

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

# **Schedule 150-1-1-1-4**

## **DEPARTMENT OF HEALTH AND HUMAN SERVICES ECONOMIC AND FAMILY SUPPORT**

**APRIL 6, 2009**

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

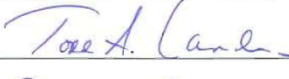
**REQUEST FOR APPROVAL  
OF RECORDS RETENTION  
AND DISPOSITION SCHEDULE**

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

SCHEDULE <b>150-1-1-4</b>
AGENCY, BOARD OR COMMISSION <b>DEPARTMENT OF HEALTH AND HUMAN SERVICES</b>
DIVISION, BUREAU OR OTHER UNIT <b>ECONOMIC AND FAMILY SUPPORT</b> Supersedes Edition of July 31, 2006

**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 <i>DIRECTOR, DIVISION OF CHILDREN AND FAMILY SERVICES</i>	DATE <i>3/25/09</i>
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**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 <i>3/25/09</i>
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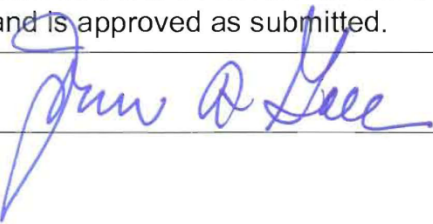
**PART III – APPROVAL OF AUDITOR OF PUBLIC ACCOUNTS:**

The attached schedule has been reviewed, all audit material has been properly identified, and this schedule is approved as submitted.

SIGNATURE 	DATE <i>3/26/09</i>
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**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 <i>April 6, 2009</i>
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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](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 150-1-1-1-4 – DEPARTMENT OF HEALTH AND HUMAN SERVICES – ECONOMIC AND FAMILY SUPPORT**

### **150-1-1-1-4-1 BENEFICIARY DATA EXCHANGE**

Data from the Social Security Administration on clients by DHHS request. It includes old age, survivors, disability benefit, and some buy-in data.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC RECORD: Dispose of after superseded.**

### **150-1-1-1-4-2 DISASTER RECOVERY BACK-UPS FOR ELECTRONIC RECORDS**

Back-up tapes or other storage media are only to be used for system restoration in the event of a disaster. Disaster recovery back-ups are never to be used or considered for records access, archiving or management purposes. Tapes will be maintained and then overwritten or destroyed following these rotations:

**E-MAIL RECORDS: See Schedule 124.**

**ALL OTHER ELECTRONIC RECORDS:**

**Daily (M-F): Dispose of after 1 week.**

**Weekly (Sunday): Dispose of after 3 weeks.**

**Monthly: Dispose of after 1 year.**

### **150-1-1-1-4-3 ECONOMIC ASSISTANCE CASE FILES**

Files may include, but not limited to:

Permanent verification: Adoption Papers, Alien Registration Card (I-551), Alien Registration Receipt Card (I-151), Arrival – Departure Record (I-94), Baptismal, Birth Certificates, Census Record, Certificate of Citizenship (N-560 or N-561), Certificate Request (IM-22), Church Record, Citizenship Papers, Corrections Institutional Record, Death Certificate, Document Verification Request (G-843), Driver's License, EDC (Expected Date of Confinement); Employment Authorization Document (I-688B or I-766), Family Bible, Hospital Birth Record, Indian Census Records, Marriage License, Memoriam Card, Newspaper Notice, Paternity Acknowledgement, Paternity Declaration, Refugee Travel Document I-571), Social Security Card, State ID Card, Supplement, Other Immigration Documents, Passport – U.S. or Foreign, Court Order and Supporting Documentation, Guardian Conservator Report, Law Enforcement Record, Power of Attorney Record, Trust Documentation, Will, Domestic Violence Record, Drug Rehabilitation Record, Military Service Record.

IPV/Disqualifications: Demand Letter, Intentional Program Violation Documentation (IPV), Monthly Billing Statements, Referral for Investigation (ASD-63), Request for Voluntary Repayment (IM-64), and Sanction/Disqualification Documentation.

Resources: 401K Statement, Agreement to Sell Real Property and Repay Assistance (IM-1), Assessment of Resources (IM-73), Assessor Record, Bank Statement, Burial Fund Statement, Burial Lot Record, Dealer Statement, Debit Card Statement, Designation of Resources (IM-74), Fund Raiser (Community) Documents, IRA Statement, Life Estate Record, Life Insurance, Property Verification, Real Estate Deeds, Savings Bonds, Stock Investment Account Statement, Vehicle Title & Registration, and Other Verification Request – Nebraska Health and Human Services System (EA-150).

Hearing: Action Taken on Disqualification Hearing – Not Guilty (FSP-58A), Action taken on Disqualification Hearing (FSP-58), Action Taken on Disqualification Hearing (FSP-59), Advanced Notice of Administrative Disqualification Hearing (FSP-56), Appeal Decisions, Appeal Requests and Supporting, Documentation, Notice and Petition for Fair Hearing (DA-6), and Waiver of Administrative Hearing (FSP-57).

Medical Transportation, Mortgage Papers, Moving Expenses, Nebraska Low Income Energy Assistance Program Provider Certification (IM-52), Nebraska Low Income Energy Assistance Program Refunds/Cancellations, (IM-12) Warrant Information Request (FA-29), Payment History, Purchase and Prepare Statement Real Estate Tax Statement, Rental Lease, Service Animal Maintenance, Shelter Receipts, Subsistence to Obtain Medical Care, Tools, Transportation, Transportation Receipt, Tuition/Book, Utility Bills and Utility Receipts.

Income: Earned Income Verification Form (EA-300), Employer Contracts (current/prior employees), Employer Statements (Letters, Telephone), Federal Tax Forms and Documentation, Financial Aid Award Letter, Gambling Income Letter, Insurance Settlement, Interest, Lay Off Notice, Pay Record, Pay Stubs, QRF (Quarterly Report Form), Self Employment Ledger, Self Employment Record, Social Security Documentation, Tip Ledger, Unemployment Compensation Benefits Statement, Union Record, Wage and Tax Statement (W-2), Withholding Record, Workman's Compensation Document.

Correspondence: Address Information Request (ASD-10), Authorization for Release of Information (ASD-46), Client Verification Checklist (EA-4), Collateral Contract, Incident Report, Postmaster Returns Guardianship/POA Consent Letter, and Question Referral (ASD-17).

Confidential: Worker Controlled.

Medical: Disability Report (DM-5R), Doctor Statement, Drug Treatment Record, EPSDT (Early & Periodic Screening Diagnosis and Treatment, Incapacity Statement (CC-3E), Insurance Card, MC9-AD, Medical Record, Physician's Confidential report (DM-5), Physician's Disability Determination (MILTC))-3B), Physician's Report on Hearing Loss (DM-5H), Policies, Prior Authorization Document Adjustment (MC-10), Prior Authorization for Assisted Living (MC9-AL), Prior Authorization for Nursing Facility Care (MC9-NF), Priority Conditions for Cooling Assistance Checklist (IM-55) Medical, Assistance Notice of Requirement to Cooperate and Right to Claim Good Cause (IM-60), Recipient Choice of Lock-in Provider Agreement (MC-66), Social Study (DM-12D), and Worker's Compensation Medical Document.

Education: Report Card, School Records and School Schedules.

Work Requirements: Assessment Guide (WP-10), Employment First Domestic Violence Screening Form (WP-7), Employment First Participant Assessment Form (WP-4A), Employment First Self sufficiency Contract (WP-6), Employment First Service Plan (WP-4C), Employment First Support Status Change Form (WP-3), Employment First/Food Stamp Referral and Communication Forms (WP-FS-1), Employment First/Food Referral and Communication Form (WP-FS-1), Release of Information for Workfare (FSP-43), Vocational Rehabilitation Referral (IM-2), Waiver of ADC Statement and Workfare Status Reports.

Child Care & Social Services Block Grant: Assessment, Child Care Schedule, Exception Request, Service Plan, and Understanding the Child Care Subsidy Program (CC-I).

Unknown: Documents that can't be categorized.

Child Support: Acknowledgement of Paternity (CSE-12), Child Support Payment, Notice of Requirement to Cooperate and Right to Claim Good Cause (CSE-22), and Supporting Documentation for Child Support (CSE-97).

Organization: Provider documents.

**PRIOR TO OCTOBER 2009: Transfer to the State Records Center immediately; dispose of 6 years after the closed date of the case file.**

**AFTER NOVEMBER 2009: Scan to network and dispose of after 30 days.**

**ELECTRONIC RECORD: Dispose of after 6 years.**

**150-1-1-1-4-4 EMPLOYMENT FIRST**

Files contain records and correspondence related to EMPLOYMENT FIRST PROGRAM.

**Dispose of after 4 years.**

**150-1-1-1-4-5 FEDERAL ENERGY GUIDELINES**

Various manuals with Federal guidelines for low energy assistance energy program etc. and reference materials, therein.

**Dispose of after 3 years.**

**150-1-1-1-4-6 FEDERAL REVIEWS**

Federal reviews of the Economic Assistance Programs.

**Dispose of after 4 years.**

**150-1-1-1-4-7 FOOD DISTRIBUTION PROGRAM OFFERING REQUEST (Form FDP-115)**

Form used to describe and offer USDA foods to recipient agency on a pro-rated basis.

**Dispose of 3 years after end of the federal fiscal year, provided audit has been completed.<sup>1</sup>**

**150-1-1-1-4-8 INTEGRATED UNEMPLOYMENT COMPENSATION**

Records from the Department of Labor, determining unemployment compensation on DHHS clients.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC RECORD: Dispose of after superseded.**

**150-1-1-1-4-9 INTEGRATED WAGE DATA**

IRS information from clients W-2 form, received from the Social Security Administration.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC RECORD: Dispose of after superseded.**

**150-1-1-1-4-10 NEBRASKA LOW INCOME ENERGY, HOME ENERGY OR EMERGENCY ENERGY**

Records from energy assistance program, whereby DHHS assists clients with fuel bills and may include documents relating to the crisis program.

**Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-1-1-1-4-11 PAYMENT OF MEDICARE CLIENT'S PART B PREMIUMS**

Records reflecting the buy-in system, whereby DHHS lets the Health Care Financing Administration (HCFS) know DHHS is paying the premium, and to notify Social Security not to deduct the premium from the SSA benefits.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC RECORD: Dispose of after superseded.**

**150-1-1-1-4-12 POLICY/PROCEDURE & TRAINING FILES**

Various manuals and reference materials.

**Transfer to the State Archives after superseded or no longer applicable.**

**150-1-1-1-4-13 POLICY QUESTIONS**

Data for policy inquiries by field staff sent to Economic Assistance via Microsoft Exchange.

**ELECTRONIC RECORD: Dispose of after superseded.**

**150-1-1-1-4-14 PROVIDER CONTRACTS**

Contracts with various providers who provide services to DHHS clients.

**Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-1-1-1-4-15 RECIPIENT UPDATE (Form FDP-122DE)**

Form used to update or change recipient agency information such as: mailing address, Average Daily Participation, recipient number etc.

**Dispose of 3 years after end of the federal fiscal year, provided audit has been completed.<sup>1</sup>**

**150-1-1-1-4-16 REFUGEE REPORTS**

These are reports for the Refugee Program.

**Dispose of after 4 years.**

**150-1-1-1-4-17 REFUGEE RESETTLEMENT**

Correspondence and related materials concerning the refugee program.

**Dispose of after 7 years.**

**150-1-1-1-4-18 REQUISITION, FOOD**

Form used to requisition food items made available by U.S.D.A.

**Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-1-1-1-4-19 STATE DATA EXCHANGE**

Data from the Social Security Administration, on every Supplemental Security Income client within the State of Nebraska.

**ORIGINAL RECORD: Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC RECORD: Dispose of after superseded.**

**150-1-1-1-4-20 STATE PLANS**

Plans include Energy Plans, TANF Plan and Title 19 Plan.

**Dispose of after 4 years, subject to review by the State Archives for possible accession.**

**150-1-1-1-4-21 STRAIGHT BILL OF LADING (Form FDP-112)**

Form shows issuance and receipt of USDA foods and charges to recipient agency.

**Dispose of 3 years after end of the federal fiscal year, provided audit has been completed.<sup>1</sup>**

**150-1-1-1-4-22 WELFARE CLIENT ELIGIBILITY**

Previously known as ADC, AABD, SDP, and Medicaid, now known as PAE.

**Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**



**NOTE**

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*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.*