

# Schedule 150-3-1-1

**HEALTH AND HUMAN SERVICES SYSTEM**

**DEPARTMENT of HHS – FINANCE & SUPPORT**

**VITAL RECORDS**



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

SCHEDULE NUMBER	150-3-1-1
AGENCY, BOARD OR COMMISSION	Health and Human Services System
DIVISION, BUREAU OR OTHER UNIT	Vital Records
Supersedes 35-22 Edition of June 30, 1994	

**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 *		DATE	3/23/01
TITLE	DIRECTOR HHS - FINANCE & SUPPORT		

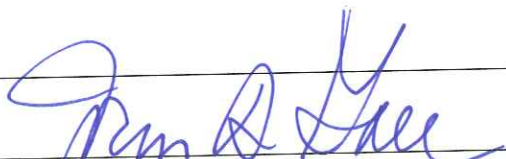
**PART II – ARCHIVAL APPROVAL**

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 ARCHIVIST	DATE March 27, 2001
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**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 *		ADMINISTRATOR	DATE 4/2/01
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## **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**

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**HEALTH AND HUMAN SERVICES SYSTEM**  
**Department of HHS - FINANCE & SUPPORT**

**SCHEDULE NO. 150-3-1-1 VITAL RECORDS**

**150-3-1-1-1 INDEXES**

Indexes which list births, deaths, fetal deaths, marriages and divorces, maintained by name in sound-ex order. Early indexes are ledgers. Current system utilizes microfiche.

**PAPER RECORD: Microfilm for security; retain permanently.**

**ELECTRONIC DATA: Backup as required; retain permanently.**

**SECURITY COPY: Backup as required; retain permanently.**

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

**MICROFILM WORK COPY: Retain permanently.**

**150-3-1-1-2 BIRTH CERTIFICATES**

Includes delayed birth certificates and rescanned (newly created original) birth certificates. Certificates, 1930-1939, 1950 to present, are on optical disk (OD).

**ORIGINAL RECORD: Microfilm for security; retain permanently.**

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

**MICROFILM WORK COPY: Retain permanently.**

**OD WORK COPY: Retain permanently.**

**OD SECURITY COPY: Transfer to State Records Center; retain permanently.**

**150-3-1-1-3 DEATH CERTIFICATES**

**ORIGINAL RECORD: Microfilm for security; retain permanently.**

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

**MICROFILM WORK COPY: Retain permanently.**

**150-3-1-1-4 MARRIAGE CERTIFICATES**

**ORIGINAL RECORD: Microfilm for security; retain permanently.**

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

**MICROFILM WORK COPY: Retain permanently.**

**150-3-1-1-5 DIVORCE CERTIFICATES (DISSOLUTIONS OF MARRIAGE)**

Annulment and dissolution of marriage certificates.

**ORIGINAL RECORD: Microfilm for security; retain permanently.**

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

**MICROFILM WORK COPY: Retain permanently.**

**150-3-1-1-6 FETAL DEATH CERTIFICATES**

**ORIGINAL RECORD: Microfilm for security; retain permanently.**

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

**MICROFILM WORK COPY: Retain permanently.**

### **150-3-1-1-7                    ADOPTION DECREES AND REPORTS AND ORIGINAL BIRTH CERTIFICATES**

Adoptive birth certificates are prepared by Vital Records from information provided in the reports of adoption, information sheets and decrees of adoption. Original birth certificate is closed. These documents are used to establish and file the adoptive birth certificates; are confidential and not available to inspection except upon a court order, §71-626-01 R.R.S. 1943. Item # 150-3-1-1-26, Medical History Forms, are transferred into this record series.

**ORIGINAL BIRTH CERTIFICATE: Microfilm for security; retain permanently.**

**ADOPTION DECREE: Microfilm and destroy.**

**MEDICAL HISTORY FORM: Microfilm and destroy.**

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

**MICROFILM WORK COPY: Retain permanently.**

### **150-3-1-1-8                    LEGITIMATION RECORDS**

Issue of new birth certificates for children who have been legitimated by the subsequent marriage of their parents. Paternity acknowledgements, certified copies of marriage records and the information for the new birth certificates are furnished in support of request for issuance of new birth certificates.

**ORIGINAL RECORD: Microfilm and destroy.**

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

**MICROFILM WORK COPY: Retain permanently.**

### **150-3-1-1-9                    MATERNITY REPORTS**

Monthly reports of births from hospitals. Records sex and date of birth of each child, names and addresses of parents and attending physician.

**Dispose of after 2 years.**

### **150-3-1-1-10                  REPORTING FORMS OF INDUCED TERMINATION OF PREGNANCY**

These abortion-reporting forms are sent to the Division of Health Data Systems for compilation of statistics.

**Dispose of 2 years after returned from the Division of Health Data Systems.**

### **150-3-1-1-11                  CASKET SALES REPORTS**

Retailers' monthly sales reports, which include name and address of purchaser, name of deceased, date and place of death.

**Dispose of after 2 years.**

### **150-3-1-1-12                  BIRTH QUERIES**

When an incomplete birth certificate is filed, this standardized inquiry form is sent as an information request. The information is recorded on the inquiry form and returned to Vital Records for transcription to the birth certificate.

**Dispose of 2 years after transcription to birth certificate.**

### **150-3-1-1-13                  DEATH QUERIES**

When an incomplete death certificate is filed, this standardized inquiry form is sent as an information request. The information is recorded on the inquiry form and returned to Vital Records for transcription to the death certificate.

**Dispose of 1 year after transcription to death certificate.**

**150-3-1-1-14 BURIAL-TRANSIT PERMITS (Out-of-State)**

Authorization for initial transit of a deceased person, issued in accordance with the law of the State in which the death occurred, other than Nebraska.

**Dispose of after 1 year.**

**150-3-1-1-15 APPLICATION FOR DISINTERMENT PERMIT/ DISINTERMENT PERMIT/REPORT OF DISINTERMENT**

Application records name and address of applicant, his relationship to the deceased, name of the deceased and where buried, where deceased will be reburied, means of transportation to be used and permit number. Dis-interment Permit, issued by Vital Records, is retained by the cemetery where dis-interment took place. After completion of dis-interment and re-interment or shipment, funeral director in charge forwards the Report of Dis-interment to Vital Records. Both permit and report record permit number, name of deceased, where disinterred and where reburied or shipped.

**Dispose of after 1 year.**

**150-3-1-1-16 MARRIAGE QUERIES**

When an incomplete marriage report is filed, the inquiry form is sent as an information request. The information is recorded on the form and returned to Vital Records for transcription to the marriage certificate.

**Dispose of 1 year after transcription to marriage certificate.**

**150-3-1-1-17 DIVORCE AND ANNULMENT QUERIES**

When an incomplete divorce or annulment report is filed, this standardized inquiry form is sent as an information request. The information is recorded on the inquiry form and returned to Vital Records for transcription to the divorce and annulment certificate.

**Dispose of 1 year after transcription to certificate.**

**150-3-1-1-18 MONTHLY REPORT OF MARRIAGES, DIVORCES AND ANNULMENTS**

The number of marriages, divorces and annulments are reported each month to the National Center for Health Statistics, Rockville, MD.

**Dispose of after 1 year.**

**150-3-1-1-19 MONTHLY VITAL STATISTICS REPORT**

The number of birth, death and infant deaths are reported each month to the National Center for Health Statistics, Rockville, MD.

**Dispose of after 1 year.**

**150-3-1-1-20 MORTALITY DISTRIBUTION REPORT**

Reports to the National Center for Health Statistics, Research Triangle Park, N.C. Reports are prepared from a 10% sampling of total monthly deaths.

**Dispose of after 1 year.**



**150-3-1-1-21 AMENDMENTS**

Amendments to Birth, Death, Marriage and Divorce Certificates. Consists of court orders changing persons' names, affidavits and documentary evidence filed with Vital Records in support of requested corrections or revisions.

**ORIGINAL RECORD: Microfilm and destroy.**

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

**MICROFILM WORK COPY: Retain permanently.**

**150-3-1-1-22 INSPECTION LOGBOOK**

Logbook lists microfilm corrections and retakes. Includes roll and document number and why the document needs to be retaken.

**Retain permanently.**

**150-3-1-1-23 CASH REGISTER JOURNALS OR TAPES.**

Cash register tapes.

**Dispose of 1 year following the end of the fiscal year to which the records pertain, provided audit has been completed.<sup>1</sup> See Records Retention Schedule Item #124-1-9.**

**150-3-1-1-24 REFUND CHECKS, BANK STATEMENTS, RECONCILIATIONS**

Checks from Vital Records to the public for copy overpayments and bank statements and reconciliation records.

**Dispose of according to Records Retention Schedule Items # 124-1-8 and #124-1-5.**

**150-3-1-1-25 REQUEST FOR COPIES**

Correspondence from the public requesting copies of various records. These are returned with or without the certificate to the requestor. Requests that require further action by Vital Records are filed and maintained for 3 years. Requestor information is entered onto database.

**CORRESPONDENCE: Transfer to State Records Center after 2 years; dispose of after a total of 3 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC DATA: Backup as required; dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**SECURITY COPY: Backup monthly; dispose of after 1 year.**

**ALL OTHER COPIES: Dispose of after 3 years.**

**150-3-1-1-26 ACCESS FOR RELEASE OF BIRTH INFORMATION/MEDICAL HISTORY FORMS**

These forms are required to be filed in Vital Records by those Nebraska-born persons who have attained the age of twenty-five and were adopted prior to September 1, 1988.

Nebraska-born persons who have attained twenty-one years of age and were relinquished for adoption on or after September 1, 1988 are also required to file the access forms. Medical histories of these persons are also required to be filed with Vital Records after September 1, 1988 only. The name and addresses of biological parents and/or siblings are released in accordance with the Statutes upon receipt of the required forms.

**ACCESS FOR RELEASE OF BIRTH INFORMATION: Retain permanently.**

**MEDICAL HISTORY FORMS: Transfer to Item # 150-3-1-1-7, Adoption Decrees and Reports and Original Birth Certificates.**

**150-3-1-1-27 CORRECTION ROLL COPIES**

Microfilmed certificates which have had corrections made to the face of the original paper certificate.

**CORRECTED PAPER CERTIFICATE: Microfilm and destroy.**

**MICROFILM WORK COPY: Retain permanently.**

**MICROFILM SECURITY COPY: Transfer to State Archives; retain permanently.**

**150-3-1-1-28 CREDIT CARD AND CYBERCACHE RECEIPTS**

Receipts received through transactions done by credit cards.

**Dispose of according to Records Retention Schedule Item # 124-1-44.**

**150-3-1-1-29 DISHONORED CHECKS**

Checks received for records, which were not collectable.

**Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-3-1-1-30 DISHONORED CHECK REPORT**

Listing of dishonored checks.

**Dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**150-3-1-1-31 INTERNET REQUESTS for BIRTH CERTIFICATES**

Birth certificate requests received via the Vital Records website. .

**PAPER RECORD: Transfer to State Records Center after 2 years; dispose of after a total of 3 years, provided audit has been completed.<sup>1</sup>**

**ELECTRONIC DATA: Backup as required; dispose of after 3 years, provided audit has been completed.<sup>1</sup>**

**SECURITY COPY: Backup monthly; dispose of after 1 year.**

**150-3-1-1-32 PATERNITY RELATED CLAIM FORMS**

May include the notice of intent to claim paternity forms and certificates of no notice of intent to claim paternity forms pursuant to Nebraska Revised Statutes, Sec. 43-104.02 to 43-104.05. If a father files a notice of intent to claim paternity form within five days after the birth of a child, the Department sends a copy of such form to the mother. Also, if a notice of intent to claim paternity is not filed, the Department will supply a certificate to such effect to the mother or her agent.

**Dispose of 5 years after final disposition of the case.**

**RECORDS MANAGEMENT**

**150-3-1-1-2-1 RECORDS DISPOSITION REPORTS**

Copies of reports of records destroyed, shredded or disposed.

**Dispose of according to Records Retention Schedule Item # 124-1-176.**

**150-3-1-1-2-2 RECORDS MANAGEMENT MATERIALS**

Includes information from seminars, continuing education, brochures used to teach, legislative materials, Secretary of States rules, notes on progress made by various units or divisions, etc.

**Dispose of after 1 year.**

**150-3-1-1-2-3 INSTRUCTION PACKETS**

Includes instructions for updating retention schedules for HHSS. Materials may include references to State agencies (i.e. audit, archives, records center, shredders etc.), analysis of determining appropriate retention periods and information on whether a document is a record for retention schedule purposes.

**PAPER COPY: Transfer to Client unit or divisions; dispose of after superseded.**

**ELECTRONIC DATA: Backup as required; dispose of after superseded.**

**SECURITY COPY: Back-up as required; dispose of after superseded.**

**150-3-1-1-2-4 SECURITY MICROFILM TRANSFER FORMS**

Forms originating from Archives, showing the acceptance of security microfilm from HHSS.  
**Retain permanently.**

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**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.