

Updated Disposition Report instructions and address 11/2022
No changes were made to records retention

Schedule 150-1-1-7

**DEPARTMENT OF HEALTH AND
HUMAN SERVICES SYSTEM**

**DEVELOPMENTAL
DISABILITIES SYSTEM**

December 16, 2005

Nebraska Records Management Division
3242 Salt Creek Circle
Lincoln, NE 68504
(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

Nancy Montanez

TITLE

Director

DATE

12/9/05

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

Andrew I. Felt

STATE ARCHIVIST

DATE

Dec. 15, 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

John D. Galt

STATE RECORDS ADMINISTRATOR

DATE

Dec 16, 2005

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 specifically for records unique to your office and the State Agencies General Records Schedule #124 contains those records common to most state government agencies. This retention schedule, which is approved by the State Records Administrator, provides 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. Unless there is pending or on going, legal action, records request, or audit.
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 located on the Secretary of State Records Management website. https://appengine.egov.com/apps/ne/sos_records_disposition_report. This report establishes that the destruction was performed in your normal course of business.

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 the Records Management Specialist in Records Management. They 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
3242 Salt Creek Circle
Lincoln, NE 68504
402-471-2559**

INDEX

SCHEDULE 150-1-1-7 HEALTH AND HUMAN SERVICES SYSTEM DEVELOPMENTAL DISABILITIES SYSTEM

	Item	Page
ADVISORY/ADVOCACY GROUP MINUTES	150-1-1-7-1	5
CLIENT INFORMATION SYSTEMS	150-1-1-7-2	5
CONTRACTS/GRANTS OR FUNDING AGREEMENTS – DIVISION AS FUNDER.....	150-1-1-7-3	5
CONTRACTS/GRANTS OR FUNDING AGREEMENTS – DIVISION AS RECEIPIENT	150-1-1-7-4	5
DATA COLLECTION.....	150-1-1-7-5	6
POLICY AND PROCEDURE MANUALS.....	150-1-1-7-7	6
PROGRAM SPECIAL RECORDS (FORMERLY PROGRAM DATA).....	150-1-1-7-8	6
PROVIDER CERTIFICATION/APPROVAL	150-1-1-7-9	6
RECORDS DISPOSITION REPORT (BLANK FORM)		8
SPEECHES/LEGISLATIVE TESTIMONY	150-1-1-7-10	6
STUDIES AND REPORTS	150-1-1-7-11	6
STAFF MEETING MINUTES	150-1-1-7-12	7
STATE PLAN (FORMERLY OPERATIONS PLAN)	150-1-1-7-6	6

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.