

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

Schedule 150-1-4-3

HEALTH AND HUMAN SERVICES SYSTEM

**Disease Prevention and Health
Promotion
March 30, 2006**

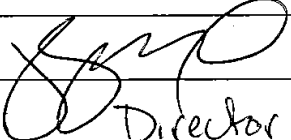
Nebraska Records Management Division
3242 Salt Creek Circle
Lincoln, NE 68504
(402) 471-2559

**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

SCHEDULE	150-1-4-3
AGENCY, BOARD OR COMMISSION	Health & Human Services System
DIVISION, BUREAU OR OTHER UNIT	Disease Prevention & Health Promotion
TO: STATE RECORDS ADMINISTRATOR STATE OF NEBRASKA	

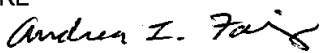
PART I -- AGENCY STATEMENT

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	Director RSL
DATE	3/26/06

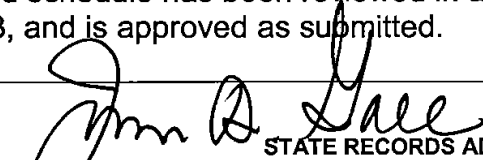
PART II - ARCHIVAL APPROVAL

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		DATE	Mar 29, 2006
	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		DATE	3/30/06
	STATE RECORDS ADMINISTRATOR		

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**

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SCHEDULE 150-1-4-3 HEALTH AND HUMAN SERVICES SYSTEM Disease Prevention & Health Promotion

150-1-4-3-1 GENERAL HEALTH PROMOTION

150-1-4-3-1-1 AGREEMENTS

Copy of written agreement between the State Department of Health and Human Services System. Includes updates or changes in prior agreements and contracts, which do not nullify but only modify certain aspects. The County Health Agency agrees to provide educational services to the local residents and the State will provide partial salaries for staffing.

Dispose of 5 years after fulfillment of agreement, provided audit has been completed.¹

150-1-4-3-1-2 PHOTOGRAPHS

Photographs, slides, and negatives of Health & Human Services System employees and programs. This information is for annual reports, news releases, and presentations sponsored by the Health & Human Services System.

Dispose of after 1 year, or when obsolete or superseded, whichever is sooner, subject to review by the State Archives for possible accession.

150-1-4-3-1-3 RESOLUTION

Affidavit from the local county boards detailing the conditions for establishing a County Health Department.

ORIGINAL RECORD: Microfilm and destroy originals; retain permanently.

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM WORK COPY: Retain permanently.

150-1-4-3-1-4 WORKSHEETS

Manual worksheets used to compile reports, presentations, or survey results. Information usually includes notes, research data, or program input.

Dispose of after completion of associated reports.

150-1-4-3-1-5 WORKSHOP EVALUATIONS

Responses from the participants of workshops sponsored by Nebraska Health & Human Services System. Information usually includes a questionnaire and suggestions for improvement.

Dispose of 1 year after results of the evaluations have been tabulated.

150-1-4-3-1-6 WORKSHOP PACKETS

A file developed to include the content material of workshops or seminars. Data may include minutes, pamphlets, and procedures for conducting a workshop, lists of participants, mailing lists, and correspondence.

ORIGINAL RECORD: Dispose of after 4 years.

ELECTRONIC DATA: Backup daily; retain permanently.

SECURITY COPY: Dispose of after superseded.

150-1-4-3-1-7 CONTRACTS

Contracts with agencies and individuals that provide consultation or services to the Arthritis Program. Original is kept with the Accounting Division.

Dispose of 5 years after fulfillment of contract terms, provided audit has been completed.¹

150-1-4-3-2 TOBACCO

150-1-4-3-2-1 TOBACCO FREE NEBRASKA PROGRAM SUB-GRANTEE FILES

Files on approved grants for each fiscal year. Each file may include grant application, contracts, grant revisions, reports, correspondence, etc. Also includes the grant process followed for each fiscal year, grant applications that were disapproved, records pertaining to State Plans and annual reports sent to the federal government.

Transfer to the State Records Center 2 years after end of fiscal year; dispose of 5 years after end of fiscal year, provided audit has been completed.¹

150-1-4-3-2-2 TOBACCO SETTLEMENT – TOBACCO FREE NEBRASKA PROGRAM

Community/School/Outreach Grants files for each of the approved grant applications, official grant correspondence (e.g. award and rejection letters), budget report forms/requests for payment and sitevisit/audit forms if performance and/or fiscal audit on subgrantees was conducted during the grant period. Subgrantee progress reports are retained on web-based reporting system called TRAIN (Tobacco Reporting and Information Network) system so individual subgrantee reports not in written form but available on-line.

Transfer to the State Records Center 2 years after end of fiscal year; dispose of 5 years after end of fiscal year, provided audit has been completed.¹

150-1-4-3-3 SAFE KIDS

150-1-4-3-3-1 CAR SEAT SAFETY CHECKLIST

Checklists used to inspect and install car seats correctly for safety purposes.

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

150-1-4-3-4 **CVD**

150-1-4-3-4-1 **CVD PROGRAM SUB-GRANTEE FILES**

Files on approved grants for each fiscal year. Each file may include grant application, contracts, grant revisions, reports, correspondence, etc. Also includes the grant process followed for each fiscal year, grant applications that were disapproved, records pertaining to State Plans and annual reports sent to the federal government.

Transfer to the State Records Center 2 years after end of fiscal year; dispose of 5 years after end of fiscal year, provided audit has been completed.¹

150-1-4-3-5 **INJURY PREVENTION**

150-1-4-3-5-1 **SUB-AWARDS**

Monetarily small contracts to vendors for services performed.

Dispose of after completion of the contract, provided audit has been completed.¹

150-1-4-3-5-2 **GRANT PROPOSALS AND REPORTS**

Federal grants requests, progress reports and correspondence relating to grant.

Dispose of after 3 years, unless grant states otherwise, provided audit has been completed.¹

150-1-4-3-6 **TRAFFIC SAFETY & SAFE COMMUNITIES
(OBSOLETE 2000)**

150-1-4-3-6-1 **TRAFFIC SAFETY & SAFE COMMUNITIES GRANT
PROPOSALS (OBSOLETE 2000)**

One year grant from Nebraska Office of Highway Safety to Nebraska Department of Health & Human Services Systems to form Safe Community Coalitions to promote traffic safety, seat belt and child restraint usage.

Immediately dispose of obsolete record, provided audit has been completed.¹

150-1-4-3-7 **IMPROVISATIONAL THEATER PROGRAM**

150-1-4-3-7-1 **EMERGENCY AND AGREEMENT WAIVER FORMS**

Emergency forms filled out by youth and adults for participation in any improvisational camps. Parent or Guardian Agreement Waiver forms filled out for youth 18 years and younger to participate in Improvisational training.

Dispose of 2 years after camp is finished unless participants have had emergency services, in which case dispose of 4 years after said participant has reached his/her age of majority.

150-1-4-3-8

BLOCK GRANT

150-1-4-3-8-1

**PREVENTIVE HEALTH AND HEALTH SERVICES
BLOCK GRANT (PHHS)**

Files for each fiscal year may include approved sub-award applications from both internal and external projects; copies of subcontracts, sub-award revisions, sub-award reports, correspondence, and monitoring/site visit reports. Program files may include documents concerning the sub-award process followed for each fiscal year, sub-award applications that were disapproved, and records of payments to external sub-awardees. Other files may contain records pertaining to the annual federal application, annual report sent to the federal government, correspondence with and award notices from the federal government, records of the annual PHHSBG Coordinators Workshop and records of required Advisory Committee meetings and Public Hearings.

Dispose of after 5 years following the end of the Federal fiscal year after the grant has expired, provided audit has been completed.¹

150-1-4-3-9

RENAL PROGRAM

150-1-4-3-9-1

**CHRONIC RENAL DIALYSIS AND TRANSPLANT
REPORT**

Quarterly report per hospital facility and per month of the quarter. Lists the number of patients dialyzed, number enrolled in the Nebraska Chronic Renal Disease Program that were dialyzed, total number of dialyses, number of patients who died, and the number of transplants.

Dispose of after 2 years.

150-1-4-3-9-2

CURRENT CHRONIC RENAL DISEASE PATIENT LIST

Semi-annual to annual listing of current chronic renal disease patients in Nebraska. Listings may include patient's name, Medicare eligibility date, acceptance date into the program, etc.

Dispose of after 1 year, or when superseded, whichever is later.

ELECTRONIC DATA: Backup monthly; dispose of after 1 year or when superseded, whichever is later.

SECURITY BACKUP: Dispose of after 1 year.

150-1-4-3-9-3

DIALYSIS REPORT

Monthly report submitted by renal treatment centers indicating patient identification, age, dialysis status, etc.

Dispose of after 2 years.

150-1-4-3-9-4

FINANCIAL REPORT

Quarterly report of hospitals, home dialysis, physician services, take--home drugs for EndStage Renal Disease (ESRD) patients, etc.

Dispose of after 2 years, provided audit has been completed.¹

ELECTRONIC DATA: Backup daily; retain permanently.

SECURITY COPY: Dispose of after superseded.

150-1-4-3-9-5 GUBERNATORIAL APPOINTMENT

Copy of the Gubernatorial Appointment Certificate appointing a new member to the Nebraska Renal Disease Advisory Committee.

Dispose of after 2 years, or when appointment expires, whichever is sooner.

150-1-4-3-9-6 RENAL PERMIT FILES

Application to participate in the Nebraska Chronic Renal Disease Financial Assistance Program. File may contain: Application to Nebraska Renal Disease Program, financial profile, hospital patients income tax list, insurance form, medical certification and release, etc.

Transfer to the State Records Center 1 year after last activity; dispose of 5 years after last activity, provided audit has been completed.¹

150-1-4-3-9-7 STANDARDS GOVERNING CARE AND TREATMENT OF PERSONS SUFFERING FROM CHRONIC RENAL DISEASE

The official policy statement of the Nebraska Chronic Renal Disease Program setting forth definitions, requirements, treatment facilities, financial eligibility, etc.

Dispose of after 5 years, or when superseded or when program becomes obsolete, subject to review by the State Archivist before disposal for possible accession.

150-1-4-3-10 CANCER AND SMOKING DISEASE RESEARCH

150-1-4-3-10-1 FISCAL YEAR GRANT CYCLE FILE

Individual files relating to the review of all grant applications received and their progress. Files may contain: contracts with university, various forms used for grants process, technical reviewer contracts and expenses, list of applications received and awarded, mailing list, correspondence, etc.

Transfer to the State Records Center 2 years after last activity; dispose of 5 years after last activity, provided audit has been completed.¹

150-1-4-3-10-2 RESEARCHERS FILES

Grant applications of medical researchers to further their study. Funded file may contain grant application and approvals, critique, progress reports, correspondence, etc. Non-funded file may contain: grant application and approvals, critique, correspondence, etc.

FUNDED GRANTS: Transfer to the State Records Center 2 years after last activity; dispose of 5 years after last activity, provided audit has been completed.¹

UNFUNDED GRANTS: Transfer to the State Records Center 2 years after last activity; dispose of 3 years after last activity, provided audit has been completed.¹

150-1-4-3-11 **HIV/AIDS PROGRAM**

150-1-4-3-11-1 **GRANT APPLICATIONS**

New or continuing applications for federal funding of the AIDS Program. Includes application, long range goals and objectives, justification, etc.

Dispose of 3 years after last activity.

150-1-4-3-11-2 **QUARTERLY NARRATIVES**

Brief update on the progress of the AIDS Program during the last quarter. Indicates how the program is meeting its long range goals, educational activity, update on personnel, etc.

Dispose of after 2 years.

ELECTRONIC DATA: Backup daily; retain permanently.

SECURITY COPY: Dispose of after superseded.

150-1-4-3-11-3 **COUNSELING TESTING SITE (CTS)**

Information obtained from CTS's in Nebraska pertaining to the number of people tested for HIV and pre and post-test counseling.

Update as required, retain permanently.

ELECTRONIC DATA: Backup monthly; update as needed. Dispose of after Federal requirements are met under 45 CFR, Part 74, Subpart D, or 45 CFR 92.42 as applicable.

SECURITY COPY: Dispose of after 1 year.

150-1-4-3-11-4 **CTS REPORTING FORMS**

Form contains various amounts of information regarding each patient seen at a CTS. Information is then downloaded into the CTS database.

Dispose of 6 months after data is entered and verified.

150-1-4-3-12 **DIABETES CONTROL PROGRAM**

150-1-4-3-12-1 **GRANT APPLICATIONS**

New or continuing applications for federal funding of the Diabetes Control Program. Includes application, long range goals and objectives, justification, etc.

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

150-1-4-3-12-2 **COOPERATIVE AGREEMENTS AND REPORTS
(OBSOLETE 2000)**

Obsolete reports and agreements.

Immediately dispose of obsolete records.

150-1-4-3-12-3 **EYE SCREENING SITES; EYE PHOTOGRAPHS (OBSOLETE 2000)**

Obsolete reports and agreements.

Immediately dispose of obsolete records.

150-1-4-3-13 **RYAN WHITE PROGRAM**

150-1-4-3-13-1 **GRANT APPLICATIONS**

New or continuing applications for federal funding of the Ryan White Program. Includes application, long range goals and objectives, justification, etc.

Dispose of 3 years after last activity.

150-1-4-3-13-2 **QUARTERLY NARRATIVES**

Brief update on the progress of the Ryan White Program during the last quarter. Indicates how the program is meeting its long range goals, educational activity, update on personnel, etc.

Dispose of after 2 years.

ELECTRONIC DATA: Backup daily; retain permanently.

SECURITY BACKUP: Dispose of after superseded.

150-1-4-3-14 **ARTHRITIS PREVENTION AND CONTROL**

150-1-4-3-14-1 **GRANT APPLICATIONS**

New or continuing applications for federal funding of the Arthritis Program. Includes application, long range goals and objectives, justification, etc.

Dispose of 3 years after last activity.

150-1-4-3-14-2 **NARRATIVES OF THE FEDERAL GRANT APPLICATION**

Brief update on the progress of the Arthritis Program during the last quarter. Indicates how the program is meeting its long range goals, educational activity, update on personnel, etc.

Dispose of after 2 years.

ELECTRONIC DATA: Backup daily; retain permanently.

SECURITY BACKUP: Dispose of after superseded.

150-1-4-3-15 **HOME HEALTH & HOME HEALTH IMPERIAL**

150-1-4-3-15-1 **HOME HEALTH PATIENT RECORDS (42 CFR 405.1228)**

Patient records of closed Home Health patients seen by contracted health departments and billed to Medicare; original records at contracted health departments.

MINORS: Transfer to the State Records Center after 1 year; dispose of 10 years following minors 21st birthday.

ALL OTHER PATIENTS: Transfer to the State Records Center after 1 year; dispose of 10 years after the record is closed, provided audit has been completed.¹

150-1-4-3-15-2 **MEDICARE BILLINGS (42 CFR 205.5)**

Home health payment records, patient ledgers, supplies records, cost reports, employee time records, etc.

Dispose of after 5 years, provided audit has been completed.¹

150-1-4-3-15-3

BILLING RECORDS (Formerly Patient Visit)

Home Health monthly patient visit billing record completed by contracted health departments; used in Medicare Billing.

Dispose of after 5 years, provided audit has been completed.¹

150-1-4-3-15-4

**QUALITY ASSURANCE, HOME HEALTH
(42 CFR405.1229b)**

Home Health 60-day review records of all contracted health departments and annual Home Health evaluations; duplicates kept in contracting health departments.

Dispose of after 5 years.

150-1-4-3-15-5

**STATISTICS, HOME HEALTH AND COMMUNITY
HEALTH (OBSOLETE - March 1983)**

DAS computer statistics of Home Health and Community Health patients seen in contracted health departments. By nurse ID#. Duplicates kept in contracting health departments.

Immediately dispose of obsolete records.

150-1-4-3-15-6

HOME HEALTH ADVISORY BOARD MEETING MINUTES

Copies of the quarterly (or monthly) Home Health Advisory Board meeting minutes of the contracting county health departments.

Transfer one copy to Community Health Nursing (CHN).

ALL OTHER COPIES: Dispose of after 5 years.

150-1-4-3-15-7

**TEST RESULTS, HOMEMAKER/HOME HEALTH AIDE
TRAINING**

Pre and post test results for every student taking the Homemaker/Home Health Aide training session. May also include registration forms and final course records.

Dispose of after 5 years.

150-1-4-3-16

GENERAL RECORDS

150-1-4-3-16-1

CONTINUING EDUCATION OFFERINGS

List of program objectives, attendance lists, program agenda, copy of attendance certificate, etc.

Dispose of 7 years after completion of event.

150-1-4-3-16-2

**GENERAL AGREEMENTS AND CONTRACT
MODIFICATIONS**

Copies of written agreements between the State Department of Health and Human Services and medical facilities, contractors, speakers, etc. Includes updates or changes in prior agreements and contracts, which do not nullify but only modify certain aspects.

Dispose of 3 years after fulfillment of agreement, or after medical facility ceases operation, provided audit has been completed.¹

150-1-4-3-16-3

MEETING MINUTES

May include board meetings, advisory committees, task force meetings, and community coalition meetings, planning committees (other than staff planning meetings).

Dispose of 5 years after last activity, subject to review by the State Archives.

150-1-4-3-16-4 NOTICE OF HEARING AND PUBLIC HEARING PROCEEDINGS

Notice of public hearings of new or amended statutes and/or rules and regulations of the Department of Health and Human Services. The Proceedings of public hearings that relate to changes of the rules and regulations of specific health programs. The proceedings contain the testimony in favor and in opposition to the proposed amendment or revision. Also included are exhibits of: Affidavit of Publication, Transcribers Certificate, Reports Certificate, and copies of proposed amendments or revisions.

Dispose of after designated programs/rules and regulations are no longer operational, or 20 years after last activity, whichever is later, subject to review by the State Archives.

150-1-4-3-16-5 GENERAL PROGRAM DOCUMENTS

All in-house program documents and operating records.

Transfer to the State Records Center 2 years after last activity; dispose of 7 years after last activity.

150-1-4-3-17 COMPREHENSIVE CANCER

150-1-4-3-17-1 COMPREHENSIVE CANCER CONTROL SUB-GRANTEE FILES

Files on approved grants for each fiscal year. Each file may include grant applications, contracts, grant revisions, reports, correspondence, etc. Also includes the grant followed for each fiscal year, grant applications that were disapproved, records pertaining to State Plans and reports sent to the federal government.

Transfer to the State Records Center 2 years after end of fiscal year; dispose of 5 years after end of fiscal year, provided audit has been completed.¹

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.