

# **Schedule 150-6**

## **DEPARTMENT OF HEALTH & HUMAN SERVICES**

### **DIVISION OF PUBLIC HEALTH- LICENSURE UNIT**

May 12, 2014

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

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

SCHEDULE	<b>150-6</b>
AGENCY, BOARD OR COMMISSION	<b>DEPARTMENT OF HEALTH &amp; HUMAN SERVICES</b>
DIVISION, BUREAU OR OTHER UNIT	<b>DIVISION OF PUBLIC HEALTH-LICENSURE UNIT</b>
<b>Supersedes Edition of August 14, 2012</b>	

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

**PART I – AGENCY STATEMENT:**

In accordance with Section 84-1212.01, R.R.S. 1943, approval of the attached records retention and disposition schedule by the State Records Administrator is hereby requested. Retention periods and dispositions have been recommended by this agency after a careful evaluation of all factors listed in Section 84-1212.01, R.R.S. 1943.

SIGNATURE

TITLE

*Director of Public Health*

DATE

*4/15/14*

**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

*5/2/2014*

**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

*5/7/14*

**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

*5/12/14*

## **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**

**SCHEDULE 150-6**  
**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**DIVISION OF PUBLIC HEALTH - LICENSURE UNIT**

**May 12, 2014**

Retention requirements are for all records, regardless of the media on which they reside, unless otherwise noted.

Supersedes Edition of 150-6 of August 14, 2012

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENT
150-006-001-000-000-000-000	ADMINISTRATIVE PENALTY FEES	Notification and supporting documentation for administrative penalties.	Destroy after penalty paid or action taken	
150-006-002-000-000-000-000	CERTIFICATE OF NEED	Health care facility project application files under Certificate of Need (CON) Act. Examples may include, but are not limited to: correspondence, requests, and decisions.	10 years	Nebraska Health Care Certificate of Need Act - Neb. Rev. Stat. §71-5801 to 71-5870
150-006-003-000-000-000-000	CHILD CARE - FAMILY HOME I & II, CENTERS AND PRESCHOOLS- DISCIPLINARY ACTION OF LICENSED PROGRAMS	Documents related to child care licensing disciplinary action. Examples may include, but are not limited to: notices of denial, probation, license limitation, civil penalty, suspension and revocation.	10 years or after no longer of administrative value (whichever is later)	
150-006-004-000-000-000-000	CHILD CARE - FAMILY HOME I & II, CENTERS AND PRESCHOOLS- LICENSE FILE	These files contain all the information necessary to license a child care facility. Examples may include, but are not limited to: application forms, court records, felony/misdemeanor statements, criminal history records, central registry checks, health information reports, fire safety, and sanitation referrals and inspection reports, copies of licenses, inspection and complaint investigation reports, negative actions licensing agreement and corrective action status.	ISSUED: 10 years DENIED: 5 years	
150-006-005-000-000-000-000	CHILD CARE - FAMILY HOME I & II, CENTERS AND PRESCHOOLS- UNLICENSED INVESTIGATIONS	Includes, but is not limited to notification and supporting documents resulting from complaints that individuals are providing child care illegally.	5 years after end of investigation	
150-006-006-000-000-000-000	CHILD CARE - RESIDENTIAL AGENCIES AND CHILD PLACING AGENCIES-DISCIPLINARY ACTION OF LICENSED	Documents related to child care licensing disciplinary action. Examples may include, but are not limited to: probation, suspension, revocation and denial.	5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENT
150-006-007-000-000-000-000	<b>CHILD CARE - RESIDENTIAL AGENCIES AND CHILD PLACING AGENCIES- INVESTIGATION DOCUMENTS OF CHILD WELFARE PROGRAMS</b>	Includes, but is not limited to notification and supporting documents resulting from complaints that individuals are providing group care or placing children without a license.	<b>5 years after end of investigation</b>	
150-006-008-000-000-000-000	<b>CHILD CARE - RESIDENTIAL AGENCIES AND CHILD PLACING AGENCIES-LICENSE FILE</b>	All information necessary to license a child care facility. Examples may include, but are not limited to: narrative report by field representative of inspection and recommendations for the facility, application forms, checklist, comprehensive review, complaint investigations, fire safety inspection reports and sanitation inspection reports.	<b>ISSUED:</b> 10 years <b>DENIED:</b> 5 years	
150-006-010-000-000-000-000	<b>HEALTH CARE FACILITIES AND SERVICES - ASPEN CENTRAL OFFICE (ACO)</b>	Records lists of all health care facilities and services which have been licensed or certified through the Licensure Unit. Electronic examples may include, but are not limited to licensure, certification, facility name, location, facility type, surveys, and complaint investigative findings.	<b>Permanent</b>	Electronic Record
150-006-016-000-000-000-000	<b>HEALTH CARE FACILITY - GENERAL ADMINISTRATIVE RECORDS</b>	General administrative records not related to a specific facility/purpose. Examples may include, but are not limited to: reports submitted to Centers for Medicare and Medicaid Services (CMS) Regional Office for Outcome and Assessment Information Set (OASIS), Outpatient Physical Therapy, Performance Standards, and other general administrative records that are not related to a specific facility or service.	<b>5 years</b>	
150-006-011-000-000-000-000	<b>HEALTH CARE FACILITY - LICENSURE AND CERTIFICATION-FACILITY CONSTRUCTION FILES</b>	Proposed and final construction plans of new facilities and remodeling projects. May include, but not limited to: description of remodeling projects, architectural/engineering drawings, project descriptions for new facilities and remodeling.	<b>Destroy after facility occupancy</b>	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENT
150-006-012-000-000-000-000	<b>HEALTH CARE FACILITY - LICENSURE AND CERTIFICATION-PUBLIC RECORDS</b>	Information for pharmacies, health care facilities, and health care services for licensure and certification. Examples may include, but are not limited to: initial, renewal, and denied applications for licensure or certification, statements of deficiencies, correspondence, inspection reports, survey deficiency statements, notice of enforcement action or disciplinary action, plans of correction, statements of compliance, complaint findings, change of ownership applications, changes in facility location or number of beds, construction project correspondence, administrative hearing orders, informal conference reports, and informal dispute reports.	<b>ISSUED:</b> 10 years <b>DENIED:</b> 5 years <b>INCOMPLETE:</b> 1 year after non-activity	
150-006-009-000-000-000-000	<b>HEALTH CARE FACILITY - NON-PUBLIC RECORDS</b>	Information for health care facilities and services for certification and/or licensure. Examples may include, but not limited to: facility and services surveys/inspections, supporting evidence, complaint investigations, activities relating to unlicensed entities, informal dispute resolutions, administrative hearings, nurse aide hearings and informal conferences.	<b>10 years</b>	
150-006-030-000-000-000-000	<b>LICENSING INFORMATION SYSTEM (LIS) - PROFESSIONS, OCCUPATIONS, AND FACILITIES</b>	Records lists of all individuals/facilities for each profession/occupation who have been credentialed through the Licensure Unit. Original record examples may include, but are not limited to: certification/verification, reissuance of documents and name changes. The electronic record may include, but is not limited to: name, address, date and place of birth, Social Security number, school of graduation, location of school, date of graduation, date of examination, ratings or grades received (if any), license type, license number, date issued, basis on which the credential was issued, disciplinary actions, status of credential and any additional information the Department deems appropriate to advance or support the purpose of the Uniform Credentialing Act.	<b>ELECTRONIC RECORD:</b> Permanent <b>LIS GENERATED REPORTS:</b> When no longer of administrative value	<ul style="list-style-type: none"> <li>•LIS allows any report to be regenerated as needed, so they are considered non-records/convenience copies</li> <li>•ORIGINAL RECORD: See PROFESSIONS AND OCCUPATIONS - COMPLETED APPLICATION FOR INDIVIDUAL CREDENTIALS, ESTABLISHMENTS, PROGRAMS, SERVICES, TRAINING AGENCIES AND SCHOOLS, item 150-006-021</li> </ul>

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENT
150-006-014-000-000-000-000	LICENSURE BUDGET FILES	Licensure budget files which may include, but are not limited to: monthly/quarterly/annual budget reports by program and area, budget projections, personal service limitation (PSL) authorizations and/or related correspondence.	5 years	
150-006-015-000-000-000-000	MINUTES			See MEETING MINUTES AND MATERIALS, item 124-078
150-006-017-000-000-000-000	NE REGULATION OF HEALTH PROFESSIONS - CREDENTIALING REVIEW AND PERIODIC REVIEW & EVALUATION PROGRAM (PREP)	Documents related to the Credentialing Review and the Periodic Review and Evaluation Program. Examples may include, but are not limited to: transcripts, applications, correspondence, lists of stakeholders/interested parties, committee members, applications and reports.	<b>FINAL REPORT:</b> 5 years <b>SUPPORTING DOCUMENTS:</b> 5 years after report is generated <b>OTHER COPIES:</b> See NONRECORD MATERIAL, item 124-082	
150-006-018-000-000-000-000	PROFESSIONS - MED AIDE, NURSE AIDE, AND PAID DINING ASSISTANT REGISTRY	Records pertaining to the registration of Med Aide, Nurse Aide and Paid Dining Assistants. Examples may include, but are not limited to: renewal information, grades, transcripts, training verification, and application for registry.	5 years	
150-006-020-000-000-000-000	PROFESSIONS AND OCCUPATIONS - APPLICATION FOR CONTINUING EDUCATION PROVIDER	Applications for approval to render continuing education to licensees.	<b>ISSUED:</b> After issuance <b>DENIED:</b> 5 years	
150-006-021-000-000-000-000	PROFESSIONS AND OCCUPATIONS - COMPLETED APPLICATION FOR INDIVIDUAL CREDENTIALS, ESTABLISHMENTS, PROGRAMS, SERVICES, TRAINING AGENCIES AND SCHOOLS	Original application and required documentation for licensure, certification, registration, or permits, including evidence that the credential was issued, denied, or not accepted. Examples may include, but not limited to: applications for temporary credentials, add-ons, provisional, Systematic Alien Verification for Entitlements (SAVE) and Nebraska Data Exchange Network (NDEN). Also includes records pertaining to all types of establishments, schools, programs, services, or training agencies. Examples may include, but are not limited to: nursing school curricula, cosmetology-related professions, cosmetology student hours, funeral directing, massage therapy, and Emergency Medical Services (EMS) training agencies.	<b>LICENSE ISSUED PRIOR TO 12/01/2008:</b> Data entry into database and scan; dispose of after image verification <b>ELECTRONIC IMAGES:</b> 100 years <b>SECURITY MICROFILM:</b> Transfer to off-site security storage; 100 years <b>MICROFILM WORK COPY:</b> 100 years <b>LICENSE REVIEWED AND ISSUED AFTER 12/01/2008:</b> <b>ORIGINAL RECORD:</b> 5 years <b>NOT ACCEPTED:</b> 60 days <b>DENIED:</b> 5 years	<ul style="list-style-type: none"> <li>•Neb. Rev. Stat. 71-108</li> <li>•Prior to 12/1/2008 Paper records migrated to microfilm and/or electronic images</li> <li>•After 12/1/2008 paper only</li> <li>•ELECTRONIC DATABASE: See LICENSING INFORMATION SYSTEM (LIS) - PROFESSIONS, OCCUPATIONS, AND FACILITIES, item 150-006-030</li> </ul>

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENT
150-006-023-000-000-000-000	PROFESSIONS AND OCCUPATIONS - COMPLIANCE OR NON-COMPLIANCE	Includes probationary information which is gathered to document compliance or non-compliance with the department disciplinary and non-disciplinary action.	<b>COMPLIANCE:</b> 5 years after completion of probation <b>NON-COMPLIANCE:</b> 50 years	
150-006-024-000-000-000-000	PROFESSIONS AND OCCUPATIONS - CONTINUING EDUCATION AUDIT	Documents required to accomplish the audit and audit results.	<b>COMPLIANCE:</b> After next renewal <b>NON-COMPLIANCE:</b> 5 years	
150-006-025-000-000-000-000	PROFESSIONS AND OCCUPATIONS - DISCIPLINARY/ NON-DISCIPLINARY ACTIONS	Records of legal action including petitions for disciplinary action, denial appeals, notice of hearing(s), motion(s), hearing transcripts, orders, cease and desist orders, assurance of compliance, and any other related correspondence.	<b>TRANSCRIPTS:</b> 5 years <b>ALL OTHER DOCUMENTS:</b> 50 years	
150-006-026-000-000-000-000	PROFESSIONS AND OCCUPATIONS - EXAM RELATED MATERIALS, STATE DEVELOPED	Test questions used on a given examination. May include, but not limited to: ear molds and x-rays.	<b>5 years</b>	
150-006-027-000-000-000-000	PROFESSIONS AND OCCUPATIONS - EXAMINATION RELATED MATERIALS AND SCORES	Includes the answers recorded by each examinee when examined for issuance of credential, probationary terms or similar reasons and the individual/composite score report for all candidates who took a given examination.	<b>STATE SPECIFIC EXAMS:</b> 5 years <b>NATIONAL EXAMS:</b> 50 years	
150-006-037-000-000-000-000	PROFESSIONS AND OCCUPATIONS - FBI FINGERPRINT CARDS	FBI Fingerprint cards.	<b>PRIOR TO 9/1/2013:</b> Shred cards after application process has been completed <b>AFTER 9/1/2013:</b> Transfer to Nebraska State Patrol	Note: Fingerprint cards in old applications are being destroyed with a project end date of 8/31/14
150-006-028-000-000-000-000	PROFESSIONS AND OCCUPATIONS - INCOMPLETE/ WITHDRAWN APPLICATIONS	Incomplete and withdrawn applications for credentials filed by people, facilities, or services, and applications for individuals who failed an examination and did not retake it.	<b>60 days after non-activity by applicant</b>	
150-006-029-000-000-000-000	PROFESSIONS AND OCCUPATIONS - INSPECTION & SITE VISIT REPORTS FILE	Reports of initial and subsequent inspections and site visits for all establishments, schools, training agencies, and services. Examples may include but not limited to: cosmetology related professions, funeral directing, massage therapy, emergency medical services and nursing.	<b>5 years</b>	



ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENT
150-006-031-000-000-000-000	PROFESSIONS AND OCCUPATIONS - NON-PUBLIC DOCUMENTS FROM APPLICATION	Non-public documents which are part of the original application and supporting documentation. Examples may include, but are not limited to: FBI criminal history records, chemical dependency results, mental health evaluations, treatment records and physical health evaluations.	<b>APPROVED:</b> After license is issued or expired (whichever applies) <b>DENIED:</b> 30 days after appeals and no unfinished matter is pending	Also see, PROFESSIONS AND OCCUPATIONS - FBI FINGERPRINT CARDS, item 150-006-037
150-006-032-000-000-000-000	PROFESSIONS AND OCCUPATIONS - REFUSAL TO RENEW	Notifications of failure to meet renewal requirements to any of the following groups: licensees, certificate holders, registrants, or permit holders. Examples may include, but are not limited to: nonpayment, failure to meet continuing education requirement, failure to pay administrative penalty fee, discipline in another state, and commission of a disciplinable act.	<b>5 years</b>	
150-006-033-000-000-000-000	PROFESSIONS AND OCCUPATIONS - REINSTATEMENTS	Reinstatement documents related to expired, voluntary surrender, inactive or lapsed status.	<b>ISSUED:</b> After renewal <b>DENIED:</b> 5 years	
150-006-034-000-000-000-000	PROFESSIONS AND OCCUPATIONS - RENEWAL RECORDS	Renewal records which provide proof of credential renewal, waivers, extensions, continued competency, and request for inactive status.	<b>After next renewal</b>	
150-006-035-000-000-000-000	PUBLIC HEALTH RECOGNITION PROGRAM	Awards and recognitions issued by the Board of Health to public health programs.	<b>5 years</b>	
150-006-036-000-000-000-000	REFUNDS	Refund forms returned from Finance.	<b>ORIGINAL RECORD:</b> Scan into OnBase and destroy 30 days after image verification <b>ELECTRONIC RECORD:</b> See ACCOUNTS PAYABLE, item 124-001	