

# **Schedule 150-17**

# **DEPARTMENT OF HEALTH & HUMAN SERVICES**

# **PUBLIC HEALTH - INVESTIGATIONS**

**May 19, 2016**

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

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

SCHEDULE

**150-17**

AGENCY, BOARD OR COMMISSION

**DEPARTMENT OF HEALTH & HUMAN  
SERVICES**

DIVISION, BUREAU OR OTHER UNIT

**PUBLIC HEALTH – INVESTIGATIONS**

**Supersedes Edition of November 4, 2010**

**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

*Janice Roberts Johnson*

TITLE

*Deputy Director, Division of Public Health*

DATE

*5/13/16*

**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

*Gary Koutany*

DATE

*5/16/2016*

**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

*Deann Hauff*

DATE

*5/19/16*

**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

*John A. Gace*

DATE

*5/19/16*

## **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 150-17**  
**DEPARTMENT OF HEALTH AND HUMAN SERVICES (DHHS)**  
**PUBLIC HEALTH - INVESTIGATIONS**  
**May 19, 2016**

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

Supersedes Schedule 150-2-3-1, Edition of November 4, 2010

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-17-1	<b>DISASTER RECOVERY BACK-UPS FOR ELECTRONIC RECORDS</b>	Back-up tapes or other storage media are only to be used for system restoration in the event of a disaster. Disaster recovery back-ups are never to be used or considered for records access, archiving or management purposes. Tapes will be maintained and then overwritten or destroyed.	<b>DAILY (M-F):</b> 1 week <b>WEEKLY (Sunday):</b> 3 weeks <b>MONTHLY:</b> 1 year	
150-17-2	<b>INVESTIGATION - CASE FILES</b>	Case files related to investigations, proposed actions, or actions brought by or filed before the Department such as actions to deny or discipline a license of individuals or entities. Included but not limited to court documents, case report, copies of exhibits, witness information, witness interviews, proposed and/or final agreed settlements.	<b>ORIGINAL RECORD:</b> Scan or transfer to DHHS- Investigations Division "I" Drive and destroy pursuant to AUTHORITY FOR DISPOSAL OF RECORDS FOLLOWING A DURABLE MEDIUM PROCESS CONVERSION, item 124-13 <b>ELECTRONIC RECORD:</b> 7 years OR when no longer of administrative value as determined by the Investigations Administrator (whichever is later) <b>SECURITY MICROFILM:</b> 7 years after date created <b>MICROFILM WORK COPY:</b> 7 years after date created	Confidential Record - NE Rev. Stat. § 71-168.01
150-17-3	<b>INVESTIGATION - COMPLAINT LOGS AND REPORTS</b>	Investigational complaint.	<b>NO ACTION TAKEN:</b> 2 years <b>ACTION TAKEN:</b> Scan or transfer to DHHS- Investigations Division "I" Drive and destroy pursuant to AUTHORITY FOR DISPOSAL OF RECORDS FOLLOWING A DURABLE MEDIUM PROCESS CONVERSION, item 124-13 <b>ELECTRONIC RECORD:</b> 7 years OR when no longer of administrative value as determined by the Investigations Administrator (whichever is later)	
150-17-4	<b>INVESTIGATION - CONTRACTS</b>	Expert Witness Contracts, etc.	<b>NIS PAID:</b> Transfer original to Central Repository in Support Services, see CONTRACTS AND AGREEMENTS, item 150-3-1-2-2-5 <b>OTHER COPIES:</b> 3 years <b>REJECTED:</b> 5 years	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-17-5	INVESTIGATION - SUPPORT DOCUMENTS	Car logs/Mileage Reporting, timesheets, bills/invoices, and other miscellaneous documents.	5 years	
150-17-6	PROGRAM EVALUATION/REVIEW - CHILD SUPPORT QC FILES ACTIVE AND INACTIVE	Child Support active (open) and inactive (closed) cases which have been reviewed by QC.	6 years	
150-17-7	PROGRAM EVALUATION/REVIEW - FEDERAL SNAP AND MEDICAID STATISTICS	Statistics relating to SNAP (Supplemental Nutrition Assistance Program) and Medicaid reviews to verify program effectiveness, retained for reference purposes.	3 years	
150-17-8	PROGRAM EVALUATION/REVIEW - SNAP QC FILES-ACTIVE, ERROR AND INACTIVE	SNAP (Supplemental Nutrition Assistance Program) cases that QC has reviewed. Active (open), Error (found in error), and Inactive (closed).	3 years	CFR 7272.1(f) & CFR 7275.4(c)
150-17-9	PROGRAM EVALUATION/REVIEW - MEDICAID QC FILES- ACTIVE AND INACTIVE	Medicaid active and inactive cases which have been reviewed by QC.	3 years	
150-17-10	PROGRAM EVALUATION/REVIEW - MEDICAID QC FILES-PAID CLAIMS AND RETROSPECTIVE	Medicaid financial information pertaining to active Medicaid cases.	3 years	
150-17-11	PROGRAM EVALUATION/REVIEW - SAMPLE ASSIGNMENT SHEETS AND TALLY SHEETS	Information pertaining to sample assignments for each month.	<b>ORIGINAL RECORD:</b> File with original case and send to each local office; 3 years <b>COPIES:</b> Send to local/district offices; 3 years	
150-17-12	PROGRAM EVALUATION/REVIEW - SPEED MEMOS	Forms which have been used to return local office case files.	<b>ORIGINAL MEMO:</b> 3 years <b>COPY:</b> Send to local/district offices; 3 years	
150-17-13	SPECIAL INVESTIGATIONS - FRAUD FILES	Investigative files concerning DHHS program clients, non-medical providers, and employees who are investigated for potential fraud. The files may contain a referral, investigator notes, records from outside sources, investigative summary, correspondence, court documents, Administrative Disqualification Hearing outcome, prosecution outcome, reimbursement agreement, payment history, etc.	<b>ORIGINAL RECORD:</b> Scan or transfer to SharePoint and destroy pursuant to AUTHORITY FOR DISPOSAL OF RECORDS FOLLOWING A DURABLE MEDIUM PROCESS CONVERSION, item 124-13 <b>ELECTRONIC RECORD:</b> 20 years OR after approval by Special Investigation Program Administrator (whichever is later)	
150-2-3-1-3-8	ADC QC FILES - ACTIVE	ADC (Aid to Dependent Children) active cases which have been reviewed by QC.	Immediate disposal of obsolete record	
150-2-3-1-3-7	ADC QC FILES - ERROR	ADC cases that QC has reviewed and found in error.	Immediate disposal of obsolete record	

ITEM NUMBER	RECORD TITLE	DESCRIPTION/EXAMPLES	RETENTION	REFERENCE/COMMENTS
150-2-3-1-3-9	ADC QC FILE - INACTIVE	ADC closed cases which have been reviewed by QC.	Immediate disposal of obsolete record	
150-2-3-1-3-13	FEDERAL ADC STATISTICS	Statistics relating to ADC reviews to verify program effectiveness, retained for archival purposes.	Immediate disposal of obsolete record	