

Schedule 48

EASTERN NEBRASKA RETARDATION OFFICE

OCTOBER 14, 1999

Nebraska Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508
(402) 471-2559

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

SCHEDULE NUMBER	48
AGENCY, BOARD OR COMMISSION	Eastern Nebraska Community Office of Retardation
DIVISION, BUREAU OR OTHER UNIT	
Supersedes Edition of November 19, 1992	

**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 * <i>Ray Christensen</i>	
TITLE <i>Director</i>	DATE <i>10/4/99</i>

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 * <i>Andrea I. Falony</i>	DATE <i>Oct-7, 1999</i>
STATE ARCHIVIST	

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 * <i>[Signature]</i>	DATE <i>10-18-99</i>
ADMINISTRATOR	

RMA 01005D

INSTRUCTIONS FOR USING THIS SCHEDULE

Records retention and disposition schedules are designed to serve as your records management guidelines for storing and disposing of records, **regardless of the media on which they reside**, including paper, microfilm, diskettes, optical disks, CDs, DVDs, servers, computer hard drives, etc. Local Agencies General Records Schedule #24 contains those records common to most local government agencies. This schedule, along with the unique schedule written specifically for records unique to your office, approved by the State Records Administrator, provide 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 General Records Schedule #24 for any items which have differences in retention requirements.
2. Dispose of records that have met their retention periods.
3. Complete a Records Disposition Report for the records you dispose. The Records Disposition Report form is the last page of this schedule. Remove the form, photocopy it, complete the form, make a photocopy for your records, and send the completed form to the Records Management Division at the address below. This report establishes that the destruction was performed in your normal course of business.

Please remember to retain the blank form for future use.

NON-SCHEDULED RECORDS

Contact a Records Management Consultant 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 Consultant in Records Management can assist you with the schedule update, which involves adding new records and making revisions to existing items. Keeping your schedule current will ensure that 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 your Records Management Consultant in Records Management. We will help you with any questions the schedule may present, including: transferring records to the State Records Center or State Archives, microfilming records, scanning records, etc.

**Records Management Division
440 South 8th Street, Suite 210
Lincoln, NE 68508-2294
402-471-2559**

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SCHEDULE 48 – EASTERN NEBRASKA RETARDATION OFFICE

48-1 COMPUTERIZED INDEX TO RECORDS OF PERSONS SERVED

Retain permanently.

48-2 RECORDS OF PERSONS SERVED

The unit record is assembled for the purpose of documenting the provision of residential, day and/or support services from Eastern Nebraska Community Office of Retardation (ENCOR).

Disposition shall follow the schedule below unless special considerations apply.

Special considerations:

1. **When formal action on the file has occurred, such as release of information, retain the file for 10 years from the last file use.**
2. **If formal interest is expressed by the individual's legal counsel or by the individual affected by the information, defer disposal.**
3. **With receipt of a subpoena prior to the scheduled disposal of record information, the record shall be retained until the trial and any subsequent appeals are concluded.**
4. **If special need is determined by the ENCOR Director or Deputy Director, records may be retained past the scheduled disposal date.**

48-2-1 ADMISSION REPORTS

48-2-1-1 ADMISSION RECORDS

Includes: Application for services and inquiry forms (for non-activated persons only).
Retain permanently.

48-2-1-2 ORIENTATION AND OTHER APPLICATION FORMS

Dispose of orientation forms and all other application forms and requests for specific services 10 years after the person's final termination or 3 years after a minor child has reached the age of majority, whichever is later.

48-2-2 BENEFITS

48-2-2-1 CASE CHARACTERISTICS

Retain permanently.

48-2-2-2 FOOD STAMP CERTIFICATION

Dispose of 5 years after the person is no longer receiving food stamp assistance.

48-2-2-3 STATE AND FEDERAL BENEFITS

Forms and correspondence regarding the receipt of federal and state benefits, such as SSI and SSA funds.

Dispose of 5 years after date of occurrence.

48-2-2-4 SERVICE AUTHORIZATION FORMS

Includes Title XIX funds, Case Information Summary DSS-4, and other service authorizations.

Dispose of 10 years after final termination or 3 years after a minor child has reached the age of majority, whichever is later.

48-2-3 LEGAL FORMS

48-2-3-1 LEGAL RECORDS

Includes Birth Certificate, Social Security card (copy), letters of legal guardianship.

Retain permanently.

48-2-3-2 CONSENT FORMS

Dispose of consent forms and releases 10 years after the persons' final termination or 3 years after a minor child has reached the age of majority, whichever is later provided audit has been completed.¹

48-2-3-3 COURT RELATED DOCUMENTS

May include such items as subpoenas, court orders and notice of hearings.

Dispose of all such court related documents 10 years after the person's termination or 3 years after a minor child has reached the age of majority.

48-2-3-4 RELEASE OF INFORMATION

Dispose of 10 years after the person's final termination or 3 years after a minor child has reached the age of majority.

48-2-4 MEDICAL AND DENTAL INFORMATION

48-2-4-1 MEDICAL AND DENTAL RECORDS

Includes: History and physical examination, admission exam and most recent (only); hospital discharge summary for most recent hospitalization, if applicable; immunizations; medication history form; hospitalization record form; physician's consultations; nursing assessment and care plan.

Retain permanently.

ALL OTHER MEDICAL AND DENTAL INFORMATION: Dispose of all other medical and dental information 10 years after final termination, or 3 years after a minor child has reached the age of majority, whichever is later.

48-2-5 EVALUATIONS

48-2-5-1 BEHAVIOR MANAGEMENT EVALUATIONS.

Retain permanently.

48-2-5-2 PSYCHOLOGICAL EVALUATIONS

Admission/earliest and most recent only.

Retain permanently.

ALL OTHER PSYCHOLOGICAL EVALUATIONS/INFORMATION: Dispose of all other psychological evaluations and information 10 years after final termination or 3 years after a minor child has reached the age of majority, whichever is later.

48-2-5-3 SOCIAL HISTORY

Retain permanently.

48-2-5-4 PARAMEDICAL EVALUATIONS

Paramedical evaluations include disciplines such as speech, vision, hearing, occupational therapy, physical therapy and nutrition.

FIRST EVALUATION, DISCHARGE/LAST EVALUATIONS: Retain permanently.

OTHER EVALUATIONS: Dispose of all other evaluations 10 years after the person's final termination or 3 years after a minor child has reached the age of majority, whichever is later.

48-2-6 CORRESPONDENCE

May include items pertaining to the initiation, termination or provision of services.

Retain permanently.

48-2-7 VOCATIONAL HABILITATION AND SPECIAL EDUCATION INFORMATION

May include Vocational and Special Education information, teacher's home visit reports, report cards, Personnel Action Forms.

Dispose of all vocational habilitation and Special Education information 10 years after the persons' final termination or 3 years after a minor child has reached the age of majority, whichever is later.

48-2-9 INDIVIDUAL PROGRAM PLAN (IPP)

48-2-9-1 PROGRAM GOAL FORMS

Includes Program goal forms and plans, restrictive programs and approvals, training forms, behavior medication reviews, monthly goal reviews and formal graphs.

Dispose of 10 years after the person's final termination, or 3 years after a minor child has reached the age of majority, whichever is later.

48-2-9-2 STRENGTHS AND NEEDS

Organizes the assessment results by developmental area and summarizes the individual's skills and training needs within each of these areas.

Retain permanently.

48-2-9-3 ASSESSMENT SUMMARY SHEETS

Summarizes the results of the assessment used to identify the developmental skill levels of the individual.

Retain permanently.

48-2-10 PERSONAL SUMMARY LOGS

Summary listing of address and phone numbers of the individual, his/her parent/guardian, emergency contacts, physician and dentist. Forms also include name of service coordinator, a list of allergies and dates of examinations and evaluations.

Retain permanently.

48-2-11 CHANGE OF STATUS INFORMATION

Information regarding changes in personal and service information occurring after admission to services. May include information such as change in status of services received, change in address or phone numbers of the individual, his/her parent/guardian, physician, dentist, emergency contacts, or change in service coordinator.

Retain permanently.

48-2-12 MISCELLANEOUS

48-2-12-1 PHOTOGRAPH

Retain most recent only during services.

48-2-12-1 MISCELLANEOUS INFORMATION

May include such items as incident reports, and any other items not covered by any other schedule item in the client file.

Dispose of 10 years after the person's final termination or 3 years after a minor child has reached the age of majority, whichever is later.

48-3 SETTING-SPECIFIC MATERIAL

Setting-specific materials include the detailed information and forms maintained by area and division staff that relate to the overall individual program plan but are not a part of the unit record.

48-3-1 ATTENDANCE RECORDS

Dispose of 10 years after date of occurrence.

48-3-2 ASSESSMENTS

May include the TSMI, CAMS, and others. Retained in compliance with Nebraska Administrative Code (NAC) 205. 1-5 (effective 4-25-96), and NAC 480.2-3 (effective 5-8-95).

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

48-3-3 CLOTHING/POSSESSION INVENTORY

Dispose of 1 year after termination from residential services.

48-3-4 DAILY LOGS

Dispose of after 1 year.

48-3-5 DAILY SCHEDULE

Retained in compliance with Center for the Developmentally Disabled (CDD) Title 175.3 – 005.06D4 (effective 5-8-1984). A new schedule is developed at the annual IPP. The current schedule is available for audit as required by CDD regulations Title 175.3.

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

48-3-6 DELETED

48-3-7 MENUS and DIETITIAN'S NOTES

Menus are retained in compliance with CDD regulations, Title 175.3 - 004.09A4. Regulations require them to be filed for 6 months in the centers. Dietitian's notes are not required by regulatory bodies.

Dispose of after 6 months.

48-3-8 VACATION AND OUTING REQUESTS

Dispose of after the vacation or outing has occurred.

48-3-9 VOCATIONAL PRODUCTION REPORTS

Dispose of after 5 years.

48-3-10 PERSONAL FUNDS

Includes ledger sheets, bank statements, receipts, check registers, billing statements.

Dispose of 4 years after official audit.¹

48-3-11 BEHAVIOR BASELINE DATA SHEET

Dispose of after 4 years.

48-3-12 RAW PROGRAMMATIC DATA

IPP data collection forms such as checklist, calendars, tally sheets, production charts, and frequency sheets utilized to produce formal graphs.

Dispose of after 2 annual program years.

RECORDS DISPOSITION REPORT

TO: SECRETARY OF STATE RECORDS MANAGEMENT DIVISION 440 S. 8TH STREET SUITE 210 LINCOLN, NE 68508-2294	AGENCY
	DIVISION
	SUB-DIVISION

REQUIRED INFORMATION:

In accordance with the Records Management Act, records of this agency have been disposed of under the authorization granted by the following schedule(s):

SCHEDULE NUMBER(S) ONLY (DO NOT INCLUDE SECTION AND ITEM NUMBERS)	TOTAL VOLUME DISPOSED (SEE REVERSE)

OPTIONAL INFORMATION (FOR YOUR USE ONLY):

You may include detailed information which will be useful to you in recording exactly what records were disposed of and under what authority. This might include such things as schedule section and item numbers, title of records, inclusive dates of records, etc. This information is not required to be filed with Records Management.

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DATE	SIGNATURE
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SEND ORIGINAL TO RECORDS MANAGEMENT. MAKE A PHOTOCOPY FOR YOUR RECORDS.

RMA 03006D

VOLUME ESTIMATING GUIDE

(PLEASE NOTE THAT FOR REPORTING PURPOSES, A BALLPARK ESTIMATE OF THE TOTAL VOLUME OF MATERIAL DISPOSED IS ADEQUATE.)

Vertical File Cabinet, 4 drawer letter-size	6 cubic feet
Vertical File Cabinet, 4 drawer legal-size.....	8 cubic feet
Lateral File, 4 drawer/shelf letter-size	9 cubic feet
Lateral File, 4 drawer/shelf legal-size.....	12 cubic feet
Records center carton.....	1 cubic foot
About a pickup load.....	50 cubic feet