

Schedule 150-6

HEALTH AND HUMAN SERVICES

DIVISION OF PUBLIC HEALTH – LICENSURE UNIT

August 14, 2012

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	150-6
AGENCY, BOARD OR COMMISSION	DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION, BUREAU OR OTHER UNIT	DIVISION OF PUBLIC HEALTH-LICENSURE UNIT
Supersedes Schedule 150-2-1 Edition of September 1, 2006; Schedule 35-2 Edition of December 14, 1991; Schedule 35-12 Edition of August 1, 1990; Schedule 35-16 Edition of June 27, 1994; Schedule 150-1-1-2 Edition of October 6, 2009; Obsolete item 40-1-9-10	

**TO: STATE RECORDS ADMINISTRATOR
STATE OF NEBRASKA**

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

CMO / Director DPH

DATE

8/6/12

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

8/8/2012

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

8/10/12

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

8/14/12

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 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** (Neb. Rev. Stat. §82-105). The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Neb. 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 2nd to 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**

SCHEDULE 150-6
DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION OF PUBLIC HEALTH - LICENSURE UNIT
August 14, 2012

Retention requirements are for all records, regardless of the media on which they reside, unless otherwise noted.

Supersedes Schedule 150-2-1 Edition of September 1, 2006; Schedule 35-2 Edition of December 14, 1991; Schedule 35-12 Edition of August 1, 1990; Schedule 35-16 Edition of June 27, 1994 and Schedule 150-1-1-2 Edition of October 6, 2009, obsolete item 40-1-9-10

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENT
150-006-001-000-000-000-000	ADMINISTRATIVE PENALTY FEES	Notification and supporting documentation for administrative penalties.	After penalty paid or action taken	
150-006-002-000-000-000-000	CERTIFICATE OF NEED	Health care facility project application files under Certificate of Need (CON) Act. Examples may include, but are not limited to: correspondence (including inquiries and responses), applications for certificate of need (CON) and decisions.	10 years	Nebraska Health Care Certificate of Need Act - Neb. Rev. Stat. §71-5801 to 71-5870
150-006-003-000-000-000-000	FAMILY CHILD CARE HOME I & II, CHILD CARE CENTERS AND PRESCHOOLS - DISCIPLINARY ACTION OF LICENSED CHILD CARE PROGRAMS	Documents related to child care licensing disciplinary action. Examples may include, but are not limited to: notices of denial, probation, license limitation, civil penalty, suspension and revocation.	10 years or after no longer of administrative value (whichever is later)	
150-006-004-000-000-000-000	FAMILY CHILD CARE HOME I & II, CHILD CARE CENTERS AND PRESCHOOLS - LICENSE FILE	These files contain all the information necessary to license a child care facility. Examples may include, but are not limited to: application forms, felony/misdemeanor statements, criminal history records, central registry checks, health information reports, fire safety and sanitation referrals and inspection reports, copies of licenses, inspection and complaint investigation reports, negative actions licensing agreement and correction action status.	10 years	
150-006-005-000-000-000-000	FAMILY CHILD CARE HOME I & II, CHILD CARE CENTERS AND PRESCHOOLS - UNLICENSED CHILD CARE INVESTIGATIONS	Includes, but is not limited to notification and supporting documents resulting from complaints that individuals are providing child care illegally.	5 years after end of investigation	
150-006-006-000-000-000-000	GROUP HOMES, CHILD CARE AGENCIES AND PLACING AGENCIES - DISCIPLINARY ACTION OF LICENSED	Documents related to child care licensing disciplinary action. Examples may include, but are not limited to: probation, suspension, revocation and denial.	5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENT
150-006-007-000-000-000-000	GROUP HOMES, CHILD CARE AGENCIES AND PLACING AGENCIES - INVESTIGATION DOCUMENTS OF CHILD WELFARE PROGRAMS	Includes, but is not limited to notification and supporting documents resulting from complaints that individuals are providing group care or placing children without a license.	5 years after end of investigation	
150-006-008-000-000-000-000	GROUP HOMES, CHILD CARE AGENCIES AND PLACING AGENCIES - LICENSE FILE	These files contain all the information necessary to license a child care facility. Examples may include, but are not limited to: narrative report by field representative of inspection and recommendations for the facility, application forms, checklist, comprehensive review, complaint investigations, fire safety inspection reports and sanitation inspection reports.	5 years	
150-006-009-000-000-000-000	HEALTH CARE FACILITY - NON-PUBLIC RECORDS	Information for health care facilities and services for certification and/or licensure. Examples may include, but not limited to: facility and services surveys/inspections, supporting evidence, complaint investigations, activities relating to unlicensed entities, informal dispute resolutions, administrative hearings, nurse aide hearings and informal conferences.	10 years	
150-006-010-000-000-000-000	HEALTH CARE FACILITY LICENSURE AND CERTIFICATION - COMPLAINT RECORDS	May include, but not limited to: complainant, nature of complaint, date received, date of investigation and investigative findings.	Permanent	Electronic Record
150-006-011-000-000-000-000	HEALTH CARE FACILITY LICENSURE AND CERTIFICATION - FACILITY CONSTRUCTION FILES	Proposed and final construction plans of new facilities and remodeling projects. May include, but not limited to: description of remodeling projects, architectural/engineering drawings, project descriptions for new facilities and remodeling.	10 years	
150-006-012-000-000-000-000	HEALTH CARE FACILITY LICENSURE AND CERTIFICATION - PUBLIC RECORDS	Information for health care facilities and services for licensure and certification. Examples may include, but are not limited to: initial and renewal applications, inspection reports, survey deficiency statements, notice of enforcement action or disciplinary action, plans of correction/statements of compliance, complaint findings letters, change of ownership applications, changes in facility location or number of beds, construction project information, related correspondence, administrative hearing order, informal conference reports and informal dispute reports.	ORIGINAL RECORD: 10 years SECURITY MICROFILM: Transfer to off-site security storage; 50 years MICROFILM WORK COPY: 50 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENT
150-006-013-000-000-000-000	HEALTH CARE FACILITY LICENSURE AND CERTIFICATION - APPLICATIONS DENIED/PENDING	Documents which may include, but are not limited to: applications (where no license or certification was issued or application was denied), statement of deficiencies, notification letter denying certification and licensure and/or related correspondence.	10 years	
150-006-014-000-000-000-000	LICENSURE BUDGET FILES	Licensure budget files which may include, but are not limited to: monthly/quarterly/annual budget reports by program and area, budget projections, personal service limitation (PSL) authorizations and/or related correspondence.	5 years	
150-006-015-000-000-000-000	MINUTES	Includes official minutes and agendas. Examples may include, but are not limited to: Professional Licensing Boards, Prison Task Force, Sex Offenders Task Force, Quality Management Plan for Regulation and Licensure, Hearing Aid Group or Uniform License Law Rewrite.		•See MEETING MINUTES AND MATERIALS, ITEM 124-078
150-006-016-000-000-000-000	MISCELLANEOUS RECORDS	General administrative records not related to a specific facility/purpose. Examples may include, but are not limited to: reports submitted to Centers for Medicare and Medicaid Services (CMS) Regional Office for Outcome and Assessment Information Set (OASIS), Outpatient Physical Therapy, Performance Standards, licensure regulation public hearing comments and other general administrative records that are not related to a specific facility or service.	5 years	
150-006-017-000-000-000-000	NE REGULATION OF HEALTH PROFESSIONS - CREDENTIALING REVIEW AND PERIODIC REVIEW & EVALUATION PROGRAM (PREP)	Documents related to the Credentialing Review and the Periodic Review and Evaluation Program. Examples may include, but are not limited to: transcripts, applications, correspondence, lists of stakeholders/interested parties, committee members, applications and reports.	FINAL REPORT: 5 years SUPPORTING DOCUMENTS: 5 years after report is generated OTHER COPIES: See NONRECORD MATERIAL, item 124-082	
150-006-018-000-000-000-000	PROFESSIONS - MED AIDE AND NURSE AIDE REGISTRY	Records pertaining to the registration of Med and Nurse Aides. Examples may include, but are not limited to: renewal information, grades, transcripts, training verification and/or application for registry.	5 years	
150-006-019-000-000-000-000	PROFESSIONS - PAID DINING ASSISTANT RECORD	Record of training completion for Paid Dining Assistants.	5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENT
150-006-020-000-000-000-000	PROFESSIONS AND OCCUPATIONS - APPLICATION FOR CONTINUING EDUCATION PROVIDER	Applications for approval to render continuing education to licensees.	ISSUED: After issuance DENIED: 5 years	
150-006-021-000-000-000-000	PROFESSIONS AND OCCUPATIONS - COMPLETED APPLICATION FOR INDIVIDUAL CREDENTIALS	Original application and required documentation for licensure, certification, registration, or permits, including evidence that the credential is issued, denied, or not accepted. Examples may include, but not limited to: applications for temporary credentials, add-ons, provisional's, Systematic Alien Verification for Entitlements (SAVE) and Nebraska Data Exchange Network (NDEN).	LICENSE ISSUED PRIOR TO 12/01/2008: NOT MICROFILMED: Data entry into database and scan; dispose of after image verification ELECTRONIC IMAGES: 100 years SECURITY MICROFILM: Transfer to off-site security storage; 100 years MICROFILM WORK COPY: 100 years LICENSE REVIEWED/ISSUED AFTER 12/01/2008: ORIGINAL RECORD: 5 years NOT ACCEPTED: 60 days DENIED: 5 years	<ul style="list-style-type: none"> •Neb. Rev. Stat. 71-108 •Prior to 12/1/2008 Paper records migrated to microfilm or electronic images, after 12/1/2008 paper •ELECTRONIC DATABASE: See PROFESSIONS AND OCCUPATIONS-LICENSING INFORMATION SYSTEM (LIS), item 150-006-030
150-006-022-000-000-000-000	PROFESSIONS AND OCCUPATIONS-COMPLETED APPLICATIONS FOR ESTABLISHMENTS, PROGRAMS, SERVICES, TRAINING AGENCIES OR SCHOOLS	Original applications and required documentation of credential/approval for issuance, denial, or not accepted. These records pertain to all types of establishments, schools, programs, services, or training agencies. May include, but is not limited to: nursing school curricula, cosmetology related professions, funeral directing, massage therapy, Emergency Medical Services (EMS), training agencies and cosmetology student hours.	LICENSE ISSUED PRIOR TO 12/01/2008: NOT MICROFILMED: Data entry into database and scan; dispose of after image verification ELECTRONIC IMAGES: 100 years SECURITY MICROFILM: Transfer to off-site security storage; 100 years MICROFILM WORK COPY: 100 years LICENSE REVIEWED/ISSUED AFTER 12/01/2008: ORIGINAL RECORD: 5 years NOT ACCEPTED: 60 days DENIED: 5 years	<ul style="list-style-type: none"> •Neb. Rev. Stat. 71-108 •Prior to 12/1/2008 Paper records migrated to microfilm or electronic images, after 12/1/2008 paper •ELECTRONIC DATABASE: See PROFESSIONS AND OCCUPATIONS-LICENSING INFORMATION SYSTEM (LIS), item 150-006-030
150-006-023-000-000-000-000	PROFESSIONS AND OCCUPATIONS-COMPLIANCE OR NON-COMPLIANCE MONITORING	Includes probationary information which is gathered to document compliance or non-compliance with the department disciplinary and non-disciplinary action.	COMPLIANCE: 5 years after completion of probation NON-COMPLIANCE: 50 years	
150-006-024-000-000-000-000	PROFESSIONS AND OCCUPATIONS-CONTINUING EDUCATION AUDIT	Documents required to accomplish the audit and audit results.	COMPLIANCE: After next renewal NON-COMPLIANCE: 5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENT
150-006-025-000-000-000-000	PROFESSIONS AND OCCUPATIONS-DISCIPLINARY/ NON-DISCIPLINARY ACTIONS	Records of legal action including petitions for disciplinary action, appeal requests for denials, notice of hearing(s), motion(s), hearing transcripts, orders, any other related correspondence, cease and desist orders, or	TRANSCRIPTS: 5 years ALL OTHER DOCUMENTS: 50 years	
150-006-026-000-000-000-000	PROFESSIONS AND OCCUPATIONS-EXAM RELATED MATERIALS, STATE DEVELOPED	Test questions used on a given examination. May include, but not limited to: ear molds and x-rays.	5 years	
150-006-027-000-000-000-000	PROFESSIONS AND OCCUPATIONS-EXAMINATION RELATED MATERIALS AND SCORES	Includes the answers recorded by each examinee when examined for issuance of credential, probationary terms or similar reasons and the individual/composite score report for all candidates who took a given examination.	STATE SPECIFIC EXAMS: 5 years NATIONAL EXAMS: 50 years	
150-006-028-000-000-000-000	PROFESSIONS AND OCCUPATIONS-INCOMPLETE/ WITHDRAWN APPLICATIONS	Applications which are filed by people, facilities, or services wanting to become credentialed but who fail to complete the process. Also includes applications for individuals who fail an examination and do not retake it.	60 days after non-activity by applicant	
150-006-029-000-000-000-000	PROFESSIONS AND OCCUPATIONS-INSPECTION & SITE VISIT REPORTS FILE	Reports of initial and subsequent inspections and site visits for all establishments, schools, training agencies, and services. Examples may include but not limited to: cosmetology related professions, funeral directing, massage therapy, emergency medical services and nursing.	5 years	
150-006-030-000-000-000-000	PROFESSIONS AND OCCUPATIONS-LICENSING INFORMATION SYSTEM (LIS)	Record lists all individuals/facilities for each profession/occupation who have been credentialed through the Licensure Unit. Original record examples may include but not limited to: certification/verification, reissue documents, name changes etc. The electronic record may include, but is not limited to: name, address, date and place of birth, social security number, school of graduation, location of school, date of graduation, date of examination, ratings or grades received (if any), license type, license number, date issued, basis on which the credential was issued, status of credential and any additional information the department deems appropriate to advance or support the purpose of the Uniform Credentialing Act.	ELECTRONIC RECORD: Permanent ANNUAL REPORTS: 10 years MONTHLY REPORTS: 1 year	•ORIGINAL RECORD: See PROFESSIONS AND OCCUPATIONS-COMPLETED APPLICATION FOR INDIVIDUAL CREDENTIALS, item 150-006-021 or PROFESSIONS AND OCCUPATIONS - COMPLETED APPLICATIONS FOR ESTABLISHMENTS, PROGRAMS, SERVICES, TRAINING AGENCIES OR SCHOOLS, item 150-006-022

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENT
150-006-031-000-000-000-000	PROFESSIONS AND OCCUPATIONS-NON PUBLIC DOCUMENTS FROM APPLICATION	Non public documents which are part of the original application and supporting documentation. Examples may include, but are not limited to: FBI background checks, chemical dependency results, mental health evaluations, treatment records and physical health	5 years	
150-006-032-000-000-000-000	PROFESSIONS AND OCCUPATIONS-REFUSAL TO RENEW	Notification to licensee, certificate holder, registrant, or permittee of failure to meet renewal requirements. Examples may include, but are not limited to: nonpayment, failure to meet continuing education requirement, failure to pay administrative penalty fee, discipline in another state and commission of a disciplinable act.	5 years	
150-006-033-000-000-000-000	PROFESSIONS AND OCCUPATIONS-REINSTATEMENTS	Reinstatement documents related to expired, voluntary surrender, inactive or lapsed status.	ISSUED: After renewal DENIED: 5 years	
150-006-034-000-000-000-000	PROFESSIONS AND OCCUPATIONS-RENEWAL RECORDS	Renewal records which provide proof of credential renewal, waivers, extensions, continued competency or request for inactive	After next renewal	
150-006-035-000-000-000-000	PUBLIC HEALTH RECOGNITION PROGRAM	Awards and recognitions issued by the Board of Health to public health programs.	5 years	
150-006-036-000-000-000-000	REFUNDS	Refund forms returned from Finance with regard to applications for credentialing or registry.	30 Days	

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8 TH 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.

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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