

Schedule 39-113

DEPARTMENT OF EDUCATION VOCATIONAL REHABILITATION July 8, 2005

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	39-113
AGENCY, BOARD OR COMMISSION	DEPARTMENT OF EDUCATION
DIVISION, BUREAU OR OTHER UNIT	VOCATIONAL REHABILITATION
Supersedes Edition of May 26, 2003	

**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



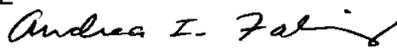
DATE

7/6/05

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



STATE ARCHIVIST

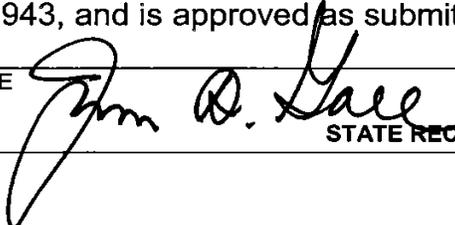
DATE

July 7, 2005

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



STATE RECORDS ADMINISTRATOR

DATE

7/8/05

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines 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. 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 Consultant 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 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 your 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, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

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SCHEDULE 39 – 113 – DEPARTMENT OF EDUCATION – VOCATIONAL REHABILITATION

39-113-100 DISABILITY DETERMINATIONS SECTION (DDS)

39-113-101 CASE RETURNS FROM SSA CASE REVIEWS

The Social Security Administration reviews a portion of DDS completed cases to test for compliance with federal policies and procedures. Cases found to have been done erroneously are returned for correction. These returns are retained for training purposes.

Dispose of after 3 years.

39-113-102 EDP SYSTEM CASE RECORDS

Computer records of the cases adjudicated by the Disability Determinations Section maintained in a case file format. Each file may include such information as the claimant's name, Social Security number, date(s) of receipt, date(s) of disposition, the address and phone number of the claimant, the decision on the claim including the basis for that decision, and a record of the medical examinations the claimant attended.

ELECTRONIC DATA: Backup daily; dispose of after 3 years, provided audit has been completed.¹

PRINTOUT: Dispose of after 3 years, provided audit has been completed.¹

SECURITY BACKUP COPY: Dispose of after superseded.

39-113-103 FINANCIAL RECORDS, DDS

39-113-103-1 FINANCIAL RECORDS, DDS - SPREADSHEETS

Spreadsheets documenting funding obligation updates which are submitted electronically on a monthly basis to the Social Security Administrator's Regional Office in Kansas City, MO.

ELECTRONIC DATA: Backup daily; dispose of after 3 years.

PRINTOUT: Dispose of after 3 years, provided audit has been completed.¹

SECURITY BACKUP COPY: Dispose of after superseded.

39-113-103-2 FINANCIAL RECORDS, DDS, ALL OTHER RECORDS

Includes:

1. Copies of NAS payment documents and reports (the originals are retained by the Department of Education's Accounting Division.) (Obsolete with the implementation of NIS).
2. State Agency Obligational Authorization for SSA Disability Programs (SSA-872) which provides the current funding authorization for the Disability Determinations Program.
3. State Agency report of Obligations for SSA Disability Programs (SSA-4513) which is submitted quarterly to the Central Office of the Social Security Administration in Baltimore, MD for each open fiscal year's funding.
4. Addendum to SSA-4513 which is filed quarterly and provides the basis/calculations for the indirect cost obligation reported on the SSA-4513.
5. State Agency Schedule of Equipment Purchased for SSA Disability Programs (SSA-871) which is submitted quarterly to the Central Office of the Social Security Administration whenever funds are disbursed during that quarter for an equipment purchase.
6. Time Report of Personnel Services for Disability Determinations Services (SSA-4514) which is submitted quarterly to the Central Office of the Social Security Administration.
7. Copies of internal computations used in preparation of reports of financial obligations provided to the Social Security Administration.

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

39-113-104 GENERAL CORRESPONDENCE/COMMUNICATIONS FILES

These are files of general correspondence related to the administration of the Disability Determinations Program.

See Schedule 124, Communications/Correspondence.

39-113-105 LOCALLY PRODUCED WORKLOAD REPORTS

The DDS data processing system, EDP System Case Records, Records Retention Schedule Item # 39-113-102, produces weekly reports of workload management including the number of cases received and cleared by each examiner, processing time, pending caseloads, and rate of purchase of consultative examinations.

Dispose of after 5 years.

39-113-106 PAYMENT REGISTERS AND COPIES OF MEDICAL SERVICES INVOICES (FORMERLY ENCUMBRANCES AND PAID BILLS REPORTS (VRC095B))

The Disability Determinations Section processes payments in a batch of format (750 payments per batch) to doctors, hospitals, and other medical service providers. The payments are reimbursements to the providers for services – either in the form of examinations of applicants for disability benefits, or copies of medical records which pertain to disability applicants. Invoices being paid are attached to a copy of the payment register and are maintained at the Disability Determinations Offices.

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

39-113-107 PERFORMANCE REPORTS ISSUED BY SSA

The important performance goals for DDS are to make the correct decision, to achieve low processing time, and to control the costs of program operation. SSA issues periodic statistical reports which display DDS performance in each of these areas. Included are routine statistical records, cost analyses, and similar program or office activity reports. The frequency of issuance, the content, and the format of these reports are controlled by SSA and are therefore subject to unpredictable change.

Dispose of after 5 years.

39-113-108 RESIDUAL CLAIMS FILES

These records consist of a summary of case development actions performed during the processing of each case, along with a copy of the final decision on the case. This portion of the entire case record remains in the DDS after the remainder of the folder has been returned to the Social Security Administration.

Dispose of after 1 year.

39-113-109 SSA SYSTEMS INQUIRIES AND ALERTS

Printouts received electronically from Social Security's System for the purpose of inquiry, case alert, or case editing.

PRINT-OUT COPY: Dispose of after 90 days.

ELECTRONIC DATA: Dispose of after printed out.

39-113-110 STANDARD OPERATING AND ADMINISTRATIVE PROCEDURES MANUAL

DDS has a need to issue to its staff various instructions, office procedures, directories, and other information essential to effective and efficient program operation. These instructions are part of a manual called the "**SOAP**". This manual is periodically updated as needed. A current version of the **SOAP** is always maintained.

Dispose of any/all superseded portions, 2 years after they become superseded.

39-113-111 STATE AGENCY OPERATIONS REPORTS WORKSHEETS

Worksheets used in the preparation of reports of state agency operations which are transmitted electronically to the Social Security Administration. The **STATE AGENCY OPERATIONS REPORT (SAOR)** is transmitted weekly and contains such data as number of cases received, number of cases cleared, number of exams purchased, and the number of hours worked by staff reported by classification category. The **STATE AGENCY WORK SAMPLING REPORT** is taken periodically on an unannounced basis and describes the actual activities of staff members at a certain time on a certain date (working on a case, type of a case indicated, on leave, etc.).

PAPER: Dispose of 3 years after data has been transmitted.

ELECTRONIC DATA: Backup daily, dispose of after superseded or obsolete.

SECURITY BACKUP COPY: Dispose of after superseded or obsolete.

39-113-200 VOCATIONAL REHABILITATION

39-113-201 911 UPDATE LISTING

Edit listing on the vocational rehabilitation statistical report sent to the Federal Department of Education. May originate in electronic or paper form.

PAPER: Enter data into electronic database; dispose of after 3 years, provided audit has been completed.¹

ELECTRONIC DATA: Backup daily; dispose of after 3 years, provided audit has been completed.¹

SECURITY BACKUP COPY: Dispose of after superseded.

39-113-203 CLIENT CASE FILES

Individual records of services provided to clients. May originate in electronic or paper form. May include eligibility data, counselor's notes, and documentation on the case. Will be retained for at least 3 years from the date the grantee or sub-grantee submits the final expenditure report to the awarding agency for the funding period in which the case is closed. EDGAR 34CFR 80.42. Two events must be completed before the records can be destroyed:

1. The financial years must be completed.
2. The audit for the case file must be completed.

PAPER: Enter data into electronic database; dispose of after 3 years, provided audit has been completed.¹

ELECTRONIC DATA: Backup daily; dispose of after 3 years, provided audit has been completed.¹

SECURITY BACKUP COPY: Dispose of after superseded.

39-113-204 COUNSELOR CASE FLOW SHEET RECORD

Clients listed by name and status for each counselor caseload.

ELECTRONIC DATA: Backup daily; dispose of after 1 year.

PRINTOUT: Dispose of after superseded.

SECURITY BACKUP COPY: Dispose of after superseded.

39-113-205 CRIMINAL BACKGROUND SCREEN RECORDS

Background screens on consumers, service providers and new employees of Vocational Rehabilitation and the Assistive Technology Partnership agencies. May originate in electronic or paper form.

PAPER: Enter data into electronic database; dispose of after 3 years.

ELECTRONIC DATA: Backup daily; dispose of after 3 years.

SECURITY BACKUP COPY: Dispose of after superseded.

DELETED RECORDS

39-113-202 CLAIMS REGISTERS (OBSOLETE 2003)
39-113-206 RETURN ON INVESTMENT REPORT (OBSOLETE 2003)

NOTE

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

RECORDS DISPOSITION REPORT

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

REQUIRED INFORMATION:

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

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

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

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

DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

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

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