Updated address 1/3/2023 No changes were made to records retention

Schedule 156

AREA AGENCIES ON AGING

August 11, 2021

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

REQUEST FOR APPROVAL OF RECORDS RETENTION	SCHEDULE 156
AND DISPOSITION SCHEDULE	AGENCY, BOARD OR COMMISSION AREA AGENCIES ON AGING
TO: STATE RECORDS ADMINISTRATOR	DIVISION, BUREAU OR OTHER UNIT
STATE OF NEBRASKA	Supersedes Edition of April 5, 2011

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 Lonnie Cooper	
TITLE Executive Director	DATE 2/26/21

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

anathly

DATE
8/3/21

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

Pat Redive

DATE		
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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	Multimen	DATE 9/11/2021	
DHA MANED			

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 Local Agencies General Records Schedule #24 contains those records common to most local 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 this 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 General Records Schedule #24 for any items which have differences in retention requirements.
- 2. Dispose of records that have met their retention periods.
- 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. The State Archives may remove selected records in accordance with standard archival practices to ensure efficient access, organization and enduring historical value (Nebr. 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. <u>https://appengine.egov.com/apps/ne/sos_records_disposition_report</u>. 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 440 South 8th Street, Suite 210 Lincoln, NE 68508-2294 402-471-2559

SCHEDULE 156 AREA AGENCIES ON AGING

August 11, 2021

Retention requirements are for all records, regardless of the media on which they reside, unless otherwise noted. Unless otherwise stated all records can be transferred to a durable medium and destroyed after verification

Supersedes Edition of April 5, 2011 ITEM **RECORD TITLE** DESCRIPTION/EXAMPLES RETENTION **REFERENCE/COMMENTS** NUMBER 156-1-1 **CARE MANAGEMENT -**In-home assessment of client's lifestyle and social and health needs. 6 years after case closed Care management unit assesses what types of services may be FILE needed. May include, but not limited to: comments from other professionals, outline of action, goals-objectives, name of applicant, etc. Lists of all contacts with clients and employers. These stats are 156-2-1 **EMPLOYMENT (TITLE V** 5 years or 10 years if no audit has compiled for each quarterly report. AND LABOR-EXPERIENCE been completed WORKS) - DAILY LOGS 156-2-2 **EMPLOYMENT (TITLE V** File of Experience Works clients including their name and address, 5 years after last activity, or 10 years AND LABOR-EXPERIENCE employment application form, intake form, contact log, status if no audit has been completed change/termination notice, eligibility verification, etc. WORKS) - EXPERIENCE WORKS CLIENT FILES 156-2-3 These clients are not qualified for Experience Works, but are **EMPLOYMENT (TITLE V** 5 years after last activity, or 10 years provided with job search assistance. Contents may include, but not AND LABOR-EXPERIENCE if no audit has been completed limited to: intake form, interest and work history form, resumes, and WORKS) - PRIVATE other pertinent information. SECTOR CLIENT FILES 156-2-4 **EMPLOYMENT (TITLE V** Submitted to SUA (State Unit on Aging) outlining Experience Works. 5 years or 10 years if no audit has Title V and Private Sector activities for a three month period. AND LABOR-EXPERIENCE been completed WORKS) - QUARTERLY REPORTS 156-2-5 **EMPLOYMENT (TITLE V** Files of Title V clients including their name and address, job 5 years after last activity, or 10 years description, client intake form, evaluation form, performance AND LABOR-EXPERIENCE if no audit has been completed appraisals, etc. WORKS) - TITLE V CLIENT FILES NE4A's proposed plans for that year's project operations. A four-year Retain one copy permanently 156-3-1 **FISCAL RECORDS - AREA** Subject to review by the State plan is also submitted to the Nebraska State Unit on Aging. May Archivist after 10 years PLANS include, but is not limited to: introduction, application for grant award. description of programs, history of agency, maps, administration,

fiscal information, staff organization, short and long range goals and

objectives.

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
156-3-2	FISCAL RECORDS - BUDGET FILES	Records pertaining to budget fund requests, appropriations and expenditures for each fiscal period. May include, but is not limited to: budget proposals, budget summaries, actual expenditures per account, ledgers, amendments, expenditures by revenue sources, unapproved budgets, notes, worksheets, and list of other local funding sources.	5 years 10 years if no audit has been completed	
156-4-1	GENERAL RECORDS - COMPLAINT FILE	Written complaints and criticisms from clients and the general public regarding NE4A programs and services.	1 year after complain has been followed up or resolved, whichever is sooner	
156-4-2	GENERAL RECORDS - HUMAN SERVICES FILE	Reference file of local human service agencies, their newsletters, bulletins, and correspondence.	When no longer of reference value.	
156-4-3	GENERAL RECORDS - MAILING LISTS	Directory of individuals and organizations which receive regular mailings of information from the NE4A.	Superseded or obsolete	
156-4-4	GENERAL RECORDS - PERSONNEL RESOURCE FILE	Originals and copies of personnel related functions such as affirmative action plans, training materials, accreditation papers, rating sheets, position descriptions and functions, requests to fill positions, etc. NOTE: Is not to include any PERSONNEL RECORDS, (Schedule 24).	Superseded or obsolete	
156-4-5	GENERAL RECORDS - PHOTOGRAPHS	Prints, slides and negatives of programs, and individuals connected with the NE4A. Information is used in displays, publications and for recruitment purposes.	When no longer of reference value.	
156-4-6	GENERAL RECORDS - PUBLIC HEARING FILE	Records of public hearings with local elderly citizens and agencies, to obtain direct input and comment regarding proposed programs. File may include, but is not limited to: newspaper clippings, notice of public hearing, notes, worksheets, agendas, and minutes.	MEETING MINUTES AND AGENDA: permanent ALL OTHER RECORDS: 5 years	
156-4-7	GENERAL RECORDS - REFERENCE FILES	General interest information usually for reference purposes but not essential to the NE4A. May include, but is not limited to: maps, records of human services organizations, brochures, and general interest copies of correspondence.	When no longer of reference value.	
156-4-8	GENERAL RECORDS - REFERENCE LIBRARY FILE INDEX	Index of the books and other publications in the Reference Library. Contains the title of the publication, number of pages, name of author, subject code category, etc.	When no longer of reference value.	
156-5-1	LOCAL GOVERNMENT PROGRAMS - FUNDED PROGRAM RECORDS	County monies that fund services or programs specifically for the elderly and generally follow the Title III Program standards. May include, but is not limited to: client file and supporting documentation, cash received documents, control logs, monthly data, and fiscal reports.	5 years after last activity, or 10 years if no audit has been completed	
156-6-1	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - CASH RECEIVED	Record indicating the freewill cash contributions received from each congregate meal site. May include, but is not limited to: site name and number, week ending, contribution per day, week total, total for all sites, and deposit by amount.	5 years or 10 years if no audit has been completed	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
156-6-2	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - CERTIFICATION OF NEED FOR HOME DELIVERED MEALS	 Certification attesting that a participant in the home delivered meals program is eligible for that service. There are three different categories of certification: 1. Temporary certification (2 weeks or less). 2. General certification (up to 1 year). 3. Recertification (follows the general certification period). 	3 years after last certification date	
156-6-3	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - CONTRACT AGENCY RECORDS	Records regarding congregate meal sites, which are received from the contract agencies. May include, but is not limited to: individual contact log, referral form, daily summary sheet.	1 year	
156-6-4	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - DISPOSAL PRODUCT INVENTORY	Temporary inventory of the usage of racks and disposable table products for sites using catered service.	When no longer of reference value.	
156-6-5	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - INCIDENT REPORT	Report of any noteworthy incident that occurs at a congregate meal site. Information may include, but is not limited to: identification of injured or ill person, date, time, exact nature of incident, hospital or doctor used, witnesses, opinion of the cause of incident, signature, submitting date and the date and time received in Project Office.	5 years or as determined by the Project Director, whichever is later	
156-6-6	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - MEAL DELIVERY SIGN OFF SHEET	Number of meals delivered to each congregate meal site, also the quantity of accessory items such as milk, condiments, etc. May include but is not limited to: day, date, driver's signature, site number and name, and delivered quantities.	1 year	
156-6-7	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - MEAL DELIVER	Record of the number of meals delivered by a catering service.	1 year	
156-6-8	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - MEAL SUMMARY	Daily and weekly totals of meals that were delivered, catered, ordered, and eaten by clients, guests, staff, or discarded.	1 year	
156-6-9	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - MEAL TEMPERATURE CHECK	Temperature check sheet for hot food (140° F or higher) and cold food (45° F or lower).	1 year	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
156-6-10	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - MENU PLANS FOR MEALS TO BE	Projections of congregate and/or home-delivered meal menus for a 23 day cycle. Is subdivided into specific days along with a proposed menu for that day.	1 year	
156-6-11	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - NUTRITION VOLUNTEER RECORD	Monthly record from each congregate meal site indicating the number of hours worked by volunteer assistance at that site per day.	5 years or 10 years if no audit has been completed	
156-6-12	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - NUTRITION VOLUNTEER SIGN-IN	Daily record maintained at the meal site, for volunteers to sign in and out.	5 years or 10 years if no audit has been completed	
156-6-13	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - ODOMETER	Record of the delivery truck's mileage. Information may include, but is not limited to: week, driver, beginning-ending miles driven per day, total mileage for the week.	5 years or 10 years if no audit has been completed	
156-6-14	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - REFERRAL	Information relative to a prospective participant in the congregate meal program. Data is recorded by the site manager, contract agency or other sources.	1 year	
156-6-15	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - REGISTRATION (DEMOGRAPHIC) FORM	Intake record of participants in the Nutrition program. Information may include, but is not limited to: Identification data, marital status, emergency numbers, nutrition risk assessment, and attendance in program.	5 years or 10 years if no audit has been completed	
156-6-16	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - REGISTRATION SHEETS (SIGN-IN SHEETS)	Daily list of participants to Senior Centers. Data may include, but is not limited to: date, name, address, and age declaration. etc.	1 year	
156-6-17	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - RESERVATION AND ATTENDANCE FORM	Form prepared by site managers to project the number of clients expected on a particular dining date. Information may include, but is not limited to: name of participant, dining site, date and units of services, reservation call-in form and summary of the day.	Transfer data to MEAL SUMMARY AND REGISTRATION (DEMOGRAPHIC) FORM, (Schedule 153) 6 months	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
156-6-18	NUTRITION (CONGREGATE AND/OR HOME-DELIVERED MEALS) - SUPPORTING SERVICES RECORD	Monthly account of the units of supporting services rendered by each site by dining date. Categories of service include, but is not limited to: meals, transportation, assisted transportation, information and assistance, health clinic, counseling, nutrition education, health education and outreach.	5 years or 10 years if no audit has been completed	
156-7-1	HEALTH AND HUMAN SERVICES RECORDS - BILLING DOCUMENT	A form used for the monthly Health and Human Service billing. Information may include, but is not limited to: provider information, authorization number, client number, client name, service code, billing period, units provided, unit rate and charge.	5 years or 10 years if no audit has been completed	
156-7-2	HEALTH AND HUMAN SERVICES RECORDS - FILE	Records of Health and Human Services recipients who receive funding for services and meals. File may include, but is not limited to: Health and Human Services provider authorization, temporary eligibility for services, and termination forms.	5 years or 10 years if no audit has been completed	
156-7-3	HEALTH AND HUMAN SERVICES RECORDS - INDEX FILE	Index of Health and Human Services clients receiving services and nutrition assistance. Data includes, but is not limited to: authorization period, authorization number, client's name, site, number of units per month authorized, and counselor.	5 years after client's termination by Health and human Services or 10 years if no audit has been completed	
156-7-4	HEALTH AND HUMAN SERVICES RECORDS - PROVIDER AUTHORIZATION	Authorization for Nebraska Health and Human Services assistance. Information may include, but is not limited to: Name and address of provider, authorization number, client name, authorization period, maximum units of authorization per month, unit rate, and type of service.	5 years 10 years if no audit has been completed	
156-7-5	HEALTH AND HUMAN SERVICES RECORDS - MONTHLY SUMMARY OF PARTICIPANTS PAID FOR BY HEALTH AND HUMAN SERVICES	A confidential monthly list of program participants who are subsidized by DHHS. Record includes the reporting month, meal site, participant's name, number of meals for the month and the number of days services were provided.	been completed	
156-7-6	HEALTH AND HUMAN SERVICES RECORDS - TEMPORARY ELIGIBILITY FOR HEALTH AND HUMAN SERVICES	Temporary authorization for assistance from Health and Human Services. Information may include, but is not limited to: name of case worker, clients, service, authorization date, maximum units and unit rate.	5 years or 10 years if no audit has been completed	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
156-8	TITLE III PROGRAMS AND SERVICES			NOTE; Many of the following record series are applicable to all programs and services under Title III of the Older Americans Act. Due to the similarity of services and records, these documents are treated as though referring to one program.
156-8-2	TITLE III PROGRAMS AND SERVICES - BUDGET ACCOUNTS LEDGER	A record of all budgetary accounts and the most current balances.	5 years, or 10 years if no audit has been completed	
156-8-4	TITLE III PROGRAMS AND SERVICES - CLAIM FORM	The record of hours and earnings payable to a person in the Title III Program who has worked during the pay period.	5 years 10 years if no audit has been completed	
156-8-5	TITLE III PROGRAMS AND SERVICES - CLIENT FILE (DEMOGRAPHIC/INTAKE FORM)	Includes client files for all Title III Programs indicating their name, race, marital status, address, phone number, services requested, etc.	5 years after last activity, or 10 years if no audit has been completed	
156-8-6	TITLE III PROGRAMS AND SERVICES - CLIENT INFORMATION RECORD	System used to record usage and referrals of service by each client.	2 years	
156-8-7	TITLE III PROGRAMS AND SERVICES - CLIENT MASTER INDEX	Index of all clients who have had contact with one or more Title III Programs. Information may include, but is not limited to: month and year of application or contact, name, address, phone number, and case manager.	5 years after last activity	
156-8-8	TITLE III PROGRAMS AND SERVICES - CLIENT REQUEST LOG	Monthly record of work requests received from Title III Program clients themselves or from other sources. Information may include, but is not limited to: work request number for that month, date work is requested, client's name, address and phone number, age of client, income code, source of the request, Title III Program Person assigned to the job, completed work order number, and completion date.	2 years	
156-8-9	TITLE III PROGRAMS AND SERVICES - PROVIDER AVAILABLE FILE	Records of a program that assists in providing providers for elderly persons. Providers are paid by the user for performing personal services such as reading, housekeeping, cooking, transportation, etc. File may include, but is not limited to: applications, index cards, and quarterly list of available providers.	QUARTERLY LIST OF AVAILABLE PROVIDERS: 6 months ALL OTHER RECORDS: 2 years after last date of file	
156-8-10	TITLE III PROGRAMS AND SERVICES - DAILY CONTACT LOG	Daily listing of incoming telephone calls (client and non-client contacts).	1 year	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
156-8-11		A compilation of program data reported to the Nebraska State Unit on Aging. Information concerns the clients served during the month, social/ethnic composition, income, age, units of service performed, fiscal data, etc.	5 years or 10 years if no audit has been completed	
156-8-12	TITLE III PROGRAMS AND SERVICES - JOB COMPLETION LEDGER (LOG RECAP)	This information may include, but is not limited to: the date, work order number, hours of labor, dollar amount of labor, materials costs, total job cost, clients share, and subsidized cost.	5 years or 10 years if no audit has been completed	
156-8-13	TITLE III PROGRAMS AND SERVICES - JOB EXPENSE SHEET (TIME SHEETS)		5 years or 10 years if no audit has been completed	
156-8-14	TITLE III PROGRAMS AND SERVICES - MONTHLY REPORTS	Packet of various records that are sent to local Advisory Boards, Governing Boards, County Boards and City Councils, from the local AAA. Records usually contain a copy of fiscal and program records, payroll data, invoice receipts, cost utilization sheets, summaries, statistical reports, etc.	5 years	
156-8-15	TITLE III PROGRAMS AND SERVICES - REPORT LOG (LOGSHEETS)	Worksheet used to compile Title III Program UNITS. Information may include, but is not limited to: names, ages, subject, other information, number of units and mode of contact.	2 years	
156-8-16	TITLE III PROGRAMS AND SERVICES - FUNDS ADMINISTRATION FILE		5 years or 10 years if no audit has been completed	
156-8-17	TITLE III PROGRAMS AND SERVICES PROGRAM FISCAL FILES	Information pertaining to the administration of programs for the elderly.	5 years or 10 years if no audit has been completed	
156-9-1	TRANSPORTATION RECORDS - APPLICATION FOR TRANSPORTATION FARE RIDERS	date of birth, social security number, nature of handicap, if the handicap is permanent or temporary, signature of applicant and date.	Concurrently with CLIENT FILE (DEMOGRAPHIC/INTAKE FORM), provided information has been included in the TRANSPORTATION FILE INDEX, (Schedule 153)	
156-9-2	TRANSPORTATION RECORDS - DAILY SCHEDULE	Daily transportation routing schedule. Information includes, but is not limited to: pick up time throughout the day, name of riders, address, and destination.	1 year	
156-9-3	TRANSPORTATION RECORDS - FILES INDEX	Card index for applicants of the Transportation Fare Program.	5 years	
156-9-4	TRANSPORTATION RECORDS - REGISTRATION	Card file of persons using transportation. Cards may include, but is not limited to: name and address, phone number, age, client signature, escort (if any), restrictions, registration number, date of tickets, and rides punched.	5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
156-9-5		Application for Transportation Service prior to each trip. These forms are given to the driver for completion.	90 days	
156-9-6	TRANSPORTATION RECORDS - TICKET SALES REPORTS	Daily and monthly transportation ticket sales report.	Dispose of after 5 years or 10 years if no audit has been completed	
156-10	VOLUNTEER ACTIVITIES AND ACTION PROGRAMS			May include, but is not limited to: Foster Grand Parent, RSVP, Senior Companion, VISTA, etc.
156-10-1		Evaluations by citizens of the volunteer programs, volunteer stations, and volunteers Advisory Council.	2 years	
156-10-2	VOLUNTEER ACTIVITIES AND ACTION PROGRAMS - INDEX FILES	Index of volunteers and organizations connected with the agency. Information includes name address, various abilities and interests, and additional reference materials.	After volunteer is inactive, deceased, or the organization is no longer functional.	
156-10-3	VOLUNTEER ACTIVITIES AND ACTION PROGRAMS - PROJECT FILE	Information and resource file of volunteer projects in Nebraska. These may include, but is not limited to: Telecare, Senior centers, Outreach, Transportation, Information and Assistance.	5 years after termination of project	
156-10-4	AND ACTION PROGRAMS - FILES	File of volunteers who are willing and available to assist with programs for and by the elderly. File includes, but is not limited to: volunteer report, enrollment record, volunteer registration, evaluations of program by volunteers, insurance forms, and correspondence.	Dispose of after 5 years or 10 years if no audit has been completed	
156-10-5	VOLUNTEER ACTIVITIES AND ACTION PROGRAMS - HOURS	Record of the number of volunteer hours per month.	Dispose of after 5 years or 10 years if no audit has been completed	
156-10-6		File of organizations that serve as senior citizen volunteer locations. Records include correspondence, newsletters, brochures, activity schedules, agency's request for volunteers, etc.	When no longer of reference value.	