit. Dispose of after 6 years.

150-3-7-4-2 HOME HEALTH AGENCY CLIENT FILES
Medical documentation of services approved for clients. May include DM-5, MC-35, etc. Dispose of after 10 years.

150-3-7-4-7 HOME HEALTH CERTIFICATION FILES
Certification of Home Health Agency services. Dispose of after 6 years.
150-3-7-4-3 ICF, ICF/MR, AND SKILLED NURSING HOME FILES
File may contain provider agreements; re-certification material from the Department of Health (done semi-annually or annually); correspondence, MC-81, etc.
PROVIDER AGREEMENTS: Dispose of 10 years after provider becomes inactive or the agreement is superseded, whichever is later, provided audit has been completed.¹
ALL OTHER RECORDS: Dispose of after 10 years.

150-3-7-4-4 INTERMEDIATE CARE FACILITY-MENTAL RETARDATION (ICF-MR) INITIAL CERTIFICATION FILES (FORMERLY ICF-MR INITIAL CERTIFICATION FILES)
Includes physician certification, medical information, Qualified Mental Retardation Professionals Assessments (QMRP), Program Plans for ICF-MR clients, DM-5MR-LTC, etc. The clients remain for decades.
Dispose of 10 years after authorization is inactive.

150-3-7-4-5 LONG TERM CARE ICF/MR FILES
Medical information, Utilization and Annual Review Summary Reports, social and programming information, facility Interdisciplinary Program Plans, correspondence, and may include the following forms: DM-28MR, and Utilization Review Minutes (DM-5MR-LTC, MC-80-, MC-74, MC-75, etc. delete names of these forms – haven’t been used in 7 yrs.)
Dispose of after 10 years.

150-3-7-4-6 LONG TERM CARE INITIAL CERTIFICATION FILES
Initial medical information and certification of nursing home clients. May include DM-5-LTC, DM-5, and any supplementary medical information.
Dispose of after 10 years.

150-3-7-4-8 LONG TERM CARE PRIVATE PAY
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-4-12 SPECIAL NEEDS CLIENT FILES
Records of clients who have moved to assisted living.
Dispose of after 10 years.

150-3-7-5 MANAGED CARE

150-3-7-5-1 GENERAL CORRESPONDENCE
Correspondence relating to Managed Care Program.
Dispose of after 6 years.

150-3-7-5-2 MANAGED CARE CLIENT ADVOCACY FILES
Files related to client advocacy for Managed Care Program.
Dispose of after 6 years.
150-3-7-5-3  MANAGED CARE CONTRACTS, REQUESTS FOR PROPOSALS (RFP’S) AND PROPOSALS
Files, contracts, RFPs, proposals, etc., related to Managed Care Program.
Dispose of 6 years after completion, fulfillment, or voiding of contract, provided audit has been completed. 1

150-3-7-5-4  MANAGED CARE DATA ANALYSIS FILES
Files, reports, rate setting information, contracts, invoices, etc., related to data analysis of the Medicaid Managed Care Program.
Dispose of after 10 years, provided audit has been completed. 1

150-3-7-5-5  MANAGED CARE QUALITY IMPROVEMENT/QUALITY ASSURANCE FILES
Files, deliverables, complaint files, complaint logs, and reviews, related to Managed Care Program quality improvement/quality assurance program.
Dispose of after 6 years.

150-3-7-5-6  PRIMARY CARE CASE MANAGEMENT (PCCM) GENERAL FILES
Files related to Primary Care Case Management Managed Care Program.
Dispose of after 6 years.

150-3-7-6  MANUALS
150-3-7-6-1  FEDERAL LAWS, REGULATIONS, AND POLICY RESEARCH FILES (FORMERLY FEDERAL LAWS, REGULATIONS, AND INTERPRETATIONS FILES & POLICY RESEARCH INFORMATION FILES)
Includes proposed regulations, interpretations and information about Medicaid.
Dispose of after 6 years.

150-3-7-6-2  GENERAL CORRESPONDENCE
Correspondence relating to the Manuals.
Dispose of after 6 years.

150-3-7-6-3  LEGISLATIVE REVIEW FILES
Legislative bills, review material, etc.
Dispose of after 10 years.

150-3-7-6-4  MANUAL LETTERS AND PROVIDER BULLETINS
Regulations and operating instructions for Medicaid.
Dispose of after 10 years.

150-3-7-6-5  MEDICAL SERVICES MANUAL MATERIAL FILES
Includes drafts and other material related to Nebraska Administrative Code (NAC) 471, 480, 469, 465, etc.
Dispose of 10 years after superseded.
150-3-7-6-6  STATE PLAN FILES
Includes copy of state plan and amendments (ASD-31), transmittal to feds (HCFA-179), drafts, information and correspondence about amendments and assurances from the federal government.
Dispose of after 10 years.

150-3-7-7  MEDICAID MENTAL HEALTH & SUBSTANCE ABUSE (MHSA)

150-3-7-7-1  GENERAL CORRESPONDENCE
Correspondence relating to Mental Health and Substance Abuse Unit.
Dispose of after 6 years.

150-3-7-7-2  INSPECTIONS OF CARE – DAY TREATMENT
Documentation of Inspections of Care for Medicaid enrolled day treatment facilities. May include re-certifications, DM-8s, DM-9s, Reports of Findings, Plans of Correction, etc.
Dispose of 6 years after date of last activity.

150-3-7-7-3  INSPECTIONS OF CARE – INPATIENT IMD (FORMERLY PSYCHIATRIC HOSPITAL FILE – IMD (OVER 65 AND UNDER 21))
Documentation of Inspections of Care for Medicaid enrolled inpatient institution for the mentally diseased, (IMD) facilities. May include re-certifications, DM-8s, DM-9s, Reports of Findings, Plans of Correction, etc.
Dispose of 6 years after date of last activity.

150-3-7-7-4  INSPECTIONS OF CARE – OUTPATIENT (FORMERLY PSYCHIATRIC INPATIENT AND OUTPATIENT CASE FILES)
Documentation of Inspections of Care for Medicaid enrolled outpatient facilities. May include re-certifications, DM-8s, DM-9s, Reports of Findings, Plans of Correction, etc.
Dispose of 6 years after date of last activity.

150-3-7-7-5  INSPECTIONS OF CARE – REHAB OPTION
Documentation of Inspections of Care for Medicaid enrolled rehab option facilities. May include re-certifications, DM-8s, DM-9s, Reports of Findings, Plans of Correction, etc.
Dispose of 6 years after date of last activity.

150-3-7-7-6  INSPECTIONS OF CARE – RESIDENTIAL
Documentation of Inspections of Care for Medicaid enrolled residential facilities. May include re-certifications, DM-8s, DM-9s, Reports of Findings, Plans of Correction, etc.
Dispose of 6 years after date of last activity.

150-3-7-7-7  INSPECTIONS OF CARE – TREATMENT CRISIS INTERVENTION
Documentation of Inspections of Care for Medicaid enrolled treatment crisis intervention facilities. May include re-certifications, DM-8s, DM-9s, Reports of Findings, Plans of Correction, etc.
Dispose of 6 years after date of last activity.
150-3-7-7-8 INSPECTIONS OF CARE – TREATMENT FOSTER CARE
Documentation of Inspections of Care for Medicaid enrolled treatment foster care facilities. May include re-certifications, DM-8s, DM-9s, Reports of Findings, Plans of Correction, etc. 
Dispose of 6 years after date of last activity.

150-3-7-7-9 INSPECTIONS OF CARE – TREATMENT GROUP HOME
Documentation of Inspections of Care for Medicaid enrolled treatment group home facilities. May include re-certifications, DM-8s, DM-9s, Reports of Findings, Plans of Correction, etc. 
Dispose of 6 years after date of last activity.

150-3-7-7-12 MAGELLAN MONTHLY AND QUARTERLY REPORTS
May include projects, etc.
Dispose of after 6 years.

150-3-7-7-11 MENTAL HEALTH AND SUBSTANCE ABUSE (MHSA) APPEALS
Records of provider, client or facility Administrative Appeals to the Department. May include client specific files, sets of testimony and exhibits, Findings and Orders and appeal schedules. 
Dispose of after 6 years.

150-3-7-7-10 MENTAL HEALTH REVIEW TEAM (MHRT)
MHRT Team documentation on Inpatient Psychiatric care for state wards. May include client’s medical records, treatment plans and meeting notes. 
Dispose of 6 years after last activity.

150-3-7-7-13 MHSA POLICY
Working copies of items such as Historical Manual or Policy Records and information regarding the development of services and programs by the Department from conception. May include drafts, public hearing information, rate-setting information, policy interpretations or guidelines, provider bulletins, manual letters, federal laws and interpretations. 
Dispose of after 6 years.

150-3-7-7-14 MHSA PRO (PEER REVIEW ORGANIZATION) FILES
Information related to Utilization Review by the contracted Peer Review Organization. May include RFPs and responses, contracts and Plans of Review, correspondence, meeting notes, denial or quality letters, data and narrative reports. 
Dispose of 6 years after last activity.

150-3-7-7-15 MHSA PROVIDER APPLICATIONS – DAY TREATMENT
May include provider applications, program overviews and correspondence. 
Dispose of 10 years after provider becomes inactive or the agreement is superseded, provided audit has been completed. ¹

150-3-7-7-16 MHSA PROVIDER APPLICATIONS – INPATIENT IMD
May include provider applications, program overviews and correspondence. 
Dispose of 10 years after provider becomes inactive or the agreement is superseded, whichever is later, provided audit has been completed. ¹
150-3-7-7-17  MHSA PROVIDER APPLICATIONS – OUTPATIENT
May include provider applications, program overviews and correspondence.
Dispose of 10 years after provider becomes inactive or the agreement is superseded, whichever is later, provided audit has been completed. 1

150-3-7-7-18  MHSA PROVIDER APPLICATIONS – REHABILITATION OPTION
May include provider applications, program overviews and correspondence.
Dispose of 10 years after provider becomes inactive or the agreement is superseded, whichever is later, provided audit has been completed. 1

150-3-7-7-19  MHSA PROVIDER APPLICATIONS – RESIDENTIAL
May include provider applications, program overviews and correspondence.
Dispose of 10 years after provider becomes inactive or the agreement is superseded, whichever is later, provided audit has been completed. 1

150-3-7-7-20  MHSA PROVIDER APPLICATIONS – TREATMENT CRISIS INTERVENTION
May include provider applications, program overviews and correspondence.
Dispose of 10 years after provider becomes inactive or the agreement is superseded, whichever is later, provided audit has been completed. 1

150-3-7-7-21  MHSA PROVIDER APPLICATIONS – TREATMENT GROUP HOME
May include provider applications, program overviews and correspondence.
Dispose of 10 years after provider becomes inactive or the agreement is superseded, whichever is later, provided audit has been completed. 1

150-3-7-26  MEDICALLY HANDICAPPED CHILDREN’S PROGRAM

150-3-7-26-6  COMPUTER DEMOGRAPHIC AND CASE TRACKING RECORDS (FORMERLY CARD FILE FOR ORTHOPEDIC HOSPITAL & COMPUTER DEMOGRAPHIC AND CASE TRACKING RECORDS)
Contains patient identifying information. Records dates of referral, case actions, and case status and worker assignments.
ORIGINAL RECORD: Dispose of 6 years after case has been closed.
ELECTRONIC RECORD: Dispose of after superseded.

150-3-7-26-2  HANDICAPPED CHILDREN’S MEDICAL FILE (FORMERLY HANDICAPPED CHILDREN’S MEDICAL FILE, ORTHOPEDIC HOSPITAL MEDICAL FILES (INACTIVE) & CARD FILE FOR ORTHOPEDIC HOSPITAL)
Provides all medical information received, such as problems, diagnosis, treatments, examination reports, medical evaluations, lab reports, x-ray reports, case notes and miscellaneous letters, etc.
Dispose of 25 years after recipient has reached age 21 or 25 years after date of death, whichever is sooner.
150-3-7-26-3  LETTER OF NOTIFICATION OF CASE ACTION
Notice of action concerning a case (acceptance, rejection, closed, reopened, program change etc.)
ORIGINAL RECORD: Sent to Parent/Client.
DUPLICATE COPY: File in MEDICALLY HANDICAPPED CHILDREN’S CASE FILE, SEE ITEM 150-3-7-26-1.

150-3-7-26-1  MEDICALLY HANDICAPPED CHILDREN’S CASE FILE
Provides medical records, case worker reports, case action, correspondence, physician’s referral form, application for services, eligibility forms, social summaries, case notes and miscellaneous letters, etc.
ORIGINAL RECORD: Dispose of 6 years after case has closed or last contact, whichever is sooner.
MEDICAL INFORMATION: Transfer to the medical file, SEE ITEM 150-3-7-26-2.

150-3-7-26-4  ORDER OF AUTHORIZATION
Forms used to authorize vendors to provide medical goods and services for recipients.
Dispose of 6 years after case has closed or last contact.

150-3-7-26-5  PAYMENT RECORDS
Contains patient identifying information filed alphabetically. Records, date of service, SCC payment voucher number, provider name, services rendered, amount paid less amount paid by insurance or other source.
ORIGINAL RECORD: Dispose of 10 years following the end of the fiscal year to which the records pertain, provided audit has been completed.¹
ELECTRONIC RECORD: Dispose of after superseded.

150-3-7-26-7  X-RAY
X-Rays of medically handicapped children.
Dispose of 25 years after recipient has reached age 21 or 25 years after date of death, whichever is sooner.

150-3-7-15  NUTRITION AND CONGREGATE DELIVERED MEALS

150-3-7-15-1  CASH RECEIVED FORM
Record indicating the freewill cash contributions received from each congregate meal site. May include the site name and number, week ending, contribution per day, week total, total for all sites, and deposit by amount, etc.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-15-2  CERTIFICATION OF MEDICALLY DIAGNOSED NEED FOR HOME DELIVERED MEALS
Certification from the care management unit, medical profession, AAA staff or contractor attesting that a participant in the home delivered meals program is medically eligible for that service. There are three different categories of certification:
Temporary certification (6 weeks or less). General certification (up to 6 months). Re-certification (follows the general certification period).
Dispose of 6 years after last certification date.
150-3-7-15-3  CONTRACT AGENCY OUTREACH RECORDS
Records regarding congregate meal sites, which are received from the contract agencies outreach workers. May include individual contact log, referral form, daily summary sheet, outreach and/or a worker’s daily log, etc.
Dispose of after 6 years.

150-3-7-15-4  DISPOSABLE PRODUCT INVENTORY
Temporary inventory of the usage of racks and disposable table products for sites using catered service.
Dispose of after 6 years or when no longer of reference value.

150-3-7-15-5  FOOD DISTRIBUTION PROGRAM PERPETUAL AND USAGE INVENTORIES
Inventory for each item of USDA commodity used by the Nutrition program. Information may include item description, unit of measure, date of invoice, quantity received, quantity used over dollar value and balance.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-15-6  INCIDENT REPORT
Report of any noteworthy incident that occurs at a congregate meal site. Information may include identification of injured or ill person, date, time, exact nature of incident, hospital or doctor used, witnesses, opinion of the cause of incident, signature, submitting date, the date and time received in Project Office, etc.
Dispose of after 6 years.

150-3-7-15-7  MEAL DELIVERY: SIGN OFF SHEET/TICKET
Number of meals delivered to each congregate meal site, also the quantity of accessory items such as milk, condiments, etc. May include day, date, driver’s signature, site number and name, delivered quantities, etc. TICKET – Record of the number of meals delivered by a catering service.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-15-8  MEAL SUMMARY
Daily and weekly totals of meals that were delivered, catered, ordered, and eaten by clients, guests, staff, or discarded.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-15-9  MEAL TEMPERATURE CHECK SHEET
Temperature check sheet for hot food (140°F or higher) and cold food (45°F or lower).
Dispose of after 6 years.

150-3-7-15-10  MENU PLANS FOR MEALS TO BE SERVED
Projections of congregate meal menus for a 22-day cycle. Is subdivided into specific days along with a proposed menu for that day.
Dispose of after 6 years.
150-3-7-15-19  MONTHLY SUMMARY OF PARTICIPANTS PAID FOR BY TITLE XX
A confidential monthly list of program participants who are subsidized by DHHS. Record includes the reporting month, meal site, participant’s name, and number of meals for the month and the number of day’s transportation was provided.
ORIGINAL RECORD: Dispose of after 6 years, provided audit has been completed.¹
ELECTRONIC RECORD: Dispose of after superseded.

150-3-7-15-11  NUTRITION VOLUNTEER RECORD
Monthly record from each congregate meal site indicating the number of hours worked by volunteer assistance at that site per day.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-15-12  NUTRITION VOLUNTEER SIGN-IN SHEET
Daily record maintained at the meal site, for volunteers to sign in and out.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-15-13  ODOMETER READING
Record of the delivery trucks mileage. Information may include week, driver, beginning/ending miles driven per day, total mileage for the week, etc.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-15-14  REFERRAL FORM
Information relative to a prospective participant in the congregate meal program. Data is recorded by the site manager, counselor, contract agency or other sources.
Dispose of after 6 years.

150-3-7-15-15  REGISTRATION FORM
Intake record of participants in the Nutrition program. Information may include identification data, marital status, emergency numbers, therapeutic diet, attendance in program, units of supporting service etc.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-15-16  RESERVATION AND ATTENDANCE FORM
Form prepared by site manager to project the number of clients expected on a particular dining site, date and units of services, reservation call-in form and summary of the day.
Dispose of 6 years after data has been transferred to meal summary and registration form.

150-3-7-15-17  SUPPORTING SERVICES RECORD
Monthly account of the units of supporting services rendered by each site by dining date. Categories of service include: meals, transportation and escort, information and referral, counseling, shopping assistance, nutrition education, recreation and outreach, etc.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-15-18  USDA DONATED FOODS ALLOTMENT
Inventory control record submitted by preparatory organizations of the amount of USDA commodities used.
ORIGINAL RECORD: Dispose of after 6 years, provided audit has been completed.¹
ELECTRONIC RECORD: Dispose of after superseded.
150-3-7-8  **PHARMACY**

150-3-7-8-1  **DRUG UTILIZATION REVIEW (DUR) PROGRAM**
Files, contracts, RFPs, proposals, related to Drug Utilization Review program.
Dispose of after 6 years, provided audit has been completed.  

150-3-7-8-2  **FIRST HEALTH SERVICES CORPORATION REPORTS**
Reports, files, projects, produced by First Health the Nebraska Point of Purchase (NEPOP) contractor.
Dispose of after 6 years.

150-3-7-8-3  **GENERAL CORRESPONDENCE**
Correspondence relating to the Pharmacy unit.
Dispose of after 6 years.

150-3-7-8-4  **LOCK-IN RECIPIENT FILES**
Files related to recipients limited to certain medical services/providers because of abuse or over utilization of medical services. MC-66 form (choice of provider) is also included in this file.

**ORIGINAL RECORD:** Scan and dispose of after 30 days.
**ELECTRONIC RECORD:** Dispose of 10 years after closure of case
**SECURITY BACK UP COPY (CD’s):** Dispose of after 10 years.

150-3-7-8-5  **NEPOP (NEBRASKA POINT OF PURCHASE)**
Files, contracts, RFPs, proposals, related to Nebraska Point of Purchase drug program.
Dispose of after 6 years, provided audit has been completed.

150-3-7-9  **PRIMARY CARE SERVICES**

150-3-7-9-1  **ABORTION CHART REVIEW FILES**
Charts that have been reviewed for prior authorization of abortion procedures.
Dispose of after 10 years.

150-3-7-9-2  **DENTAL FILES**
Request for prior authorization of dental and orthodontic services. May include medical documentation, MC-13, MC-9D, MC-10, etc.
Dispose of after 10 years.

150-3-7-9-3  **DURABLE MEDICAL EQUIPMENT AND OXYGEN FILES**
File on recipients of prior authorized durable medical equipment and medical supplies. May include forms MS-77, MC-9S, MC-10, etc.
Dispose of after 10 years.

150-3-7-9-4  **GENERAL CORRESPONDENCE**
Correspondence relating to administration of primary care unit programs.
Dispose of after 6 years.

150-3-7-9-5  **HEARING AID FILES**
File on recipients of prior authorized hearing aids. May include Physician’s Report on Hearing Loss (DM-5H), MC-9S, MC-10, etc.
Dispose of after 10 years.
150-3-7-9-6  HOSPITAL PROGRAM INFORMATION
Files of correspondence, claim review, client files, and provider files.
Dispose of after 10 years, provided audit has been completed. 

150-3-7-9-13  MMIS INTEGRATED DATABASE
Records of changes made to integrated MMIS data base.
ORIGINAL RECORD: Dispose of after 10 years.
ELECTRONIC RECORD: Dispose of after 10 years.

150-3-7-9-7  PROFESSIONAL REVIEW ORGANIZATION (PRO)
APPEAL FILES
Completed findings and Orders of PRO related hearings.
Dispose of after 6 years.

150-3-7-9-8  QUARTERLY STATISTICAL REPORT/EARLY AND
PERIODIC SCREENING, DIAGNOSIS AND
TREATMENT PROGRAM
Report to Federal Health and Human Services Department.
Dispose of after 6 years.

150-3-7-9-9  STATE DISABILITY FILES (FORMERLY AID TO
DISABLED FILE (DISABILITY FILES))
Recipient files applying for State Disability benefits.
Dispose of after 10 years.

150-3-7-9-10  SURGICAL AND OUT OF STATE SERVICES FILES
File on recipients of prior authorized procedures and out of state services.
Dispose of after 10 years.

150-3-7-9-11  TRANSPLANT FILES
Recipients requiring approval for transplant procedures.
Dispose of after 10 years.

150-3-7-9-12  VISUAL CARE SERVICES FILES
File on recipients of prior authorized visual care services. May include forms MC-9P, MC-10.
Dispose of after 10 years.

150-3-7-10  PROVIDER AGREEMENTS

150-3-7-10-1  GENERAL CORRESPONDENCE
Correspondence relating to the Providers Agreements.
ORIGINAL RECORD: Dispose of 10 years after provider becomes inactive or the
agreement is superseded, whichever is later, provided audit has been completed. 
ELECTRONIC RECORD: Dispose of after 10 years.
150-3-7-10-2  MEDICAID PROVIDER APPLICATION AND AGREEMENT (FORMERLY HOME HEALTH AGENCY PROVIDER AGREEMENTS (FORM MC-19), PARTICIPATION AGREEMENTS FOR PROVIDERS OF PHARMACEUTICAL SERVICES, HOSPITAL PROVIDER APPLICATION AND AGREEMENT, MEDICAID PROVIDER APPLICATION AND AGREEMENT, PARTICIPATION AGREEMENTS FOR PROVIDERS OF PHARMACEUTICAL SERVICES, PROVIDER UPDATE/RELEASE FORM (FORM ASD-47) & PERSONAL CARE AIDE, RN AND LPN AGREEMENTS (FORM MC-19)

Forms used by all providers when applying for enrollment in Nebraska Medicaid. Including MC-19, MC-20, MC-81, MILTC-9 and others, and supporting documentation. Also see Long Term Care and Mental Health & Substance Abuse sections.

ORIGINAL RECORD: Dispose of 10 years after provider becomes inactive or the agreement is superseded, whichever is later, provided audit has been completed. ¹
ELECTRONIC RECORD: Dispose of after 10 years.

150-3-7-27  RESPISTE SUBSIDY

150-3-7-27-1  COMPUTER DEMOGRAPHIC AND CASE TRACKING RECORDS, RESPITE SUBSIDY CASE FILE (FORMERLY COMPUTER DEMOGRAPHIC AND CASE TRACKING RECORDS, RESPITE SUBSIDY CASE FILE AND RESPITE CARE GRANT FILE)

Contains Patient identifying information. Records dates of referral, case actions, case status and worker assignments. Application forms, letters of case actions, case notes. Miscellaneous letters and other information.

ORIGINAL RECORD: Dispose of 6 years after case has been closed.
ELECTRONIC RECORD: Dispose of after 3 years.

150-3-7-28  SCHOOL ADMINISTRATIVE OUTREACH

150-3-7-28-2  CASE MANAGEMENT AGREEMENTS

School districts and educational service units participating in the School Admin Outreach program as prescribed in Nebraska Reissue Revised Statute 68-1072.
Dispose of after 6 years.

150-3-7-28-1  CASE MANAGEMENT CLAIMS

Quarterly reports of administrative costs and time-study results for participating school districts and educational service units as prescribed in Nebraska Reissue Revised Statute 68-1072.
Dispose of after 6 years.
150-3-7-29 SOCIAL SERVICE BLOCK GRANT

150-3-7-29-1 CASE RECORD MAINTENANCE (473 NAC 2-010)
Service case records must include appropriate forms for documentation of the request for services, income verification, service eligibility, and service plan formulation.
Dispose of 6 years after the end of the eligibility period.

150-3-7-11 SURVEILLANCE & UTILIZATION REVIEW (SURS)

150-3-7-11-1 GENERAL CORRESPONDENCE
Correspondence or miscellaneous files relating to SURS unit.
Dispose of after 6 years.

150-3-7-11-2 SURS FRAUD AND ABUSE CASE TRACKING SYSTEM
Maintains information regarding all Medicaid providers and client reviews, inquiries or investigations.
ORIGINAL RECORD: Dispose of 10 years after the case is closed, provided audit has been completed.¹
ELECTRONIC RECORD: Dispose of after 10 years.

150-3-7-11-3 SURS FRAUD AND ABUSE FILES
Files contain all documentation of Medicaid provider and client abuse reviews, inquiries or fraud investigations.
Dispose of 6 years after the case is closed.

150-3-7-12 THIRD PARTY LIABILITY / RESOURCES (TPL/TPR)

150-3-7-12-1 CASUALTY INSURANCE CASE FILES (FORMERLY INVESTIGATION (FORMS PDS-25 AND PDS-26))
Files of material used to investigate and/or identify potential casualty insurance coverage for Medicaid clients.
Dispose of after 10 years, provided audit has been completed.¹

150-3-7-12-2 DEPOSIT REPORTS & SUR 290 SUMMARIES
Files and reports related to deposits.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-12-3 GENERAL CORRESPONDENCE
Files relating to Third Party Liability/Third Party Resources unit.
Dispose of after 6 years, provided audit has been completed.¹

150-3-7-12-4 HEALTH INSURANCE CASE FILES (FORMERLY HEALTH INSURANCE VERIFICATION (FORM ASD-60) & INSURANCE INFORMATION SYSTEM (FORM ASD-59))
Files, reports, court orders, etc., related to health insurance coverage for Medicaid clients.
ORIGINAL RECORD: Dispose of after 6 years, provided audit has been completed.¹
ELECTRONIC RECORD: Dispose of after 6 years.
150-3-7-12-6 INSURANCE ADDS
Files and reports related to new insurance policy obtained by Medicaid recipients and their explanations of benefits.
**ORIGINAL RECORD:** Dispose of after 6 years.
**ELECTRONIC RECORD:** Dispose of after 6 years.

150-3-7-12-7 REFUND REQUESTS TO PROVIDERS
Files related to refund requests sent to providers.
Dispose of after 6 years, provided audit has been completed. ¹

150-3-7-12-8 REFUNDS/DENIALS RECEIVED FROM INSURANCE COMPANIES
Files related to refunds/denials received from insurance companies.
Dispose of after 6 years, provided audit has been completed. ¹

150-3-7-12-9 REFUNDS RECEIVED FROM PROVIDERS
Files related to refunds received from providers.
Dispose of after 6 years, provided audit has been completed. ¹

150-3-7-12-5 VERIFICATION LETTERS
Files and reports related to MRSHLTH form letters.
**ORIGINAL RECORD:** Dispose of after 6 years.
**ELECTRONIC RECORD:** Dispose of after 6 years.

**OBsolete RECORDS**

40-1-5-1 ADMISSION AND DISCHARGE REPORT
Dispose of after 2 years.

150-1-4-8-6-1 APPLICATION FOR REDUCED BUS FARE FOR HANDICAPPED RIDERS
Dispose of concurrently with client files, providing information has been included in the bus files index.

150-1-4-8-6-2 BASIC CLIENT DATA SHEET
Dispose of after 2 years.

150-1-4-8-6-3 BUS FARE SUBSIDY FOR THE ELDERLY
Dispose of concurrently with client files, providing information has been included in the bus files index.

150-1-4-8-6-4 BUS FILES INDEX
Dispose of after 5 years.

40-1-5-4 CASE MANAGEMENT SERVICES FILES FOR PERSONS WITH MENTAL RETARDATION
Dispose of 4 years after the ending date of the client’s eligibility period for Case Management Services for Persons with Mental Retardation.

40-1-5-5 CATASTROPHIC ILLNESS FILES
Dispose of after 5 years.

40-1-5-6 CHRONIC CARE FILES – INDIVIDUAL PATIENTS
Dispose of 1 year after closure of case.

40-1-5-7 CHRONIC CARE INDIVIDUALS CARD FILE
Dispose of concurrently with CHRONIC CARE FILE.
<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Retention Period</th>
</tr>
</thead>
<tbody>
<tr>
<td>40-1-7-1-2</td>
<td>DAILY BATCH FILE</td>
<td>Dispose of after 3 years provided audit has been completed. ¹</td>
</tr>
<tr>
<td>150-1-4-8-6-5</td>
<td>DAILY BUS SCHEDULE</td>
<td>Dispose of after 1 year.</td>
</tr>
<tr>
<td>150-1-4-8-4-1</td>
<td>DAILY LOGS</td>
<td>Dispose of after 5 years, provided audit has been completed. ¹</td>
</tr>
<tr>
<td>40-1-7-1-3</td>
<td>EMERGENCY ASSISTANCE FORMS (FORM RS-44)</td>
<td>Transfer to the State Records Center after 1 year; dispose of after 3 years provided audit has been completed.</td>
</tr>
<tr>
<td>40-1-7-1-4</td>
<td>EMPLOYER APPOINTMENT OF AGENT (FORM 2678)</td>
<td>Dispose of after 10 years.</td>
</tr>
<tr>
<td>150-1-4-8-6-9</td>
<td>EVALUATIONS</td>
<td>Dispose of after 2 years.</td>
</tr>
<tr>
<td>150-1-4-8-6-6</td>
<td>HANDIBUS AND REDUCED FARE TICKET SALES REPORTS (OBSOLETE 2009)</td>
<td>Dispose of after 5 years, provided audit has been completed. ¹</td>
</tr>
<tr>
<td>40-1-7-1-6</td>
<td>HOLD WARRANTS (FORM PDS-37)</td>
<td>Dispose of after 30 days.</td>
</tr>
<tr>
<td>40-1-5-14</td>
<td>HOME AND COMMUNITY BASED SERVICES WAIVER FOR PERSONS WITH MENTAL RETARDATION AND RELATED CONDITIONS FILES</td>
<td>Dispose of 4 years after ending date of the client’s eligibility period for waiver services.</td>
</tr>
<tr>
<td>150-1-4-8-8-1</td>
<td>HUMAN SERVICES FILE</td>
<td>Dispose of after 1 year.</td>
</tr>
<tr>
<td>40-1-5-19</td>
<td>IMMUNIZATION REPORTS (MRS-170)</td>
<td>Dispose of after 5 years.</td>
</tr>
<tr>
<td>40-1-5-20</td>
<td>INDEX CARDS – DISABILITY INDIVIDUALS</td>
<td>Dispose of 10 years after date of last activity.</td>
</tr>
<tr>
<td>150-1-4-8-6-10</td>
<td>INDEX FILES (OBSOLETE 2009)</td>
<td>Dispose of after volunteer is inactive, deceased, or the organization is no longer functional.</td>
</tr>
<tr>
<td>40-1-7-1-10</td>
<td>INTEGRATED DATA BASE – DRUGS (FORM MC-21)</td>
<td>Dispose of after 30 days.</td>
</tr>
<tr>
<td>40-1-7-1-11</td>
<td>INTERIM SSA# ASSIGNMENT REGISTERS</td>
<td>Dispose of after 3 years.</td>
</tr>
<tr>
<td>150-1-4-8-7-1</td>
<td>LOCAL GOVERNMENT FUNDED PROGRAM RECORDS</td>
<td>Dispose of 5 years after last activity, provided audit has been completed. ¹</td>
</tr>
<tr>
<td>150-1-4-8-5-1</td>
<td>LONG TERM CARE MANAGEMENT FILE</td>
<td>Dispose of 5 years after last activity.</td>
</tr>
<tr>
<td>40-1-5-23</td>
<td>LONG TERM CARE REVIEW TEAM FILE</td>
<td>Dispose of after 3 years.</td>
</tr>
<tr>
<td>40-1-5-24</td>
<td>LTC CENTRAL OFFICE NURSING HOME FACILITY FILES</td>
<td>Dispose of after 3 years.</td>
</tr>
<tr>
<td>150-1-4-8-8-2</td>
<td>MAILING LISTS</td>
<td>Dispose of after 1 year.</td>
</tr>
<tr>
<td>40-1-7-1-13</td>
<td>MEDICAID CLAIM/ADJUSTMENT RETURN NOTICE (FORM PDS-4 SERIES)</td>
<td>Dispose of after 30 days.</td>
</tr>
<tr>
<td>40-1-7-1-14</td>
<td>MEDICAID CLAIM INQUIRY (FORM PDS-39)</td>
<td>Dispose of after 30 days.</td>
</tr>
</tbody>
</table>
40-1-7-1-15 MEDICAID FREEZE REQUEST (FORM PDS-21)
Dispose of after 3 years.

40-1-7-1-17 NOTICE TO PHARMACIST-INQUIRY RESPONSE (FORM PDS-27)
Dispose of after 30 days.

40-1-7-1-18 NOTICE TO PHARMACISTS (FORM PDS-23)
Dispose of after 30 days.

40-1-5-33 NURSING HOME INDEX CARDS
Dispose of after superseded.

40-1-5-34 NURSING HOME QUARTERLY REPORT
Dispose of after 3 years.

40-1-7-1-21 PAYMENT REJECTION NOTICE (FORM MHC-48)
Dispose of after 1 month.

40-1-5-41 PERSONAL CARE AIDE SERVICES FILES
Dispose of after 5 years.

40-1-7-1-22 PHARMACY REFERENCE BOOK
Dispose of after 3 years.

150-1-4-8-8-3 PHOTOGRAPHS
Dispose of after 1 year, subject to review by the State Archives before disposal.

40-1-5-42 PHYSICIAN CERTIFICATION FORM (MC-6)
Dispose of 5 years after expiration date.

40-1-5-44 PRESCRIPTION DRUG SUMMARY REPORT (MC-53)
Dispose of after 5 years.

40-1-5-45 PRESCRIPTION GROSS PROFIT SURVEY (MS-OT-2A)
Dispose of after 5 years.

40-1-5-46 PRESCRIPTION INFORMATION SUMMARY (MS-OT-2B)
Dispose of after 5 years.

40-1-7-1-23 PRIOR AUTHORIZATION DOCUMENT RETURN NOTICE (FORM PDS-54)
Dispose of after 30 days.

150-1-4-8-6-11 PROJECT FILE
Dispose of 5 years, after termination of project.

40-1-7-1-24 PROVIDER CLAIM ADJUSTMENT FILE
Dispose of after 3 years.

150-1-4-8-8-4 QUARTERLY REPORTS
MEETING MINUTES AND AGENDA: Retain permanently or transfer to the State Archives after 10 years.
ALL OTHER COPIES: Dispose of after 5 years.

150-1-4-8-4-2 REFERENCE FILES
Dispose of after 5 years, provided audit has been completed.

40-1-7-1-26 RECEIPT INSURANCE VERIFICATION (FORM PDS-46)
Used to notify case worker of change or other occurrences concerning recipient insurance.
Dispose of after 30 days.

150-1-4-8-8-5 RECIPIENT INSURANCE VERIFICATION (FORM PDS-46)
Dispose of after 1 year.

150-1-4-8-8-6 REFERENCE LIBRARY FILE INDEX
Dispose of after 1 year.

150-1-4-8-8-7 REGISTRATION SHEETS
Dispose of after 1 year.

150-1-4-8-8-8 SENIOR CENTER REGISTRATION CARD FILE
Dispose of 3 years after last contact with individual.
150-1-4-8-6-7  SENIOR HANDBUS REGISTRATION CARD
Dispose of after 5 years, provided audit has been completed. ¹

150-1-4-8-6-8  SENIOR HANDBUS RESERVATION FORM
Dispose of after 90 days.

150-1-4-8-3-20  SOCIAL SERVICES BILLING DOCUMENT
& 40-1-7-1-27  ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed. ¹
ELECTRONIC RECORD: Backup daily or monthly, dispose of after superseded.
SECURITY BACKUP COPY: Dispose of after superseded.

150-1-4-8-3-21  SOCIAL SERVICES PROVIDER AUTHORIZATION
& 40-1-7-1-28  ORIGINAL RECORD: Dispose of after 5 years, provided audit has been completed. ¹
ELECTRONIC RECORD: Backup daily or monthly; dispose of after superseded.
SECURITY BACKUP COPY: Dispose of after superseded.

40-1-5-54  SUMMARY OF PATIENT RECERTIFICATION ACTIVITY (FORM DM-24R&S)
Dispose of after when no longer of reference value.

40-1-5-55  SUMMARY OF PRESCRIPTION GROSS PROFIT SURVEY (MS-OT-2)
Dispose of after 5 years.

40-1-5-56  SURS 1-9 FORMS
Dispose of after entered and verified.

40-1-5-57  SURS FRAUD AND ABUSE CARD FILES
Dispose of 10 years after the case is closed.

150-1-4-8-3-22  TEMPORARY ELIGIBILITY FOR SOCIAL SERVICES
Dispose of after 5 years, provided audit has been completed. ¹

150-1-4-8-4-3  TITLE V CLIENT FILES
Dispose of 5 years after last activity, provided audit has been completed. ¹

150-1-4-8-3-23  TITLE XX FILE
Dispose of after 5 years, provided audit has been completed. ¹

150-1-4-8-3-24  TITLE XX INDEX FILE
Dispose of 5 years after client’s termination by Social Services, provided audit has been completed. ¹

40-1-7-1-29  UNPAID MEDICAL CLAIMS STATUS REPORT
Report showing activities of computer suspense, data entry, and medical payments.
Dispose of after 3 years.

150-1-4-8-6-12  VOLUNTEER FILE
Dispose of 3 years after volunteer becomes inactive or deceased.

150-1-4-8-6-13  VOLUNTEER HOURS LOGBOOK
Dispose of after 3 years, provided audit has been completed. ¹

150-1-4-8-6-14  VOLUNTEER STATIONS FILE
Dispose of after 1 year.
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.

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.)

<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></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<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>Lateral File, 4 drawer/shelf letter-size</td>
<td>9 Cu. Feet</td>
<td>149.94 lbs</td>
<td>15,003</td>
<td>288 MB</td>
</tr>
<tr>
<td>Lateral File, 4 drawer/shelf legal-size</td>
<td>12 Cu. Feet</td>
<td>199.92 lbs</td>
<td>20,004</td>
<td>384 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>