

Schedule 150-1-1-7

DEPARTMENT OF HEALTH AND HUMAN SERVICES SYSTEM DEVELOPMENTAL DISABILITIES SYSTEM

December 16, 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	150-1-1-7
AGENCY, BOARD OR COMMISSION	Health & Human Services System
DIVISION, BUREAU OR OTHER UNIT	Developmental Disabilities System

**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 <i>Nancy Montaney</i>	
TITLE <i>Director</i>	DATE <i>12/9/05</i>

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 <i>Andrew I. F...</i>	DATE <i>Dec. 15, 2005</i>
STATE ARCHIVIST	

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 <i>Jim D. Galt</i>	DATE <i>Dec 16, 2005</i>
STATE RECORDS ADMINISTRATOR	

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 150-1-1-7 – DEPARTMENT OF HEALTH AND HUMAN SERVICES SYSTEM – DEVELOPMENTAL DISABILITIES SYSTEM

150-1-1-7-1 ADVISORY/ADVOCACY GROUP MINUTES

Minutes from groups, which are legislatively mandated.

ORIGINAL RECORD: File one copy with the Legislative Research Library; retain permanently.

ALL OTHER COPIES: Dispose of 5 years from date of meeting.

150-1-1-7-2 CLIENT INFORMATION SYSTEMS

Computer data which contain client tracking and or client identifying information used as a basis for development of treatment authorizations, or reports on the nature and extent of treatment services funded in whole or part by Developmental Disabilities System, including Client Information System, Developmental Disabilities ECHO Data System and N-FOCUS.

ORIGINAL RECORD: Retain permanently.

ELECTRONIC DATA: Backup daily and/or monthly; retain permanently.

SECURITY COPY (DISKETTE): Backup daily and/or monthly; dispose of after superseded.

150-1-1-7-3 CONTRACTS/GRANTS OR FUNDING AGREEMENTS – STATE AUTHORITY AS FUNDER

Direct funding or service agreements between Developmental Disabilities, and service provider. Files may include quarterly reports, reports of management and operations, general correspondence, report on compliance visits, Audits, Turn Around Documents, Requests for Payments, contract (or funding agreement) and amendments and other associated information about the service provider or agreement.

ORIGINAL RECORD: Dispose of after 5 years from last day of contract, provided audit has been completed.¹

ELECTRONIC DATA: Backup daily and/or monthly; retain permanently.

SECURITY COPY: Backup daily and/or monthly; dispose of after superseded.

150-1-1-7-4 CONTRACTS/GRANTS OR FUNDING AGREEMENTS – STATE AUTHORITY AS RECIPIENT

Applications, correspondence and actions relative to funding in which Division/Department is recipient from grants/contracts or other instruments of agreement by State Divisions.

ACCEPTED: Dispose of after 5 years from last day of contract, provided audit has been completed.¹

REJECTED: Dispose of 2 years after date of notification.

150-1-1-7-5 DATA COLLECTION FORMS

Data collection instruments or data entry documents which may include information to be keyed into computer for consumer surveys or registry entries, authorizations, and assessments.

PAPER COPY: Dispose of after data entry and/or verification.

ELECTRONIC DATA: Backup daily and/or monthly; dispose of after 5 years.

SECURITY COPY: Backup daily and/or monthly; dispose of after superseded.

150-1-1-7-6 STATE PLAN (FORMERLY OPERATIONS PLAN)

Comprehensive and integrated statewide plan for specialized services to persons with developmental disabilities.

ORIGINAL: Transfer 1 copy to State Archives and 1 copy to the Legislative Research Library; retain permanently.

ALL OTHER COPIES: Dispose of after 2 years.

ELECTRONIC DATA: Backup daily and/or monthly; dispose of after 2 years.

SECURITY COPY: Backup daily and/or monthly, dispose of after superseded.

150-1-1-7-7 POLICY AND PROCEDURE MANUALS

Manuals setting out operational policies and procedures for division, or other functional areas.

Dispose of after 5 years, or when superseded, whichever is later, subject of review by the State Archives for possible accession.

150-1-1-7-8 PROGRAM SPECIALIST RECORDS (FORMERLY PROGRAM DATA)

Records about programs and/or correspondence regarding outside information requests and program deliveries by division funded agencies.

Dispose of after 5 years, or when obsolete, whichever is later.

150-1-1-7-9 PROVIDER CERTIFICATION/APPROVAL

Final report of agency regulatory compliance visits performed by division staff.

Dispose of 5 years after date of last contact, or 5 years from expiration of certification, whichever is later.

150-1-1-7-10 SPEECHES/LEGISLATIVE TESTIMONY

Speeches or legislative testimony prepared and presented by department staff.

Dispose of after one year from date of presentation.

150-1-1-7-11 STUDIES AND REPORTS

Project information or statistics used to evaluate costs, expenditures, usefulness, client activities, etc.

ELECTRONIC DATA: Backup daily and/or monthly; retain permanently.

SECURITY COPY: Backup monthly, dispose of after superseded.

STUDIES AND REPORTS RELEASED TO THE PUBLIC: Transfer to State Archives: retain permanently. Transfer one copy to the Legislative Research Library; retain permanently.

STUDIES AND REPORTS NOT RELEASED TO THE PUBLIC: Dispose of after completion of project.

ALL OTHER COPIES: Dispose of after 2 years.

150-1-1-7-12 STAFF MEETING MINUTES

Minutes of staff meetings or committees not required for standards compliance, regulation, grant compliance or accreditation.

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	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
