

Schedule 150-3-2

DEPARTMENT OF HEALTH AND HUMAN SERVICES

OPERATIONS - FINANCIAL SERVICES

October 22, 2009

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

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

SCHEDULE	150-3-2
AGENCY, BOARD OR COMMISSION	DEPARTMENT OF HEALTH AND HUMAN SERVICES
DIVISION, BUREAU OR OTHER UNIT	FINANCIAL SERVICES
Supersedes Schedule 150-3-2 Edition of August 13, 2007; Schedule 40-1-1 Edition of October 26, 1992; items 40-1-1-1-6-1 through 40-1-1-1-6-4; items 40-1-1-2-1 and 40-1-1-2-5	

**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 COO	DATE 10/13/09

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 10/13/2009
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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 10/15/09
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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 10/22/09
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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. 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.

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3242 Salt Creek Circle
Lincoln, NE 68504
402-471-2559**

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SCHEDULE 150-3-2 – DEPARTMENT OF HEALTH AND HUMAN SERVICES –OPERATIONS – FINANCIAL SERVICES

150-3-2-1 ACCOUNTING

150-3-2-1-1 ACCOUNTING MASTER FILE DETAIL LISTING

Monthly NIS computer report showing the projected budget for each quarter by service area (laundry, x-ray, food service, etc.)

ORIGINAL RECORD: Dispose of first fiscal year report and subsequent quarterly reports after 1 year.

MONTHLY REPORTS: Dispose of when no longer of reference value.

150-3-2-1-2 ACCOUNTING MASTER FILE TRANSACTION

Monthly NIS input form used in setting up the master file. Includes budget by quarter, program and service area.

Dispose of after verification of entry into financial system.

150-3-2-1-42 ACCOUNTING TRANSACTIONS MICROFICHE

Work copy microfiche of accounting transaction reports provided by Department of Administrative Services (DAS).

Dispose of after 2 years.

150-3-2-1-43 AGENCY AUDIT REPORTS AND WORK PAPERS

Audit Reports of agency activities and supporting audit work papers.

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

150-3-2-1-3 BATCH PROOF LISTING

Monthly NIS report is an edit listing on current batches to be updated to the master file.

Dispose of after 1 year.

150-3-2-1-4 CANTEEN/AMUSEMENT FUND REPORT

Quarterly financial report of canteen operation and trust fund activities (6800).

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

150-3-2-1-34 CLAIMANTS FORGERY AFFIDAVIT ON FORGERY LOSS

Individual's affidavit of forgery on lost check. May also be supplementary statement.

Dispose of after 3 years.

150-3-2-1-6 COUPON LOG BOOK

Record of coupons issued to facility residents in lieu of money for canteen purchases.

Dispose of after 1 year, following the end of fiscal year to which the record pertains, provided audit has been completed.¹

150-3-2-1-41 DIRECT BILLING AUTHORIZATION FORMS (FA-21)

Forms for direct bill of lodging expenses.

Dispose of after 5 years.

150-3-2-1-7 DONATIONS LIST AND RELATED RECORDS

Listing of donations including donor, date, item, amount, and purchase records.

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

150-3-2-1-8 EMERGENCY CASH FUND RECONCILIATION

Monthly reconciliation of Emergency Fund warrants and Bank Account.

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

150-3-2-1-30 INTERIM ASSISTANCE REIMBURSEMENT PROGRAM CASES

Notice of SSI (Supplemental Security Income) initial payment and document of distribution.

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

150-3-2-1-31 MAINTENANCE ASSISTANCE CANCELLATION/REFUND TRANSMITTAL (FORM FA-62)

Completed by the local office to transmit warrants for cancellation or refund collected from clients when payment was in error.

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

150-3-2-1-12 MATERIAL AND SUPPLIES REQUISITION

NIS input form which shows the amount of supplies allocated to a ward from the general inventory.

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

150-3-2-1-13 MATERIAL AND SUPPLY SUMMARY

Monthly storeroom material and supply inventory form and request for inventory adjustment for overages and shortages.

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

150-3-2-1-36 N-FOCUS DOCUMENTATION

Voucher documentation of N-Focus claims paid.

Dispose of after 5 years.

150-3-2-1-40 OUT-OF-STATE TRAVEL AUTHORIZATION FORMS (FA-800)

Forms for out-of-state travel.

Dispose of after 5 years.

150-3-2-1-14 PATIENT CANTEEN PURCHASE AUTHORIZATION

Written authorization, including ledger, for food purchased at canteen by patient.

Dispose of after 1 year, provided audit has been completed.¹

150-3-2-1-38 PUBLIC ASSISTANCE ELIGIBILITY DOCUMENTS/HAE DOCUMENTS

Returned requests from PAE/HEA (Home Energy Assistance systems).

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

150-3-2-1-32 REPORT OF VENDOR HOME REPAIRS (FORM FA-10)

Report of clients who have been authorized to have home repairs done up to \$500.

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

150-3-2-1-19 REQUEST FOR SUPPLIES

Internal facility form used to requisition supplies from facility supply center.

Dispose of after 1 year.

150-3-2-1-5 STATEMENT OF FUNDS REPORT

Record of revenue expenditures and fund balance available.

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

150-3-2-1-39 STATE WARD EDUCATION PROGRAM

Claims, spread sheets, supporting payments made through warrant writer system.

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

150-3-2-1-37 STATE WARD TRUST DOCUMENTS

Court orders, bank records relating to state ward trust accounts.

Dispose of after 5 years.

**150-3-2-1-23 TIMESHEETS AND INPUT RECORDS FOR PATIENT
PAYROLL SYSTEMS**

All information used in recording patient's work time and pay determinations.

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

150-3-2-1-24 TRIAL BALANCE SHEETS

Composite entry of charge invoices.

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

**150-3-2-1-25 VA FORM 10-5588 AUDITING REPORTS AND
STATEMENT OF EXPENDITURES**

Report of Federal Aid claimed.

Dispose of 3 years after VA audit has been completed.¹

150-3-2-1-26 VETERANS HOMES BARBER/BEAUTY SHOP CHARGES

Charges made by patients for barber and beauty shop services.

Dispose of 5 years after death or discharge of patient, provided audit has been completed.¹

150-3-2-1-27 VETERANS HOMES CANTEEN CHARGES

Charges made by patients for canteen purchases.

Dispose of 5 years after death or discharge of patient, provided audit has been completed.¹

150-3-2-1-33 WARRANT INFORMATION REQUEST (FA-29)

Form used to determine status of state warrant.

Dispose of after 2 years.

150-3-2-1-35 WARRANT WRITER SYSTEM DOCUMENTATION

Supporting documentation, such as claims and invoices for payment for the following programs: MHCP, Disabled Person & Family Support, Adult Protective Services, Respite Care Program, Health Insurance Premium Payment, Employment First (Jobs), Foster Care, Medicaid Waiver Programs, Early Intervention Programs.

Dispose of after 5 years.

150-3-2-12 **COLLECTIONS**

150-3-2-12-1 **OVERPAYMENTS**

Federal Quarterly Report (FNS 209) that tells the federal government what overpayments were set up, type of overpayment and payments received for claims against households.

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

150-3-2-7 **COST ACCOUNTING**

150-3-2-7-3 **COST ALLOCATION QUARTERLY REPORTS**

The cost allocation reports include the various summaries and supporting documents.

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

150-3-2-7-7 **EXPENSE TRANSACTION REPORT (OBSOLETE 2005)**

FACILITY: Immediately dispose of obsolete records.

CENTRAL OFFICE: Dispose of monthly reports after 2 years. Dispose of 12th accounting period report of the fiscal year after 5 years, provided audits by the State; BC/BS, Medicare and Medicaid have been completed.¹

150-3-2-7-8 **GROUP BENEFIT REPORTING (OBSOLETE 2009)**

Monthly computer report lists a summary per diem rate for the type of care involved (adult psychological care, developmentally disabled program, etc.)

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

CENTRAL OFFICE: Dispose of monthly reports after 2 years. Dispose of 12th accounting period report of the fiscal year after 5 years.

150-3-2-7-10 **HHS HOSPITAL COST REPORTS (CMS 2552-96 δ □ CMS 287-92 □ δ CMS 339)**

Annual Cost Reports filed with Medicare and Medicaid intermediaries for purpose of Hospital (Hastings Regional Center, Norfolk Regional Center, Lincoln Regional Center, and Beatrice Development Services Center) Nursing facility (Beatrice Developmental Center or other family services. Reports include the Central Office allocation report and the Questionnaires that are submitted with each report as well as the supporting documents and resulting settlement documents.

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

150-3-2-7-1 **INDIRECT COST RATE PROPOSALS**

Annually, information is compiled regarding the administrative costs of government programs. Includes "Certification by a State Department or State Agency Official Indirect Cost Proposal", financial report of funds, work-papers, "Indirect Cost negotiation Agreement" (NA-1's), and correspondence.

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

150-3-2-7-2 PUBLIC ASSISTANCE COST ALLOCATION PLAN

The Public Assistance Cost Allocation Plan is a document that changes by amendments as operations of the System Departments change. It is required to define the methods used to identify the administrative costs associated with various funding sources and programs.

ORIGINAL RECORD: Retain permanently.

ALL OTHER COPIES: Dispose of deleted segments after 5 years, provided audit has been completed.¹

150-3-2-7-9 SUMMARY OF POSITIONS: BUDGETED AND USED (OBSOLETE 2009)

Report of YTD totals, by position, of regular hours, overtime hours, total hours, and dollars paid. Report is broken down by section, program, and sub-program.

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

YEAR-END REPORT: Dispose of after 5 years, provided audit has been completed.¹

150-3-2-13 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:

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.

150-3-2-9 ELECTRONIC BENEFITS (EBT)

150-3-2-9-1 ADJUSTMENT AUDIT/AUDIT TRAIL REPORT

A report detailing debit and credit adjustments made to EBT (Electronic Benefit Transfer) accounts throughout the month, sorted by group user ID.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year. ¹

150-3-2-9-14 ADMINISTRATIVE TRANSACTIONS REPORT (DAILY)

Summary and detail of administrative transactions by user ID. This report only contains transactions that have a direct financial impact on a recipient's balance and performed on an administrative terminal screen.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-9 ATM/POS OUT OF STATE USAGE REPORT

List all ATM/POS (Point of Sale) terminal transactions performed out of state.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-21 AVAILABILITY REPORT

Monthly report providing information as to availability of the EBT host.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year in which the contract terminates.¹

150-3-2-9-22 AVERAGE DAILY RESPONSE TIME REPORT

Monthly report listing the response times for all updates and inquiries.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year in which the contract terminates.¹

150-3-2-9-2 BENEFIT DRAWDOWN TOTALS REPORT (DAILY)

Statewide summary for all daily EBT benefits for food stamps.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-3 BENEFIT DRAWDOWN TOTAL REPORT (MONTHLY)

Statewide summary for all monthly EBT benefits for food stamps.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-4 BILLING REPORT (MONTHLY)

EBT contractor monthly billing.

ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year in which the contract terminates or following completion of audit if more than 3 years after completion of the Federal Fiscal Years in which the contract terminates.¹

ELECTRONIC RECORD: Dispose of after superseded.

150-3-2-9-27 CALL TYPE REPORT

A monthly breakdown of the primary reason a caller makes contact with the JP Morgan EBT toll-free customer and merchant service centers.

ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year in which the contract terminates.¹

ELECTRONIC RECORD: Dispose of after superseded.

150-3-2-9-25 CALL VOLUME REPORT

A monthly report of the number of calls made to the JP Morgan EBT customer service center including data on the number of calls resolved by the Interactive Voice Response (IVR) system, customer service representatives, or lost in transaction. Data is provided for each day of the month.

ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year in which the contract terminates.¹

ELECTRONIC RECORD: Dispose of after superseded.

150-3-2-9-15 CARD ISSUANCE REPLACEMENT/STATISTICS REPORT

Card issuance/replacements by county.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-23 DEVICE TYPE USAGE REPORT

Report of system use for the deployed POS by time of day, day of month, and day of week.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year in which the contract terminates.¹

150-3-2-9-11 EVEN DOLLAR TRANSACTIONS REPORT (MONTHLY)

Listing of even dollar transactions made during the month (food stamps only).

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-10 EXCEEDED PIN ATTEMPTS REPORT

Listing of all cards with exceeded PIN (Personal Identification Number) attempts (reported on the 4th and subsequent and successful PIN attempts). These attempts exceeded the number of consecutive unsuccessful (irrespective of time or transaction) PIN attempts causing the PINs to be locked until the next calendar day. Sorted by county.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-28 EXCESSIVE CALLS LISTING REPORT

Monthly listing of the top fifty EBT card numbers for which telephone calls have been made to the EBT customer service telephone number the prior month.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-5 FCS ADJUSTMENTS REPORT

Debit and credit adjustments by FCS (Food and Consumer Services) number.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-17 FOOD STAMP ACTIVITY REPORT

Monthly report listing the number and dollar amount of food stamp purchases and reversals in total. The report is merchant-oriented and sorted by FNS (Food and Nutrition Service) number.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-16 INACTIVE, DORMANT, EXPUNGED REPORT

Monthly report listing accounts that have become inactive, dormant or expunged.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-26 IVR VOLUME REPORT

A monthly report of the number and type of calls made to the JP Morgan EBT Interactive Voice Response (IVR) system. Data is provided for each day of the month.

ORIGINAL RECORD: Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year in which the contract terminates.¹
ELECTRONIC RECORD: Dispose of after superseded.

150-3-2-9-12 LOST/DAMAGE/STOLEN CARD REPORT

Monthly report of EBT cards that have been reported as lost, damaged, stolen, and other.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-18 MANUAL AUTHORIZATIONS REPORT

Daily report of manual authorization transactions that are still active not yet released or expired. Benefits put on hold, deducted from recipient's available balance, pending voucher clear transaction.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-19 MANUAL TRANSACTIONS USAGE REPORT

Monthly report of manual benefit transaction activity by merchant.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-6 STARS TOTALS REPORT

FCS reporting; food stamps only.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-24 STATE INITIATED CHANGE REQUEST REPORT

Quarterly report containing a description of any EBT system change requests made by other States and changes made during the previous quarter.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year. ¹

150-3-2-9-7 STATE ISSUER TOTALS REPORT (DAILY)

Statewide summary of all daily EBT accounts for food stamps.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year. ¹

150-3-2-9-8 STATE ISSUER TOTALS REPORT (MONTHLY)

Statewide summary of all monthly EBT accounts for food stamps.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-9-13 TRANSACTIONS ATTEMPTED ON INVALID CARDS REPORT

Monthly report of POS or ATM transactions attempted on cards with Lost, Damaged or Stolen status, expired cards, non-sufficient funds, etc.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year. ¹

150-3-2-9-20 TRANSACTION PROFILE REPORT

Monthly report of the number, dollar amount and averaged dollar amount of POS transactions for food stamps.

Dispose of 3 years following completion of Federal Fiscal Year to which records pertain or following completion of audit if more than 3 years after completion of the Federal Fiscal Year.¹

150-3-2-10 FINANCIAL AND PROGRAM ANALYSIS UNIT

150-3-2-10-1 ANNUAL REPORTS

(SEE SCHEDULE 124 GENERAL RECORDS FOR STATE AGENCIES ITEM 124-1-4)

150-3-2-10-6 CMS-64 QUARTERLY EXPENSE REPORT AND SUPPORTING DOCUMENTATION

Work papers and other supporting documentation related to CMS-64, Quarterly Expense Report. CMS-64 documents Nebraska's claim for federal participation in the Medicaid program. CMS Financial Management Analyst assigned to Nebraska recommended retaining supporting documentation indefinitely.

Retain permanently.

150-3-2-10-3 FEDERAL STATISTICAL REPORTS

Reports are submitted as required by the federal government for statistical reporting on the various programs administered by DHSS.

Dispose of after 5 years.

150-3-2-10-5 HOSPITAL COST REPORTS AND SUPPORTING DOCUMENTATION

Financial reports of revenue and expenditures of facilities as required by Medicare and Medicaid. This will include MRS288 listings and other documentation.

Retain permanently.

150-3-2-10-4 MEDICAID CLAIM DOCUMENTATION

Information which documents claiming of federal Medicaid funds for expenditures originally paid with state dollars, but appropriate to claim under Medicaid. May include case management claim forms, lists of state disability expenditures, and others.

Dispose of after 5 years.

150-3-2-10-2 SPECIAL RESEARCH PROJECTS

May include questionnaires, special computer records, worksheets, sample forms, and various other materials used to compile a report.

ORIGINAL RECORD: Retain permanently.

ALL OTHER COPIES: Dispose of other materials when no longer of reference value.

150-3-2-4 FINANCIAL RESPONSIBILITY

150-3-2-4-1 CLOSED CLIENT FILES

Correspondence and financial forms regarding individual client's charges and payment of services. Includes financial questionnaire, Social Security verification, VA verification, state and federal tax return and conversion form, ability to pay determination form.

ORIGINAL RECORD: Scan to CD or microfilm and dispose of after 5 years, provided audit has been completed.¹

SECURITY MICROFILM: Transfer to the State Records Center; dispose of after 10 years.

MICROFILM WORK COPY: Dispose of 10 years after roll creation.

SECURITY CD: Dispose of after 10 years.

CD COPY: Transfer to the State Records Center; dispose of after 10 years.

150-3-2-4-4 COUNTY BILLING

Monthly statement to each county for amount owed to each facility for patients having legal residence in their county or for whom they are legally responsible because of the type of admission.

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

150-3-2-4-5 DAILY & MONTHLY A/R REPORTS

Daily reports of payments and adjustments posted to DD (Developmental Disabilities) accounts in N-Focus. Monthly report of charges posted to DD in AIMS Billing System.

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

150-3-2-4-2 INCOME JOURNAL

Monthly listing of patients who are receiving services. Report gives a description of the service, number of unit and a dollar amount.

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

150-3-2-4-6 MAINTENANCE RECEIPTS

Receipts for payment received from private, Medicare, Medicaid, insurance, or county providers.

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

150-3-2-4-9 MEDICARE AND INSURANCE CLAIMS AND MSR'S FOR VETS HOMES

Paper copy of paid Medicare and insurance claims for Veterans' Homes. Medical Service Record (MSR) for individual member that supports claims information.

Dispose of after 7 years, provided audit has been completed.¹

150-3-2-4-11 MEMBERS TRUST FUND REPORT (REGIONAL CENTER, BSDC, STATE WARDS)

Monthly reconciliation of member trust fund bank account, investments, and outstanding warrants.

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

150-3-2-4-10 MONTHLY BALANCING DOCUMENTATION

Monthly reports used for balancing receipts processed by FR/Central Office for Regional Centers, BSDC, Veterans' Homes and Developmental Disabilities.

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

150-3-2-4-3 MONTHLY REVENUE AND CENSUS REPORTS

Excel spreadsheets with monthly revenue broken down by source, patient days by level of care and cost by fiscal year. Computer reports of monthly census by fiscal year.

Dispose of after 10 years, provided audit has been completed.¹

150-3-2-4-8 NIS DEPOSIT DOCUMENTS

Paper copy of NIS Deposit Document for payments deposited with the State Treasurer by FR/Central Office for Regional Centers, BSDC, Veterans' Homes and DD.

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

150-3-2-4-12 STATE WARD GUARDIANSHIP AND EXCESS CHILD SUPPORT FINANCIAL REPORTS

Monthly balancing closed accounts and excess paid on behalf of State Wards.

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

150-3-2-4-7 TRUST FUND CHECKS (REGIONAL CENTER, BSDC, STATE WARD GUARDIANSHIP AND EXCESS CHILD SUPPORT)

Cancelled checks from member's trust fund.

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

150-3-2-11 FOOD STAMP ISSUANCE

150-3-2-11-1 ADVICE OF TRANSFER FOR FOOD COUPONS (FNS-300)

When clients transfer from one office to another, notice is sent to that office so that food stamps will continue as needed. DHSS no longer issues paper food stamps.

Dispose of after 1 year.

150-3-2-11-2 FOOD COUPON ACCOUNTABILITY REPORT (FNS-250)

Monthly report to DHSS showing the food stamp coupon inventory, issuances, and collections on those issuances.

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

ELECTRONIC RECORD: Dispose of after sending the data to Denver.

150-3-2-11-3 MONTHLY REPORT OF PARTICIPATION AND COUPON ISSUANCE (FNS-256)

Monthly report to DHSS giving total number of households and the people participating, value of the coupons issued and the collections from these issuances. Electronic record is used only to calculate amounts.

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

ELECTRONIC RECORD: Dispose of after 3 months.

150-3-2-2 GRANTS MANAGEMENT UNIT

150-3-2-2-2 ANNUAL AUDITS OF VENDORS AND PROVIDERS (FORMERLY COPIES OF ANNUAL AUDITS OF VENDORS AND PROVIDERS)

Annual CPA audits of local vendors and providers funded by the HHS System. Does not include Medicaid funded programs.

Dispose of after 5 years.

150-3-2-2-3 COPIES OF BILLINGS AND RELATED CORRESPONDENCE AND DOCUMENTS (OBSOLETE 2005)

Billings for services provided to obtain payment under the grants or contracts listed. (SEE ITEM 150-3-2-2-1).

Dispose of after 5 years.

150-3-2-2-4 COPIES OF FINANCIAL STATUS REPORTS (OR RELATED REPORTS) FILED WITH FEDERAL GOVERNMENT

Financial reports filed periodically (usually annual) to report on expenditure of federal grants awarded to DHSS.

Dispose of after 5 years.

150-3-2-2-8 FINANCIAL STATUS REPORT (FORM 269) (OBSOLETE 2006)

Gives status of federal funds on a quarterly basis.

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

150-3-2-2-9 GRANT AWARDS (OBSOLETE 2006)

Notice of amount of federal funds awarded to the Department for the period (quarter or year).

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

150-3-2-2-6 GRANT FILES

This is the Financial Services Division's record of grants received from Federal, State, and other agencies. The files will identify the funding source, budget period, and amount of funds available. Minimum file contents will be "Notice of Grant Award" and "Financial Status Report". Grant awards are issued as needed and Financial Status Reports are issued as required by the granting agency, usually annually. Other file contents could include the grant application and correspondence related to the grant.

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

150-3-2-2-10 QUARTERLY ESTIMATE OF EXPENDITURES

Report gives estimate of expenditures for quarter broken down by programs and state and federal shares.

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

150-3-2-2-11 QUARTERLY GRANT REQUEST

Quarterly grant request for federal funds. Request is made for funds for the next quarter based on previous quarter expenditures.

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

150-3-2-2-12 QUARTERLY STATEMENT OF EXPENDITURES

Quarterly statement of expenditures for specific programs.

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

150-3-2-2-13 QUARTERLY STATEMENT OF EXPENDITURES FOR STATES USING SINGLE LETTER OF CREDIT

Report gives status of unexpended award authority plus expenditures reported for the period by program.

Dispose of after superseded or obsolete.

150-3-2-2-1 RECORDS OF SITE VISITS TO LOCAL PROGRAMS (OBSOLETE 2005)

Financial reviews or records of programs visits to local programs: findings, plan of corrections, related correspondence.

Dispose of after 5 years.

150-3-2-2-5 SPECIAL REPORTS OR PROJECTS

Special reports, studies, projects, financial projections prepared by the Grants Management Unit, not included in 1 through 4 above.

Dispose of after 5 years.

150-3-2-2-7 SUB-RECIPIENT MONITORING REPORT (OBSOLETE 2005)

Site visit review of Health Department's sub-grantees. Monitoring report includes results of review, comments, recommendations, etc.

Dispose of after 5 years.

150-3-2-3 MEDICAID FINANCIAL

150-3-2-3-8 CHILD SUPPORT INCENTIVE PAYMENTS

Payments to county attorneys and receipt transactions for medical child support.

Dispose of after 5 years.

150-3-2-3-7 CHILDRENS INTERVENTION SERVICES REPORTS

A program began in 1994 for Regions 1-29.

Dispose of after 4 years, provided audit has been completed.¹

150-3-2-3-6 CHILD SUPPORT – MEDICAL (OBSOLETE 2009)

Medical collections prior to 7-1-99.

Dispose of after 10 years.

150-3-2-3-1 COST REPORTS – HOSPITALS, NURSING HOMES, ETC. (OBSOLETE 2009)

Financial reports of revenue and expenditures of facilities, as required by Medicare and Medicaid.

Retain permanently.

150-3-2-3-5 DRUG REBATE

To settle disputes.

Dispose of after 10 years.

150-3-2-3-9 INTERIM ASSISTANCE REIMBURSEMENT (IAR)

Reports, documentation and correspondence related to Social Security Administration retroactive payments to Health and Human Services System (DHSS) clients that are subject to recovery by DHSS. Recoveries are to reimburse certain services paid by DHSS programs and county general assistance programs. Amounts in excess of the recovery items are paid to the client.

Dispose of 3 years after the end of the relative Federal Fiscal Year.

150-3-2-3-2 MEDICAL CLAIM ADJUSTMENT (FORM MC-11B)

If vendor gets paid for a claim which is not allowable, the vendor is notified and this form is completed to adjust MMIS.

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

150-3-2-3-3 MEDICAL COLLECTION (FORM FA-175 CSM) (OBSOLETE 2009)

Form used to transmit court ordered collection of medical benefits paid.

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

150-3-2-3-4 REPORT/REIMBURSEMENT OF PSYCH CARE (FORM FA-20) (OBSOLETE 2009)

Community health center cost reports.

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

150-3-2-6 SUPPORT CLAIMS PROCESSING

150-3-2-6-2 NEBRASKA LOW INCOME ENERGY ASSISTANCE PROGRAM (LIEAP) (REFUNDS/CANCELLATIONS) (FORM: M-12) (OBSOLETE 2009)

Form produced for refunds/cancellations of payment made through the Energy System (LIEAP)

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

150-3-2-6-1 N-FOCUS HHS BILLING DOCUMENT (FORM: HSS-5N)

Claim forms used by providers for services to DHSS clients to facilitate payment through the N-Focus claims processing system.

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

150-3-2-6-3 SERVICE VENDOR PROGRAM (SVP) AND N-FOCUS (NFO), MEDICAID CLAIMS PROCESSING (MCP), MEDICAID MANAGEMENT INFORMATION SYSTEMS (MMIS), ANNUAL W-2 WAGE AND TAX INFORMATION AND 1099 MISCELLANEOUS FORM REPORTS

Annual reports submitted to the Internal Revenue Service (IRS) and Social Security Administration (SSA) representing summary information for payments made to provider for client services through the SVP/INFO and MCP/MMIS systems.

Dispose of after 7 years, provided audit has been completed.¹

150-3-2-6-4 W-2 WAGE AND TAX STATEMENTS AND 1099 MISCELLANEOUS INCOME STATEMENTS

Tax forms issued through the N-Focus annually to providers for services to DHSS clients. Tax forms issued through the Medicaid Claims Processing (MCP) – Medicaid Management Information System (MMIS) to providers for services to DHSS clients.

Dispose of after 7 years, provided audit has been completed.¹

TRANSFERRED RECORDS 150-3-7

150-3-2-5 AUDITS

150-3-2-5-1 AUDIT FILES

150-3-2-5-2 COST REPORTS

150-3-2-5-3 LAW SUITES – COST REPORTS (NURSING HOMES, ETC)

150-3-2-5-4 COST REPORTS – (HOSPITALS, NURSING HOMES, ETC)

OBSOLETE RECORDS FROM CONSOLIDATED SCHEDULES

40-1-1-1-6-1	ANNUAL STATISTICAL REPORT ON CHILDREN AGED 5-17 IN FOSTER FAMILY HOMES, AND AID TO FAMILIES WITH DEPENDENT CHILDREN RECIPIENTS AGED 5-17 NEED TO IMPLEMENT THE ELEMENTARY AND SECONDARY EDUCATION ACT (OBSOLETE 2007) Dispose of after 5 years.
40-1-1-2-1	AUTHORIZATION FOR DISBURSEMENT OF CHILD SUPPORT COLLECTIONS AND FILE ADJUSTMENTS (FORM CSE-112) (OBSOLETE 2007) Dispose of 13 years after the case is closed.
40-1-1-2-5	CSE MISCELLANEOUS RECORDS (OBSOLETE 2007) Dispose of after 10 years, provided audit has been completed. ¹
40-1-1-1-6-2	“FLASH” REPORTING OF SELECTED PROGRAM DATA (OBSOLETE 2007) Dispose of after 5 years.
40-1-1-1-6-3	MEDICAL CARE: RECIPIENTS, PAYMENTS, AND SERVICES (OBSOLETE 2007) Dispose of after 5 years.
40-1-1-1-6-4	WIN MONTHLY REPORT ON PROGRAM ACTIVITY (OBSOLETE 2007) Dispose of after 5 years.

DELETED RECORDS – IMMEDIATELY DISPOSE OF RECORDS

150-3-2-1-28	CLAIMS FOR REIMBURSEMENT OF ADMINISTRATIVE COSTS (Form FA-12) (OBSOLETE 2005)
150-3-2-7-6	ERROR CORRECTION FORM (OBSOLETE 2005)
150-3-2-7-4	FACILITY COST ACCOUNTING EXTRACT FROM NAS CONTROL TOTALS (OBSOLETE 2005)
150-3-2-7-5	FACILITY COST ACCOUNTING EXTRACT FROM PAYROLL CONTROL TOTALS (OBSOLETE 2005)
150-3-2-2-8	FINANCIAL STATUS REPORT (FORM 269) (OBSOLETE 2006)
150-3-2-2-9	GRANT AWARDS (OBSOLETE 2006)
150-3-2-8-1	HEALTH BUDGET STATUS REPORT (OBSOLETE 2004)
150-3-2-8-2	HEALTH GRANT BUDGET STATUS REPORT (OBSOLETE 2004)
150-3-2-1-9	INSTITUTION CASH RECONCILIATION (OBSOLETE 2005)
150-3-2-1-10	JOURNAL ENTRIES (OBSOLETE 2005)
150-3-2-1-11	LEDGER AND WORKSHEETS (OBSOLETE 2005)
150-3-2-1-29	MONTHLY REPORT OF EMERGENCY ASSISTANCE EXPENDITURES (Form RS-44) (OBSOLETE 2005)
150-3-2-1-15	PHARMACY REQUISITION (OBSOLETE 2005)
150-3-2-1-16	PROGRAM UNITS REPORT (OBSOLETE 2005)
150-3-2-1-17	PROJECT REPORTING (OBSOLETE 2005)
150-3-2-1-18	REPORT OF INSTITUTIONS PAYROLL (OBSOLETE 2005)
150-3-2-1-20	RESPONSIBILITY REPORTING (OBSOLETE 2005)

150-3-2-1-21

**RESPONSIBILITY REPORTING – STATISTICAL
(OBSOLETE 2005)**

150-3-2-1-22

SERVICE RENDERED REPORT (OBSOLETE 2004)

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.