

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

Schedule 150-1-4

HEALTH AND HUMAN SERVICES SYSTEM

SERVICE AREAS/LOCAL OFFICES

September 8, 2006

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

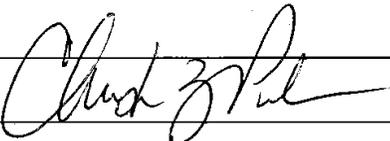
**REQUEST FOR APPROVAL
OF RECORDS RETENTION
AND DISPOSITION SCHEDULE**

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

SCHEDULE	150-1-4
AGENCY, BOARD OR COMMISSION	Health and Human Services System
DIVISION, BUREAU OR OTHER UNIT	Service Areas/Local Offices
	Supersedes Schedule 40-2 edition of May 5, 1991

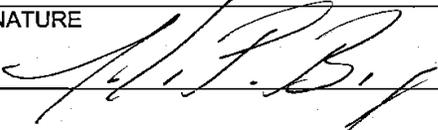
PART I -- AGENCY STATEMENT

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		DATE 9/11/06
TITLE		

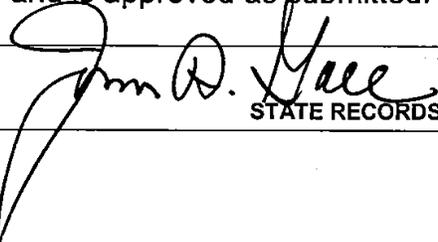
PART II - ARCHIVAL APPROVAL

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	STATE ARCHIVES	DATE
		9/7/06

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	STATE RECORDS ADMINISTRATOR	DATE
		9/18/06

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 – HEALTH AND HUMAN SERVICES SYSTEM SERVICE AREAS/LOCAL OFFICES

150-1-4-1 AID TO THE AGED, BLIND, & DISABLED (AABD) CASE FILE

File may include application for assistance, budget information, client notices, narrative contact sheet, correspondence, etc. (See the State Social Services Manual for complete file contents).

Dispose of after 6 years or when superseded.

150-1-4-2 AID FOR DEPENDENT CHILDREN (ADC) CASE FILE

File may include insurance verification forms, employment information request, birth or baptism certificate copies, narrative contact sheet, correspondence, etc. (See the State Social Services Manual for complete file contents).

Dispose of after 6 years or when superseded.

150-1-4-3 ADULT PROTECTIVE SERVICES (APS) CASE FILE

File may include narrative, correspondence, police referral report, report to HHSS, etc. (See the State Social Services Manual for complete file contents).

ORIGINAL RECORD: Dispose of 10 years after closing.

ELECTRONIC DATA: Backup daily or monthly; retain permanently.

SECURITY BACKUP COPY: Dispose of after superseded.

150-1-4-4 ADULT PROTECTIVE SERVICES INITIAL FILE (Unfounded)

File is the initial referral and generally contains a record of referral and narration of contact with the alleged abuser.

Dispose of after 1 year.

150-1-4-5 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.

Dispose of after 1 year.

150-1-4-6 AGED, DISABLED, AND CHILDREN'S WAIVER PROGRAM CASE FILE

Determines eligibility for benefits/service for clients (see the State Social Services Manual for complete file contents).

Dispose of after 6 years or when superseded.

150-1-4-7 APPOINTMENT BOOK FOR SOCIAL SERVICES RECIPIENTS (Register)

Book may list the name of the client, address, phone number, social security number, time of the appointment, etc.

Dispose of 1 year after last entry.

150-1-4-8 APPROVED DAY CARE VENDOR FILES

File may include narrative of contacts, correspondence, service provider identification, etc. (See the State Social Services Manual for complete file contents).

Dispose of 4 years after closing or withdrawal.

150-1-4-9 AUTHORIZATION FOR INVESTIGATION (ASD-46)

Form used to obtain permission from an applicant or recipient to make any necessary investigation to determine original or continuing eligibility.

Dispose of after 1 year, with the exception that the most current ASD-46 must be retained in the file regardless of date completed.

150-1-4-10 AUTHORIZATION FOR TRAVEL (FA-800)

Employee authorization for travel expenditures to attend a meeting or conference not sponsored by HHSS.

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

150-1-4-11 BUDGET FORMS

Forms are completed to set up a budget for the recipient to determine benefits.

Dispose of after 6 years.

150-1-4-12 CANCELLATIONS AND REFUNDS TRANSMITTAL (FA-62)

Used to show refunds on payments made in error and the cancellation of warrants to payees.

Dispose of after 6 years or when superseded, provided audit has been completed.¹

150-1-4-13 CASE WORKERS DAILY REPORT (OBSOLETE 2000)

Report is generally a separate paper-giving name of client, time of appearance, purpose of visit, the caseworker, etc.

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

150-1-4-14 CERTIFICATION OF ELIGIBILITY OF FOOD STAMPS

Record to identify eligibility for food stamps, information includes identity of recipient, address, etc. Issuance records are sent and kept at HHSS Central office.

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

ELECTRONIC DATA: Backup daily or monthly; send to HHSS central for processing, dispose of after 3 years.

SECURITY BACKUP COPY: Dispose of after superseded.

150-1-4-15 CORRESPONDENCE BEFORE APPLICATION (CBA'S) - Foster Family

Consists of potential foster parents who have not yet applied for foster care or adoption. May include adoptive and foster inquiry card, correspondence, etc.

IF APPLICATION IS MADE: Transfer file to FOSTER FAMILY FILE 150-4-26.

IF NO APPLICATION IS MADE: Dispose of after 1 year.

**150-1-4-16 CHILD PROTECTIVE SERVICES CASE FILE
(NON-STATE WARD)**

File for cases that develop from the initial referral stage. May include narrative, correspondence, police referral or report, report to HHSS, client referral form, etc. (See the State Social Services Manual for complete file contents).

Dispose of 10 years after closing.

**150-1-4-17 CHILD PROTECTIVE SERVICES INITIAL REFERRAL FILE
(Unfounded)**

File may include police referral and report, narrative of contacts with parents, copy of report to state, correspondence, etc.

Dispose of after 1 year.

150-1-4-18 DAY CARE LICENSE FILES (OBSOLETE 2000)

File may include narrative of visits, correspondence, referral and report of inspection, medical report, etc. (See the State Social Services Manual for complete file contents).

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

**150-1-4-19 DM-5 SERIES (Medical forms including Physician's
Confidential Report)**

Forms are generally found in the case files verifying physical condition of the recipient.

Dispose of after 6 years.

**150-1-4-20 ELIGIBLE CHILDREN WHO DID NOT RECEIVE PHYSICIAN,
INPATIENT, OUTPATIENT, EARLY AND PERIODIC SCREENING
FOR DIAGNOSIS AND TREATMENT, (EPSDT) SERVICES ARE
IN MOST NEED OF EPSDT (OBSOLETE 2000)**

Print outs received from central, which include by caseworker the number of eligible recipients, name of recipient, their Social Security Number, and type of payee.

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

150-1-4-21 EMERGENCY ASSISTANCE CASE FILE

Case file may contain an application for emergency assistance which involves receiving money and/or services to meet the needs attributable to crisis situation.

Dispose of after 6 years, provided audit has been completed.¹

150-1-4-22 EMPLOYMENT HISTORY FILES

Duplicate copies of personnel records. All original employee records are sent to the central office of HHSS.

Dispose of 2 years after termination of employment or no longer of administrative value.

150-1-4-23 FOOD STAMP CASE FILES

File may include food stamp certification deficiency check list, unemployment compensation status form, information requests sent to universities and colleges, wage information from employer, home visit report, narrative sheets, etc. (See the State Social Services Manual for complete file contents).

SUPPORTING DOCUMENTATION: Dispose of after 6 years or when superseded.

ELECTRONIC DATA: Backup daily or monthly; dispose of 3 years after case is closed, or until obsolete.

SECURITY BACKUP COPY: Dispose of after superseded.

150-1-4-24 FOOD STAMP RECIPIENTS INDEX CARDS (OBSOLETE 2000)

Cards list the name of the recipient, Social Security Number, etc.

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

150-1-4-25 FOSTER CARE CASE FILE (Income Maintenance)

Determines eligibility for benefits/service for clients (see the State Social Services Manual for complete file contents).

Dispose of 6 years after closing.

150-1-4-26 FOSTER FAMILY FILES

Files containing background on persons being considered as foster parents for state wards. This includes letters of recommendation, information pertaining to placement of the child, etc.

Dispose of 10 years after closing or withdrawal.

150-1-4-27 GENERAL ASSISTANCE CASE FILE

Case file may contain route slips, transient requests, narrative, application for assistance, etc. (See the State Social Services Manual for complete file contents).

County requirement: dispose of after 4 years after closing (County 12-7-18).

Dispose of after 4 years (if not transferred after 2 years to county) after the case has been closed or last action taken.

150-1-4-28 GENERAL ASSISTANCE RECIPIENTS DATA CARDS (OBSOLETE 2000)

Activity is recorded on this card including any monetary asset, food, clothing, etc.

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

150-1-4-29 GENERAL ASSISTANCE RECIPIENTS INDEX CARDS (OBSOLETE 2000)

Cards list the name, case number, Social Security Number of recipients, etc.

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

150-1-4-30 HEALTH CHECK (Early and Periodic Screening Diagnosis and Treatment)

Lists client, all children under age 21, Social Security Number, date notified of EPSDT, and treatment if any.

Dispose of 6 years after closing.

150-1-4-31 HOUSEHOLD INDEX CARDS (OBSOLETE 2000)

Card file lists name, address, social security number, date case was opened and closed, all members of the family, etc.

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

150-1-4-32 INCOME MAINTENANCE CASE FILE (AABD)

File may include correspondence, narrative report of visits, notice of findings, etc. (See the State Social Services Manual for complete file contents).

Dispose of after 6 years or when superseded, provided audit has been completed.¹

150-1-4-33 INDIVIDUAL LEDGER SHEETS/RECIPIENTS FOR WHICH LOCAL/SERVICE HAS FINANCIAL RESPONSIBILITY (OBSOLETE 2000)

Receipts and payments made on behalf of the client are recorded on the ledger sheets.

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

150-1-4-34 JAIL MEDICAL CASES (OBSOLETE 2000)

Individual case files in which the client has received medical attention in jail and the office is notified of the billing.

Immediately dispose of obsolete record.

150-1-4-35 JOB SERVICE APPLICANT CASE FILES (OBSOLETE 2000)

File may include separate administrative unit appraisal forms, counseling report, employability plan, narrative of all contacts, attendance sheets of training, etc. (See the State Social Services Manual for complete file contents).

Immediately dispose of obsolete record.

150-1-4-36 LICENSE FILE - CHILD CARE CENTER (OBSOLETE 2000)

Includes all the information necessary to license a day care center. File may contain application or reapplication for license, correspondence, Referral and Report of Inspection, Medical Report, work schedules of employees, Self Evaluation, Day Care Center Recommendation, Review and Approval, copy of license, etc.

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

150-1-4-37 LICENSE FILE - GROUP HOME (OBSOLETE 2000)

Includes all the information necessary to license a group foster home. File may contain narrative report on visitation to the home and recommendations to be licensed (also prior year's reports), correspondence and memos, medical reports, facility report, Home Environmental Checklist, referral and report of inspection, etc.

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

150-1-4-38 LICENSE FILES – CHILD CARING AGENCY (OBSOLETE 2000)

Includes all the information necessary to license an agency caring for children. File may contain narrative or visitation to facility and recommendation to be licensed, correspondence, copy of rules and regulations set up by home, work schedules of employees, Referral and Report of Inspection, Applications for License, statement of operations (financial), Department of Health Sanitation Report, etc.

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

150-1-4-39 LONG TERM CARE EVALUATION (DM-5LTC)

Used to establish level of care and to reevaluate skilled classified patients in long term care facilities, annually.

Dispose of after 6 years.

150-1-4-40 MEDICAL ASSISTANCE CASE FILES

May include correspondence, eligibility checklist, verification information sheet, etc. (See the State Social Services Manual for complete file contents).

Dispose of after 6 years or when superseded, provided audit has been completed.¹

**150-1-4-41 MEDICAL REFUND OR CANCELLATION (FA-65)
(OBSOLETE 2000)**

Used to request return of warrant for cancellation or for a refund from a provider which has received payment greater than they should have.

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

150-1-4-42 MEDICALLY HANDICAPPED CHILDREN'S CASE FILES

File may include correspondence, clinic report, social summary, notification of case action, client service plan, etc. (See the State Social Services Manual for complete file contents).

Send to Home and Community - Central Office after closed.

**150-1-4-44 MONTHLY REPORT OF EMERGENCY ASSISTANCE
EXPENDITURE (RS-44) (OBSOLETE 2000)**

Report lists warrants issued, to whom, case number and asks for reimbursement.

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

150-1-4-45 NOTICE AND PETITION FOR FAIR HEARING (DA-6)

If a recipient feels that he has been unjustly denied aid from the Department, he may appeal the decision by filing a petition for hearing.

Dispose of 6 years after closing.

**150-1-4-43 OUTREACH PROJECT AREA REPORT (FSP-33)
(OBSOLETE 2000)**

Send out fliers not computer, too different agencies on an as needed basis. No Monthly report.

Immediately dispose of obsolete record.

**150-1-4-46 QUALITY CONTROL REVIEW FINDING (QC-1)
(OBSOLETE 2000)**

Report generated from HHSS central, concerning the findings of the case study.

Immediately dispose of obsolete record.

150-1-4-47 QUALITY SURVEILLANCE REPORT (IM-19) (OBSOLETE 2000)

Analysis done by field representative looking for possible errors in individual assistance cases.

Immediately dispose of obsolete record.

150-1-4-48 QUESTION REFERRAL FORM (ASD-17)

Questions asking for interpretation of rules or procedures.

ORIGINAL RECORD: Dispose of after 2 years.

ELECTRONIC DATA: Backup daily or monthly, dispose of after superseded.

SECURITY BACKUP COPY: Dispose of after superseded.

**150-1-4-49 RECEPTIONIST'S DAILY TALLY SHEET (FSP-8)
(OBSOLETE 2000)**

Daily record of stamp issuance and number of clients served.

Immediately dispose of obsolete record.

150-1-4-50 REPORT OF ADMINISTRATIVE EXPENSE

Duplicate Report of administrative costs for the month, such report is generated from HHSS Finance and Support.

Dispose of after 1 year.

**150-1-4-51 REQUEST FOR APPROVAL TO PURCHASE (FA-16)
(OBSOLETE 2000)**

Form used to request prior approval from HHSS for specific administrative and training related expense items.

Immediately dispose of obsolete record.

150-1-4-52 SERVICE VENDOR/PROVIDER FILES

Files include vendors/providers for transportation, meals, homemakers, chores, etc. May include provider application, review checklist and other evaluation material, provider agreement, narrative of contact, correspondence, etc. (See the State Social Services Manual for complete file contents).

Dispose of 6 years after closing, or when superseded, provided audit has been completed.¹

**150-1-4-53 SOCIAL SERVICES AUTHORIZATION TERMINATION (DSS-4B)
(OBSOLETE 2000)**

Form used to make changes to service plans.

Immediately dispose of obsolete record.

150-1-4-54 SOCIAL SERVICES BILLING DOCUMENT (DSS-5N)

Billings received from the provider.

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

150-1-4-55 SOCIAL SERVICES CASE FILE (Title XX)

File may include narrative sheet, client termination report, correspondence, verification of documents, notice of findings, etc. (See the State Social Services Manual for complete file contents).

ORIGINAL RECORD: Dispose of 6 years after closing.

ELECTRONIC DATA: Backup daily or monthly; dispose of after 4 years.

SECURITY BACKUP COPY: Dispose of after superseded.

150-1-4-56 SOCIAL SERVICES PLAN AND AUTHORIZATION (DSS-4N)

Gives client an authorization number for billing purposes and the total units authorized.

ORIGINAL RECORD: Dispose of after 3 years.

ELECTRONIC DATA: Backup daily or monthly, dispose of after 4 years.

SECURITY BACKUP COPY: Dispose of after superseded.

150-1-4-57 SOCIAL SERVICES PROVIDER AGREEMENT

Contract between the state and provider in which the provider agrees to provide services in accordance with the rules and regulations of the state.

Dispose of after 6 years or when superseded, provided audit has been completed.¹

150-1-4-58 STATE WARD CASE FILES

Case file on each state ward. File may contain placement history and general background, medical records, correspondence, court orders and relinquishment, social summary, public assistance applications, social service plans and authorizations, etc.

Transfer to Protection and Safety Division - Central Office, 6 months after closing.

150-1-4-59 STATE WARD FINANCIAL FILES (IMC)

Case files containing financial information on each state ward. File may contain Income Maintenance fact sheet, Public Assistance Application, Child Placement and Financial Status, request for foster care payment, Application for Assistance, Medical Budget and Record, correspondence, etc.

ORIGINAL RECORD: Transfer to Protection and Safety Division - Central Office, 6 months after closing.

**150-1-4-60 STATE WARD FINANCIAL FILES INDEX CARDS
(OBSOLETE 2000)**

Each card shows name, Social Security Number, address, date of birth, foster care home or facility, and name of social worker.

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

150-1-4-61 TRAINING CONFIRMATION LETTER (T-100) (OBSOLETE 2000)

Letter confirming that individual is scheduled to attend a certain meeting or conference.

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

150-1-4-62 VENDORS/PROVIDERS INDEX CARDS (OBSOLETE 2000)

Each card contains name, address, phone, review dates, and vendor application number.

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

NOTE

1. These records may be disposed of after the required retention period provided the audit has been completed with the audit report released and all related audit comments resolved. Check with the organization that performed the audit, and, if applicable, the Federal cognizant agency if there is a question whether resolution is complete. For records retention purposes only, the issuance of an audit waiver (or an Unaudited Financial Statement for villages) by the Auditor of Public Accounts shall take the place of an actual audit.