

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

Schedule 150-1-1-5

DEPARTMENT OF HEALTH AND HUMAN SERVICES SYSTEM

BEHAVIORAL HEALTH SERVICES

March 30, 2006

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

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

SCHEDULE	150-1-1-5
AGENCY, BOARD OR COMMISSION	Health & Human Services System
DIVISION, BUREAU OR OTHER UNIT	Behavioral Health Services
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>Karen Montanay</i>	
TITLE <i>Director</i>	DATE <i>3/21/06</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. Fajal</i>	DATE <i>Mar 29, 2006</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>John D. Galt</i>	DATE <i>3/30/06</i>
STATE RECORDS ADMINISTRATOR	

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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Records of the Department of Health & Human Services System

Division of Behavioral Health Services

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SCHEDULE 150-1-1-5 – DEPARTMENT OF HEALTH AND HUMAN SERVICES SYSTEM – BEHAVIORAL HEALTH SERVICES

150-1-1-5-1 ADVISORY/ADVOCACY GROUP MINUTES

Minutes from groups which are legislatively mandated (State Behavioral Health Advisory Council, State Mental Health Services Advisory Committee, State Substance Abuse Advisory Committee, State Compulsive Gambling and Addiction Services Advisory Committee) required by regulation or grant required (MHSIP); or external groups to advocate on behalf of patient or systems or internal policy development groups i.e. Network Managers, Behavioral Health System Team.

MINUTES LEGISLATIVELY MANDATED OR REQUIRED BY REGULATION:

Microfilm and file with Legislative Research Library.

SECURITY MICROFILM: Transfer to the State Archives; retain permanently.

MICROFILM SECURITY COPY: Retain permanently.

ALL OTHER MINUTES: Dispose of 5 years after date of meeting.

150-1-1-5-2 AUDIO AND VIDEO TAPES

Audio and Videotapes used to record meetings, to verify appropriateness of examinations or as presentations to groups.

Dispose of 1 year after appeal time has lapsed, or when no longer of administrative value, whichever is later.

150-1-1-5-3 CLIENT INFORMATION SYSTEMS

Computer data (N-FOCUS) which contain client tracking and or client identifying information used as a basis for development of treatment authorizations, or reports on the nature and extent of treatment services funded in whole or part by Division of Behavioral Health Services including Handgun Registration Data; Magellan Client Data; Compulsive Gamblers Client Information System; Mental Health, Substance Abuse Community Client Data Mental Health Client Information System; Substance Abuse Client Information System; Client Orientated Data Acquisition Program; Alcohol Client Data System, and Prevention Data Set.

Retain permanently.

ELECTRONIC DATA: Backup monthly; dispose of after 7 years or when no longer of administrative value, whichever is later.

SECURITY BACKUP COPY: Dispose of after superseded.

150-1-1-5-4 CONTRACTS/GRANTS OR FUNDING AGREEMENTS – STATE AUTHORITY AS FUNDER

Direct funding or service agreements between Division of Behavioral Health Services and service provider. Files may include, Regional Plans of Expenditures, quarterly reports, reports of management and operations, general correspondence, report on compliance visits, Audits, Turn Around Documents, Requests for Payments, contract (or funding agreement) and amendments and other associated information about the service provider or agreement.

Dispose of after 5 years from last day of contract, provided audit has been completed.¹

**150-1-1-5-5 CONTRACTS/GRANTS OR FUNDING AGREEMENTS –
STATE AUTHORITY AS RECIPIENT**

Applications, correspondence and actions relative to funding in which Division/Department is recipient from grants/contracts or other instruments of agreement by State Divisions.

ORIGINAL RECORD: Located in Central Repository Support Services.

DUPLICATE COPY: Dispose of 5 years after fulfillment of contract terms, provided audit has been completed. ¹

150-1-1-5-6 COUNSELOR CERTIFICATION

Agency files on persons having or seeking Compulsive Gambling Certification, or the like.

ELECTRONIC PRINTOUTS (DENIED): Dispose of after 60 days if not appealed, if appealed retain 1 year following settlement, then dispose (shred).

EXPIRED: Retain permanent record information on Database.

NON-ESSENTIAL DOCUMENTS: Dispose of (shred) 5 years after expiration.

RECIPROCITY: Persons applying for reciprocity to another state based on Nebraska certification: Dispose of upon expiration of Nebraska certificate.

ELECTRONIC DATA: Backup daily; retain permanently.

SECURITY BACKUP COPY: Dispose of after superseded.

150-1-1-5-7 DATA COLLECTION FORMS

Data collection instruments or data entry documents which may include information to be keyed into computer for client admissions, continued stay reviews, treatment provisions, terminations or consumer surveys.

Dispose of after data entry and verification.

150-1-1-5-8 OPERATIONS PLANS

Plans and proposals or written documents upon which administrator has provided approval for the development of systems design to meet requirements of State, Federal or Division planning and reporting. Such document proposed a course of action developed from a recognized need.

Transfer one copy to the Legislative Research Library.

ALL OTHER COPIES: Dispose of after 2 years, or when no longer of administrative value, whichever is later.

150-1-1-5-9 POLICY AND PROCEDURE MANUALS

Manual setting out operational policies and procedures for division, or other functional areas.

Dispose of after 5 years, or when superseded, whichever is later, subject to review by the State Archives for possible accession.

150-1-1-5-10 PROGRAM DATA

Retained as needed to complete program performance and utilization reports for contract compliance monitoring. Annual operations plan containing objectives for division. Project information or statistics used to evaluate costs, expenditures, usefulness, client activities, etc.

ISSUED REPORTS: Transfer one copy to the Legislative Research Library.

NON-ISSUED REPORTS: Dispose of after 2 years, or when obsolete, whichever is later.

ALL OTHER COPIES: Dispose of after 2 years or when no longer of administrative value, whichever is later.

150-1-1-5-11 PROGRAM CORRESPONDENCE

Records about programs and/or correspondence regarding outside information requests and program deliveries by division funded agencies.

Dispose of after 2 years.

**150-1-1-5-12 PROGRAM FACILITY REVIEW/AUDITS OF SERVICES
PURCHASED**

Final report of agency regulatory compliance visits performed by division staff or Regional Behavioral Health Authorities not otherwise covered in Regional Behavioral Health Authority contracts.

Dispose of 5 years after date of last contact, or 5 years from expiration of certification, whichever is later.

150-1-1-5-13 ADMINISTRATIVE CORRESPONDENCE

Minutes of staff meetings or committees not required for standards compliance, regulation, grant compliance or accreditation. Speeches or legislative testimony prepared and presented by department staff.

Dispose of after 2 years, or when no longer of administrative value, whichever is later.

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.*