



Local Registrar Monitoring

2016 Regional Conference, Dept. of State Health Services, Vital Statistics Unit

Co-Presenters Mike McNutt & Derek Austin Johnson



Background



- ▶ Health and Safety Code 191.022(g):
 - ▶ *Each local registrar shall annually submit a self-assessment report to the state registrar. The Department shall prescribe the information that must be included in the report to allow a thorough desk audit of a local registrar.*
- ▶ Health and Safety Code 195.002(a):
 - ▶ *The state registrar shall execute this title throughout the state. To ensure uniform compliance with this title, the state registrar has supervisory powers over local registrars.*



Local Registrar Monitoring Policy

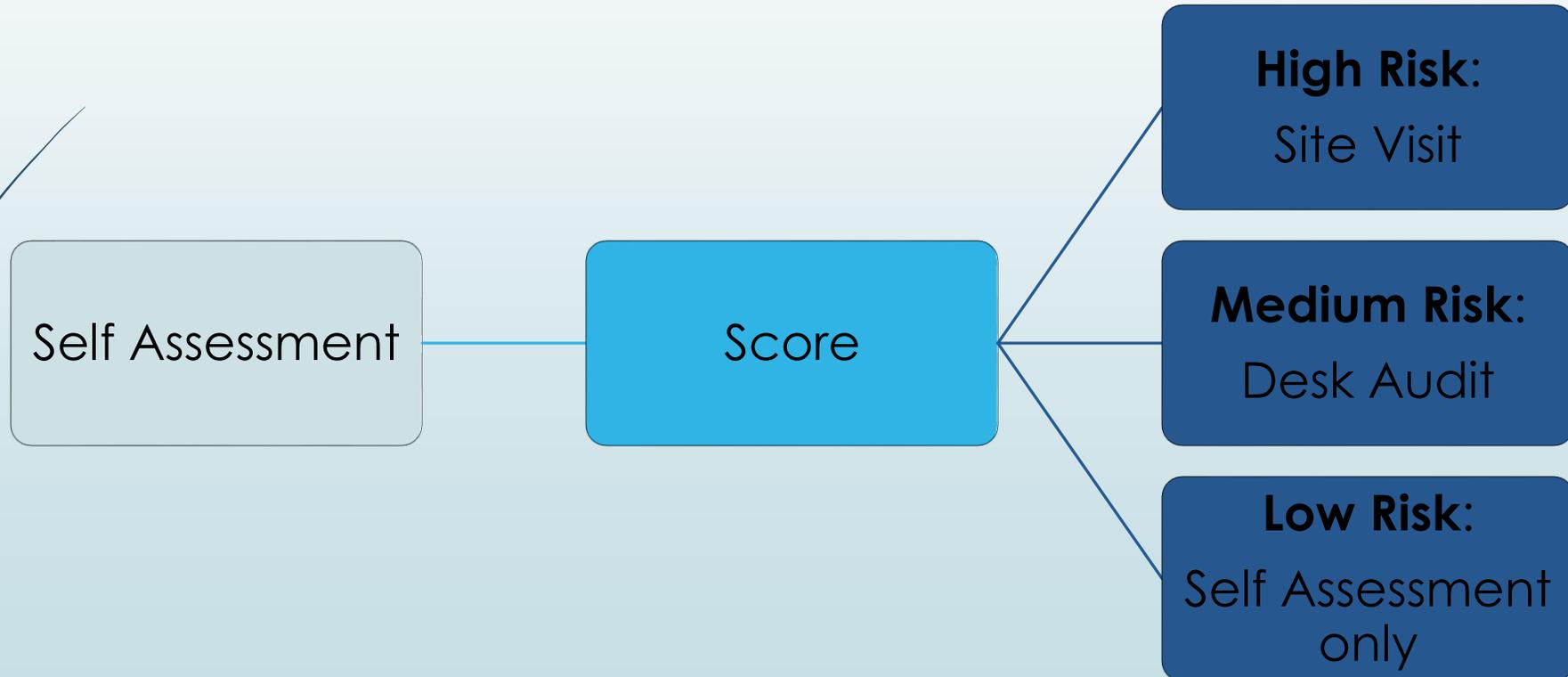
- ▶ Section 191.022(g) of the Texas Health and Safety Code (HSC) requires each local registrar to submit an annual self-assessment report to the state registrar. Area representatives schedule and conduct desk audits and on-site monitoring of providers based in part on the receipt and/or results of the self-assessment report to ensure that vital records are filed timely and accurately for births, deaths, and fetal deaths to ensure the standardization of processes and procedures and enhance compliance with state statutes and guidelines. Monitoring shall be conducted on an ongoing basis and visits are based on risk assessment scoring.

Background

- 254 counties in Texas
- 386 local registrar offices in Texas
- 30 county clerks who are not also local registrars
- 10 area representatives
- In FY2015 (9/1/14-8/31/15):
 - OIG opened 339 Vital Statistics Fraud cases for investigation.
 - IG Internal Affairs Investigators completed 347 vital statistics fraud cases in FY2015, 265 of these cases were substantiated.



Risk Assessment





Risk Assessment

- ▶ The risk-assessment criteria will change over time.
- ▶ It is currently based on
 - ▶ 1. The Self-Assessment Survey
 - ▶ 2. Whether the office is using TER
 - ▶ 3. The number of records the office registered in the previous year
 - ▶ 4. The number of local registrars in the county
- ▶ In the future, the risk-assessment criteria will also be based on
 - ▶ Whether or not the office has completed a Self-Assessment Survey
 - ▶ Whether or not the office has already been the subject of a desk audit or site visit



Desk Audit

- ▶ A desk audit is similar to a site visit, only it is conducted remotely.
- ▶ The field representative will review your office's Self-Assessment.
- ▶ He or she will contact the local registrar and schedule a conference call to go over items on the assessment.
- ▶ The field representative may ask the local registrar to provide additional documentation.
- ▶ After the conference call, the field representative will provide a finding statement.

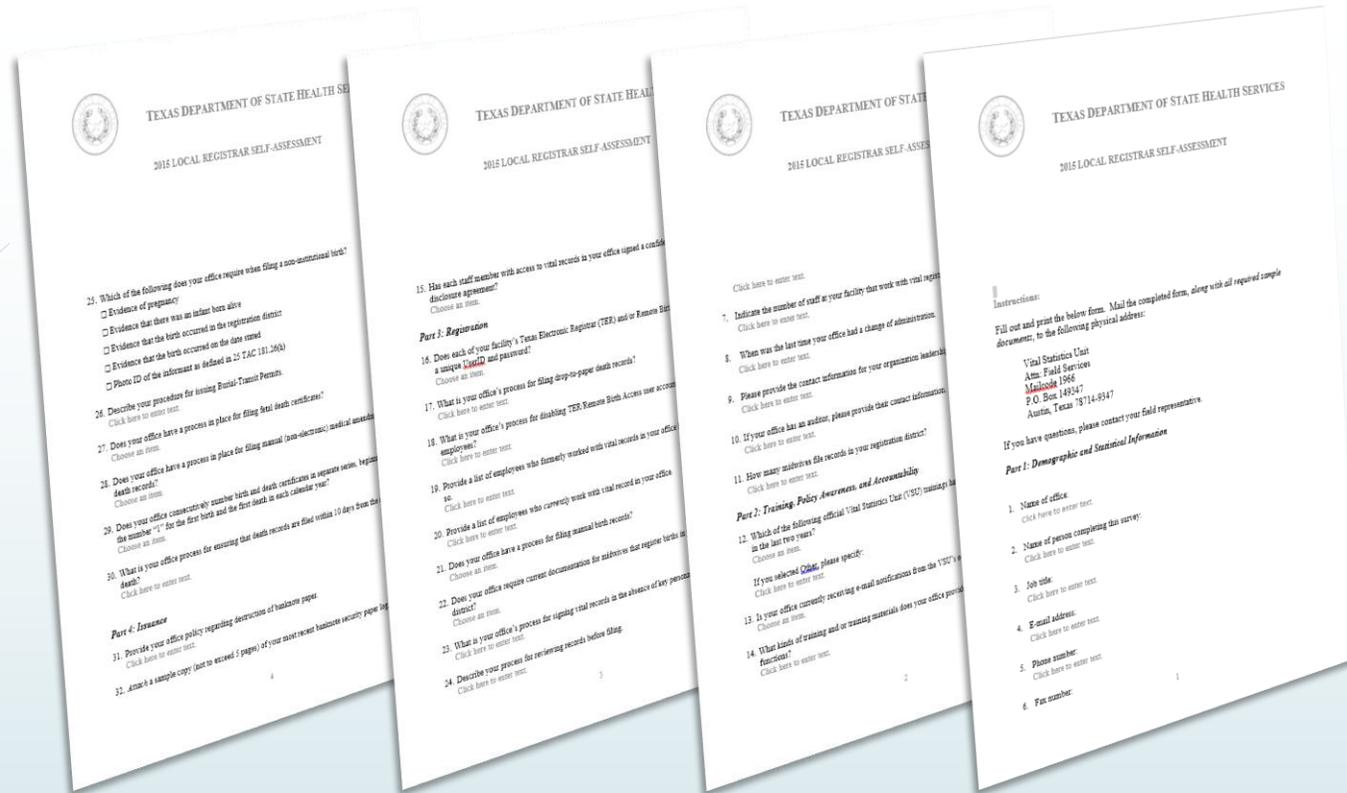
Site Visit

- ▶ Site visits are generally more in-depth than desk audits and follow a more flexible format.
- ▶ They include an examination of your physical security.
- ▶ A site visit is a unique training opportunity.
- ▶ Field Services plans to do more desk audits than site visits.



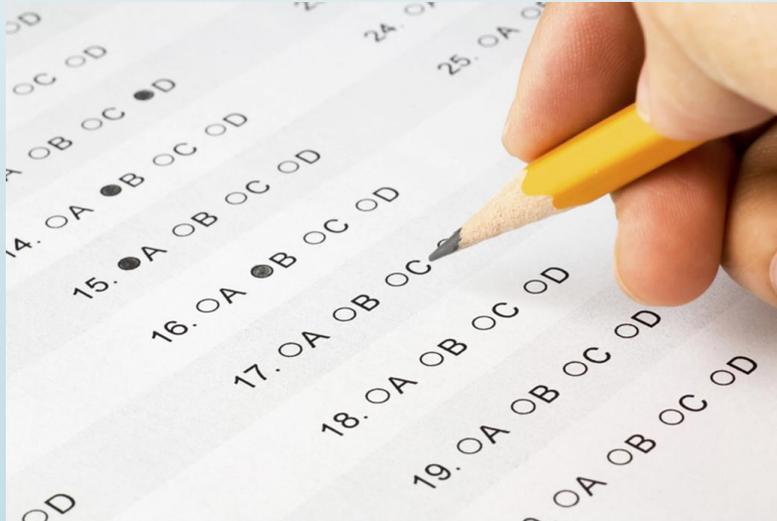


Self-Assessment Surveys



Self-Assessment Surveys

- ▶ Currently 65 questions
- ▶ It can be found at <http://www.dshs.state.tx.us/vs/field/localsurvey.shtm>
- ▶ If VSU does not receive a self-assessment by August 31 (before September 1), the survey for the office will be considered late and the office will automatically receive a risk score of **high risk**.





Scoring self-assessments

- ▶ Field representatives score each subjective question on a 1-5 risk scale, where a higher number indicates greater risk:
 1. Information and materials are exceptional and exceed requirements
 2. Information and materials meet requirements with some additional information.
 3. Information and materials meet requirements
 4. Provided limited information and materials
 5. Provided almost no information or did not requirements



Let's score a couple together.





Part 1: Demographic and Statistical Information

1. Name of office:

➤ Pike County

2. Name of person completing this survey:

➤ Bobby Joe Wright

3. Job title:

➤ Local Registrar

4. E-mail address:

➤ Bobby.Joe.Wright@pikecounty.org

1. Name of office:

➤ Victor's Office

2. Name of person completing this survey:

➤ Victor Farinelli

3. Job title:

➤ Local Registrar

4. E-mail address:

➤ Victor.farinelli@dshs.texas.gov

Part 1: Demographic and Statistical Information

5. Phone number:

➤ 512-776-2580

6. Fax number:

➤ 512-776-7538

7. Indicate the number of staff at your facility that work with vital registration.

➤ 5

8. When was the last time your office had a change of administration.

➤ August 2014

5. Phone number:

➤ 512-776-7368

6. Fax number:

➤ 512-776-7538

7. Indicate the number of staff at your facility that work with vital registration.

➤ 5

8. When was the last time your office had a change of administration.

➤ July 2013

Part 1: Demographic and Statistical Information

9. Please provide the contact information for your organization leadership.

► Geraldine Harris, 512-776-7646

10. If your office has an auditor, please provide their contact information.

► N/A

11. How many midwives file records in your registration district?

► None

9. Please provide the contact information for your organization leadership.

► Geraldine Harris, 512-776-7646

10. If your office has an auditor, please provide their contact information.

► N/A

11. How many midwives file records in your registration district?

► None



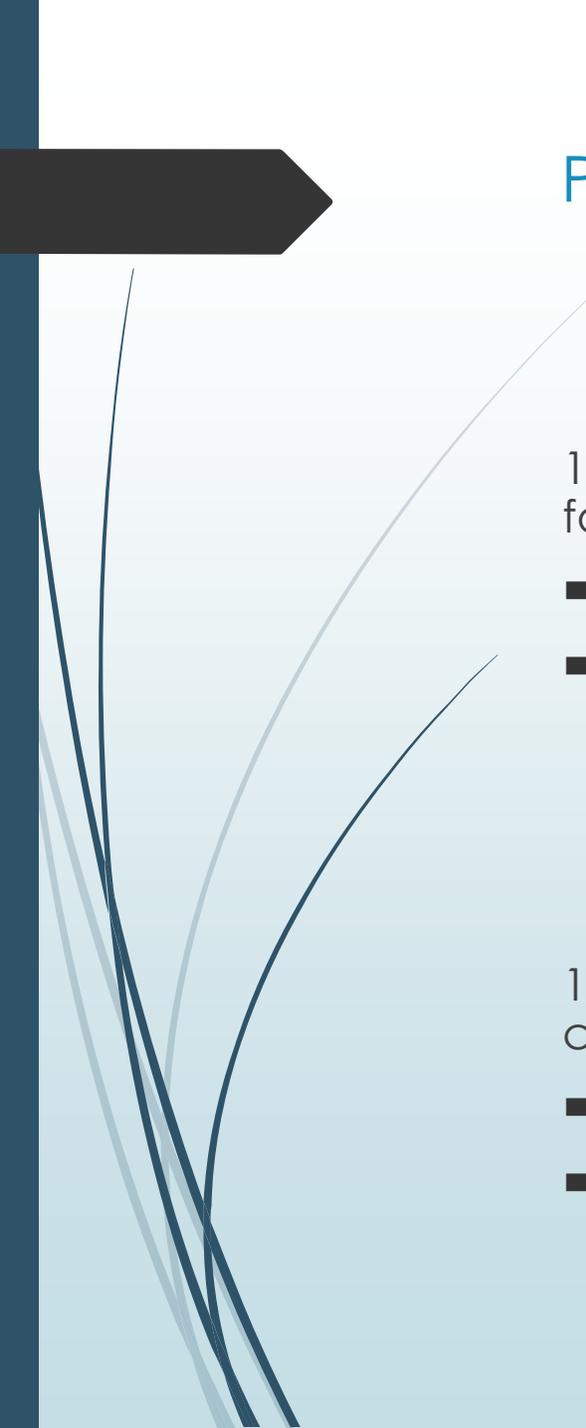
Part 2: Training, Policy Awareness, and Accountability

12. Which of the following official Vital Statistics Unit (VSU) trainings have you or your staff attended in the last two years?

- ▶ We do our own trainings.
- ▶ 2014 Annual Conference, 2015 Regional Conference, 2015 Annual Conference

13. Is your office currently receiving e-mail notifications from the VSU's e-mail list serve?

- ▶ No
- ▶ Yes



Part 2: Training, Policy Awareness, and Accountability

14. What kinds of training and/or training materials does your office provide to staff for vital statistics functions?

- ▶ The local registrar handbook from the VSU website.
- ▶ We have developed our own training and SOP manuals based on the Local Registrar Handbook, the Statutes and Codes Book, presentations we've taken from VSU conference, and our own business operation experience. Attached is a sample of the training manual. New employees have to read through our training manual and shadow our deputy registrar for a week as part of their training.

15. Has each staff member with access to vital records in your office signed a confidentiality and non-disclosure agreement?

- ▶ No
- ▶ Yes



Part 3: Registration

16. Does each of your facility's Texas Electronic Registrar (TER) and/or Remote Birth Access users have a unique User ID and password?

- ▶ No
- ▶ Yes

17. What is your office's process for filing drop-to-paper death records?

- ▶ Assign file number and put it in our book.
- ▶ Ensure the DTP is appropriate for this record (and it won't be rejected by VSU), ensure the DTP counter in TER matches the DTP counter on the paper record, assign my file number in TER and on the paper record, photocopy the paper record, index the record, and mail the original DTP record to VSU along with a batch control sheet.



Part 3: Registration

18. What is your office's process for disabling TER/Remote Birth Access user accounts for former employees?

- ▶ I have not had to disable any employees.
- ▶ As soon as any employee is terminated, retires or resigns, my deputy registrar logs into TER, disables their User ID, and sends me an e-mail to confirm it has been done. I perform an audit of our TER User Security table on a bi-monthly basis.

19. Provide a list of employees who formerly worked with vital records in your office but no longer do so.

- ▶ None.
- ▶ Jay-Z, George Takei, Jennifer Lawrence



Part 3: Registration

20. Provide a list of employees who currently work with vital record in your office.

- ▶ Leonardo DiCaprio, Tony Romo, Jennifer Lopez, Will Ferrell
- ▶ Victor Farinelli, Patrick Moore, Susanna Sparkman, Shannon Nagy, Stephen McCandless, Anthony Patterson, Derek Johnson, Gaetan Carpentier, Soo Teal, Juanita Moshier

21. Does your office have a process for filing manual birth records?

- ▶ No
- ▶ Yes



Part 3: Registration

22. Does your office require current documentation for midwives that register births in your registration district?

- ▶ No
- ▶ Yes

23. What is your office's process for signing vital records in the absence of key personnel?

- ▶ Records are signed only by myself. If I am not available to sign, I will sign as soon as possible.
- ▶ Our office has a signature stamp with my signature. It stays in a locked drawer in my deputy's desk. If I'm unavailable to sign, my deputy will use it to register records.



Part 3: Registration

24. Describe your process for reviewing records before filing.

- ▶ **Ensure all required information is present.**
- ▶ For birth records, I review them for accuracy and completeness. If the record is entered by a midwife, I always check the midwife's license status. Because death records are filed by my office before they go to VSU, I pay close attention to the entire demographic portion of the record prior to filing, ensuring the information in the record is consistent and logical and comparing it against any report-of-death information we have. I particularly check to ensure the death actually occurred in my registration district. If the record is for an infant death, I check to make sure I have a corresponding birth certificate for the registrant. If not, I contact the hospital to find out if a death certificate is being, or needs to be, filed.

Part 3: Registration

25. Which of the following does your office require when filing a non-institutional birth?

- Evidence of pregnancy
- Evidence that there was an infant born alive
- Evidence that the birth occurred in the registration district
- Evidence that the birth occurred on the date stated
- Photo ID of the informant as defined in 25 TAC 181.26(h)

25. Which of the following does your office require when filing a non-institutional birth?

- ✓ Evidence of pregnancy
- ✓ Evidence that there was an infant born alive
- ✓ Evidence that the birth occurred in the registration district
- ✓ Evidence that the birth occurred on the date stated
- ✓ Photo ID of the informant as defined in 25 TAC 181.26(h)



Part 3: Registration

26. Describe your procedure for issuing Burial-Transit Permits.

- ▶ Local funeral home prepares them and brings them in, then I sign the permits.
- ▶ Ensure the funeral home has presented me with a certificate of death *completed in so far as possible* and then print the Burial-Transit Permit from TER. Our office interprets “completed in so far as possible” to mean the record has at least been medically certified and demographically verified.



Part 3: Registration

27. Does your office have a process in place for filing fetal death certificates?

- ▶ No
- ▶ Yes

28. Does your office have a process in place for filing manual (non-electronic) medical amendments to death records?

- ▶ No
- ▶ Yes

29. Does your office consecutively number birth and death certificates in separate series, beginning with the number “1” for the first birth and the first death in each calendar year?

- ▶ No
- ▶ Yes



Part 4: Issuance

30. What is your office process for ensuring that death records are filed within 10 days from the date of death?

- ▶ **Contact appropriate JP or funeral home to check on status.**
- ▶ Check the Record Status screen in TER at least once each business day. Note in our Report of Death log the date that each record is designated to us, along with the associated EDR number, name of decedent, and date of death. Monitor each assigned death record for registration progress using the Record Status screen. When a record gets to the 5th day and still not designated to a medical certifier, when a record gets to the 8th day and is still not medically certified, or when a record gets to the 10th day without being released by the funeral home, we contact the funeral home and ask for a status on the record. If we repeatedly have an issue with a funeral home or physician not registering records in a timely fashion, we submit a complaint with the Texas Medical Board or the Texas Funeral Services Commission, as appropriate.



Part 4: Issuance

31. Provide your office policy regarding destruction of banknote paper.

- ▶ We have never had to destroy any banknote paper.
- ▶ We destroy the banknote paper using a micro-cut shredder. We require at least two witnesses to be present during the paper destruction. We create a certificate of destruction on our office letterhead, signed by at least two witnesses, which specifies the entire series of document control numbers for each size of banknote paper associated with the destroyed paper. We retain a copy of this certificate of destruction for our office records and overnight a copy to VSU.

Part 4: Issuance

32. Attach a sample copy (not to exceed 5 pages) of your most recent banknote security paper log.

Control #	Birth	Death	Void	First Name	Last Name	Notes & Exchanged Control #s	Date	Modified By
PLZ139525	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	mereida	zaragoza		9/3/2015	Sylvia F. Hawkins
PLZ139526	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	emiliano	miramontes		9/3/2015	Sylvia F. Hawkins
PLZ139527	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Kadeyn	Anderson		9/3/2015	Miranda K. Howard
PLZ139528	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Tyler	Hawkins		9/3/2015	Miranda K. Howard
PLZ139529	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Alisha	Johnson		9/3/2015	Miranda K. Howard
PLZ139530	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	randy	gould		9/3/2015	Sylvia F. Hawkins
PLZ139531	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Kuat	Moore		9/3/2015	Miranda K. Howard
PLZ139532	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Kevin	Bejarano		9/3/2015	Miranda K. Howard
PLZ139533	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Matthew	Harbuck		9/3/2015	Miranda K. Howard
PLZ139534	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	rudolph	marcuze		9/3/2015	Richard Hartmann
PLZ139535	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	terry	jones		9/3/2015	Sylvia F. Hawkins
PLZ139536	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	carlos	vera		9/3/2015	Richard Hartmann
PLZ139537	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	carlos	vera		9/3/2015	Richard Hartmann
PLZ139538	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	cole	costello		9/3/2015	Sylvia F. Hawkins
PLZ139539	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	joseph	galindo		9/3/2015	Richard Hartmann
PLZ139540	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	victoria	vasquez	Subpoena	09/03/2015	Kelly L. Lawhorne
PLZ139541	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Deborah	Whitney	Subpoena	09/03/2015	Kelly L. Lawhorne
PLZ139542	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Helen	Jones	Subpoena	09/03/2015	Kelly L. Lawhorne
PLZ139543	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	aphana	chhelti		9/3/2015	Sylvia F. Hawkins
PLZ139544	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Oliver	Snowden-Bailey		9/3/2015	Miranda K. Howard
PLZ139545	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Oliver	Snowden-Bailey		9/3/2015	Miranda K. Howard
PLZ139546	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Oliver	Snowden-Bailey		9/3/2015	Miranda K. Howard
PLZ139547	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Ilisana	Inserrmann		9/3/2015	Sylvia F. Hawkins
PLZ139548	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	ivan	Inserrmann		9/3/2015	Sylvia F. Hawkins
PLZ139549	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	aya	Inserrmann		9/3/2015	Sylvia F. Hawkins
PLZ139550	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	richard	stephans		9/3/2015	Richard Hartmann
PLZ139551	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Eric	Carder		9/3/2015	Miranda K. Howard
PLZ139552	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Eric	Carder		9/3/2015	Miranda K. Howard
PLZ139553	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Eric	Carder		9/3/2015	Miranda K. Howard
PLZ139554	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Eric	Carder		9/3/2015	Miranda K. Howard
PLZ139555	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Amy	Weems		9/3/2015	Miranda K. Howard
PLZ139556	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	skylar	wasiliev		9/3/2015	Richard Hartmann
PLZ139557	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	kevin	mercade		9/3/2015	Sylvia F. Hawkins
PLZ139558	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	kevin	mercade		9/3/2015	Sylvia F. Hawkins
PLZ139559	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Nakesha	Ware		9/3/2015	Miranda K. Howard
PLZ139560	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	christopher	lam		9/3/2015	Sylvia F. Hawkins
PLZ139561	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	david	zieger		9/3/2015	Sylvia F. Hawkins

22277 17016 4342 390 21736 21734 36

For assistance with Access Web Datasheet, see Help.

DOCUMENT SECURITY LOG

*ATTACH COPY OF ID TO APPLICATION

	CERT. # SECURITY #	RECORD TYPE	NAME OF REGISTRANT	PERSON RECEIVING ID TYPE & NUMBER	ISSUED BY	DATE
CARD LETTER LEGAL	5119 158517	Bc	Mercedes Alma Adams	Oscar Martinez Tpe-68482377	Alencarjal	8/30/15 In Person
CARD LETTER LEGAL	5115 158518	BC	Yolanda Zepeda	self TX-DL 12989666	C. Garcia	9/1/15
CARD LETTER LEGAL	5119 158519	Bc	Amelia Gonzalez	Self TXDL 13247843	Alencarjal	9/2/15 In Person
CARD LETTER LEGAL	3535 19159	Bc	Florencia ybarra	Self - Rolando ybarra TFDL-0623095	Alencarjal	9/3/15 In Person
CARD LETTER LEGAL	5119 158520	DC	Janelle Wentworth Bigham	History Personal Home East Smith Recently In Town	Alencarjal	9/10/15 In Person
CARD LETTER LEGAL	5118 158521	BC	Cristina Macias	Self CALDL 5039703	Alencarjal	9/10/15 In Person
CARD LETTER LEGAL	5120 158522	BC	Lucille Ysabel Ortiz	Self Lucille Ybarra	C. Garcia	9/10/15 In Person
CARD LETTER LEGAL	5119 158523	BC	Jo Anna Medina	Self 13262878	Alencarjal	9/11/15 In Person
CARD LETTER LEGAL	5119 158524	BC	Yolanda Garcia	Self TXDL 6620-9604-9611	C. Garcia	9/10/15 In Person
CARD LETTER LEGAL	3536 191525	DC	Rabba De La Rosa	Wise Cruz October TFDL 03526114	Alencarjal	9-17-15 In Person
CARD LETTER LEGAL	3537 191526	Bc	Jasus V. Ayala	TFDL 91377518 self	Alencarjal	10/1/15 In Person

Part 4: Issuance

33. Does your office reconcile the amount of banknote paper used and voided with your actual supply of security paper at the beginning and end of each day?

- ▶ No
- ▶ Yes

34. Provide your office's policy for storing security paper.

- ▶ They are stored in a locked filing cabinet.
- ▶ Our security paper is stored in a locked filing cabinet located in a room which only myself and my deputy have access to. At the beginning of the day when we reconcile our security paper with our security paper log, we take a specific number of sheets and assign them to our clerk, who is responsible for issuing certified copies. The clerk signs off on the range of document control numbers assigned to them. There is a camera on the room where the security paper is located and the area where the signed-out security paper is stored. At the end of the day, the clerk returns the paper and either the deputy or I reconcile our supply of security paper with our office security paper log.



Part 4: Issuance

35. Provide your policy regarding the handling of security paper by persons who have access to your office.

- ▶ Only my employees and I have access to the locked cabinet.
- ▶ Only vital records staff have access to the security paper. Employees record document control numbers on the security paper log. All security paper is tracked via the log and daily reconciliation by my deputy or myself. Any security paper requiring destruction is destroyed in-house using a micro-cut shredder and is documented per our record destruction policy.



Part 4: Issuance

36. How does your office prevent non-vital statistics employees (i.e., cleaning crews, maintenance crews, etc.) from accessing your office's banknote security paper?

- ▶ Only my employees and I know where we store our banknote paper.
- ▶ See question 35. Our security paper is locked throughout the day and there are always cameras pointed at the areas where security paper is stored or used. Cleaning crews are only allowed inside when we are in the office. When they are in the office, we make a point to watch them, and, as always, we inventory our security paper at the beginning and end of the day.

37. Describe the physical proximity between your unused banknote security paper and your customers.

- ▶ Customers don't know where our filing cabinet is located.
- ▶ There is a window, like a bank teller window, between our clerk and our customers. The public is not allowed in the area behind our counter under normal circumstances. When someone has a legitimate reason why they need to be in the area (e.g., cleaning crews), we make them sign in and accompany them around the office.



Part 4: Issuance

38. How does your office dispose of or handle equipment that may contain vital statistics data?

- ▶ **Our IT department handles it.**
- ▶ When disposing of any equipment that may contain images of or data derived from vital records, we use an information destruction company which provides us with a certificate of destruction for destroyed equipment. All employees here sign a nondisclosure agreement when they are hired, and we stress the importance of taking care when handling vital statistics data.

39. Under what circumstances does your office report fraud violations to the state?

- ▶ **We have never had a fraud situation.**
- ▶ Any time when we have reason to suspect fraud or misuse of vital records, we make a report to the Office of the Inspector General by e-mailing OIG_VSF_Inquiries@hhsc.state.tx.us.



Part 4: Issuance

40. Describe your office's document destruction practices.

- ▶ We don't destroy our documents.
- ▶ Our office follows the Texas State Library and Archives Commission record retention schedule for records in our office. We perform an annual records inventory and regularly certify the destruction of records that have exceeded their retention period. All certification of destroyed documents is handled by our office records manager and witnessed by Victor.

41. Does your office mail vital records or batch control sheets to the state at least once per month?

- ▶ No
- ▶ Yes



Part 4: Issuance

42. Attach a sample specimen of all types of banknote security paper your office uses for issuance of vital records.

43. Enter the number of certified copies of birth records your office issued during the previous quarter.

► ?

► 152



Part 4: Issuance

44. Please provide your office's policy regarding processing requests for certified copies of birth and death records:

- ▶ Applicant must be qualified, present acceptable ID, and know all necessary information on application.
- ▶ All applicants must complete an application and must completely and correctly identify the desired record. Applicants must meet the qualified applicant criteria established in TAC 181.1(21), must present ID compliant with TAC 181.28(i)(10),(11),(12), and must provide payment per our fee schedule. We issue long-form certified copies of birth certificates on letter-sized paper (8.5 x 11) and amended death certificates on legal-sized paper (8.5 x 14).

Part 4: Issuance

45. Attach a copy of your application(s) for birth and death records.

For faster service at no extra charge, order online at www.Texas.gov

OFFICE USE ONLY		 TEXAS Department of State Health Services MAIL APPLICATION FOR BIRTH AND DEATH RECORD	OFFICE USE ONLY	
Cert #			Remit No.	
DOCUMENT CONTROL #			By	ZZ 708-153

PLEASE PRINT. INCLUDE A PHOTOCOPY OF YOUR VALID PHOTO ID AND SWORN STATEMENT WHEN SENDING THE REQUEST.
Make check or money orders payable to: DSHS - Vital Statistics All funds are deposited directly to the Texas Comptroller of Public Accounts. For any search of the files where a record is not found, the searching fee is not refundable or transferable.

Birth Certificates				Death Certificates			
Type	Cost X	# of copies=	Total	Type	Cost X	# of copies=	Total
Certified Copy	\$22		0	Certified Copy (1 copy)	\$20		0
Heirloom-Flag	\$60		0	Additional Copies	\$3		0
Heirloom-Bassinnet	\$60		0	(optional) \$8.00 Lone Star/FedEx QR \$19.95 USPS Express return delivery			
			(optional) \$8.00 Lone Star/FedEx QR \$19.95 USPS Express return delivery				(optional) \$8.00 Lone Star/FedEx QR \$19.95 USPS Express return delivery
			Total				Total
			0				0

I wish to make a voluntary contribution of \$5.00 to promote healthy early childhood by supporting the Texas Home Visitation Program administered by the Office of Early Childhood Coordination of Health and Human Services.

BIRTH/DEATH RECORD INFORMATION

Full Name of Person on Record	First Name	Middle Name	Last Name
Date of Birth/Death	Month	Day	Year
Place of Birth/Death	City or Town	County	State
Full Name of Parent 1	First Name	Middle Name	Maiden Name/Last Name
Full Name of Parent 2	First Name	Middle Name	Maiden Name/Last Name

REQUESTOR INFORMATION

Requestor Name	Telephone #	Email Address
Full Mailing Address	Street Address	City State Zip
Relationship to person listed above	Purpose for obtaining this record:	

I authorize mailing to the address below. I have verified that the address below will receive my order.

Name of Person Receiving Copies, if Different from Requestor		
Mailing Address for Copies, if Different from Requestor		
City	State	Zip

WARNING: IT IS A FELONY TO FALSIFY INFORMATION ON THIS DOCUMENT. THE PENALTY FOR KNOWINGLY MAKING A FALSE STATEMENT ON THIS FORM OR FOR SIGNING A FORM WHICH CONTAINS A FALSE STATEMENT IS 2 TO 10 YEARS IMPRISONMENT AND A FINE OF UP TO \$10,000. (HEALTH AND SAFETY CODE, CHAPTER 195, SEC. 195.003)

Your Signature _____ Date of Application _____

APPLICATIONS WITHOUT SIGNATURE OF APPLICANT WILL NOT BE PROCESSED.
 MAIL THIS APPLICATION, PAYMENT, SWORN STATEMENT AND A PHOTOCOPY OF YOUR VALID PHOTO ID TO:
 Texas Vital Records
 Department of State Health Services
 P.O. Box 12040
 Austin, TX 78711-2040
(APPLICATIONS WITHOUT PHOTO ID AND THE ATTACHED SWORN STATEMENT WILL NOT BE PROCESSED)



Part 4: Issuance

46. Provide your office's policy for processing Election Identification Certificate requests.
 - We send the customer to DPS for their EIC.
 - Our office is on the remote birth site. If we ever have an EIC birth certificate request, we will require ID as established in TAC 181.28(i)(10),(11)(12) and issue the certificate from the remote birth site. It will print with "For Election Purposes Only" printed on it. A person must apply in-person and must complete an application to be eligible for an EIC birth certificate.

47. Please provide a comprehensive list of the identification your office accepts for issuance of certified copies of birth and death records.
 - Primary—Valid Driver's License, Valid ID, Military ID, Student ID, Federal ID, State ID, Employment ID; Secondary—Voter Registration Card, Hunting Card, Fishing Card, Social Security Card, Credit Card
 - Please see TAC 181.28(i)(10)(11)(12). We use those administrative rules for our ID requirement policy.

Part 4: Issuance

48. Does your office accept the Matricula Consular as identification for issuance of certified copies of birth or death records?

- Yes
- No

49. Attach a copy of your office's most recent Civil Fees Report (Form 40-141) submitted to the comptroller.

50. For what types of vital record inquiries does your office require an application?

- All inquiries for which we don't know the applicant personally.
- All requests for certified copies of birth and death certificates, including searches, as well as birth and death verification letters.

40-141 (Rev. 10-09-06) b. PRINT FORM CLEAR FORM

a. T Code ■ 32650

Civil Fees - QUARTERLY REPORT -

• DO NOT WRITE IN SHADED AREAS

c. City / County identification number f. Report for quarter ending QUARTER ENDING g. e. Due date of report

d. City / County name and mailing address

h. IMPORTANT: Blacken this box if your address has changed. Show changes by the preprinted information. 1

DESCRIPTION — SEE BACK FOR INSTRUCTIONS —	COLUMN 1 Number (#) issued/ filed	COLUMN 2 TOTAL COLLECTED	COLUMN 3 5% SERVICE FEE	COLUMN 4 AMOUNT DUE
1. Birth Certificate Fees	#	\$		1. \$
2. Marriage License Fees	#	\$		2. \$
3. Declaration of Informal Marriage	#	\$		3. \$
4. Nondisclosure Fees	#	\$		4. \$
5. Juror Donations	#	\$		5. \$
6. Justice Courts	#	\$		6. \$
7. Statutory Probate Court	#	\$		7. \$
7a. Filing Fee - Indigents Legal Services	#	\$		7a. \$
7b. Judicial Fund - Filing Fees	#	\$		7b. \$
8. Statutory County Court	#	\$		8. \$
8a. Filing Fee - Indigents Legal Services	#	\$		8a. \$
8b. Judicial Fund - Filing Fees	#	\$		8b. \$
9. Constitutional County Court	#	\$		9. \$
9a. Filing Fee - Indigents Legal Services	#	\$		9a. \$
9b. Judicial Fund - Filing Fees	#	\$		9b. \$
10. District Court	#	\$	\$	10. \$
10a. Divorce & Family Law cases (Col. 3 is \$0.25 times Col. 1)	#	\$	\$	10a. \$
10b. Other than Divorce/Family Law (Col. 3 is \$0.50 times Col. 1)	#	\$	\$	10b. \$
10c. Indigents Legal Services (Sec. 133.152)	#	\$	\$	10c. \$
11. Judicial Support Fee	#	\$		11. \$
12. TOTAL DUE FOR THIS PERIOD (Total of all items in Column 4)				12. \$

*** DO NOT DETACH *** DO NOT DETACH *** DO NOT DETACH ***

13. TOTAL AMOUNT DUE AND PAYABLE (Same as Item 12) 13. \$

City/County name k. l.

T Code ■ City/County identification no. ■ Period

32640

For assistance call (800) 531-5441, ext. 3-4276, or (512) 463-4276.

I, (Type or print name) _____, certify that the information above is true as shown in the records of the treasury of the city/county named.

Authorized agent

sign here

Title _____ Date _____

Phone number (Area code and number) _____

Complete this report and make the amount in Item 13 payable to:
STATE COMPTROLLER
Mail to: COMPTROLLER OF PUBLIC ACCOUNTS
P.O. Box 149361
Austin, Texas 78714-9361

Please complete and sign this report and enter a telephone number that can be called if additional information is necessary.

40-141 (Rev. 10-09-06)



Part 4: Issuance

51. How does your office track the lifetime number of certified birth record issuances?

- ▶ Our office does not track this number.
- ▶ Whenever we issue a copy of a birth record filed in our office, our computer software adds a count to the total number of copies of that record we have issued. When the number reaches 10, the system will not allow us to issue another copy.

52. Does your office have a policy that defines who is a properly qualified applicant for a certified copy of a birth or death record?

- ▶ Yes, we only issue copies to people who really need the record.
- ▶ We follow TAC 181.1(21) and refer to TAC 181.1(13),(16),(22) for details.



Part 4: Issuance

53. Provide your office fee schedule.

- ▶ Birth Certificate—13.00; Death Certificate—21.00 for the first and 3.00 for each additional copy; for election Identification Certificate—no charge.
- ▶ Abstract and long-form birth certificates—23.00; death certificates—21.00 and 4.00 for each additional copy issued as part of the same order; birth and death verification letter—20.00. We do not issue plain copies. We charge for records whether or not we are able to locate them.

54. Does your office have a process for handling flagged records?

- ▶ No
- ▶ Yes



Part 5: Preservation

55. Provide your office's process for redacting original birth records when receiving a replacement (adoption or paternity) record on a given registrant.

- ▶ We have never had to do that.
- ▶ After printing the replacement (adoption or paternity) record in TER, we remove and destroy the original record per our record destruction process and replace it with the new record. We then find the original entry for the record in our summary and general birth indexes and replace that information with the information on the replacement record.

56. Does your office have a process in place to ensure that it secures a complete record of each birth, death, and fetal death that occurs in your registration district?

- ▶ No
- ▶ Yes



Part 5: Preservation

57. Provide your office's policy concerning retaining and protecting a copy of each birth, death, and fetal death record that your office registers.

- ▶ **We keep our records in folders.**
- ▶ Please see the attached record preservation plan, including our office record retention schedule, record storage policy, record protection policy, record maintenance policy, and record destruction policy.

Part 5: Preservation

58. Which of the following does your general birth index include?

- ▶ Select all that apply:
 - Prepared by event year
 - Alphabetized by surname of registrant
 - Any given names or initials of registrant
 - Date of event
 - County of occurrence
 - Local file number
 - Name of father
 - Maiden name of mother
 - Sex of registrant

58. Which of the following does your general birth index include?

- ▶ Select all that apply:
 - ✓ Prepared by event year
 - ✓ Alphabetized by surname of registrant
 - ✓ Any given names or initials of registrant
 - ✓ Date of event
 - ✓ County of occurrence
 - ✓ Local file number
 - ✓ Name of father
 - ✓ Maiden name of mother
 - ✓ Sex of registrant

Part 5: Preservation

59. Which of the following does your general death index include?

► Select all that apply:

- Prepared by event year
- Alphabetized by surname of registrant
- Any given names or initials of registrant
- Date of event
- County of occurrence
- Social security number of registrant
- Sex of registrant
- Marital status of registrant
- Name of registrant's spouse, if applicable
- Local file number

59. Which of the following does your general death index include?

► Select all that apply:

- ✓ Prepared by event year
- ✓ Alphabetized by surname of registrant
- ✓ Any given names or initials of registrant
- ✓ Date of event
- ✓ County of occurrence
- ✓ Social security number of registrant
- ✓ Sex of registrant
- ✓ Marital status of registrant
- ✓ Name of registrant's spouse, if applicable
- ✓ Local file number



Part 5: Preservation

60. Which of the following does your summary birth index include?

► Select all that apply:

- Prepared by event year
- Alphabetized by surname of registrant
- Any given names or initials of registrant
- Date of event
- County of occurrence
- Sex of registrant

60. Which of the following does your summary birth index include?

► Select all that apply:

- ✓ Prepared by event year
- ✓ Alphabetized by surname of registrant
- ✓ Any given names or initials of registrant
- ✓ Date of event
- ✓ County of occurrence
- ✓ Sex of registrant



Part 5: Preservation

61. Which of the following does your summary death index include?

► Select all that apply:

- Prepared by event year
- Alphabetized by surname of registrant
- Any given names or initials of registrant
- Date of event
- County of occurrence
- Sex of registrant

61. Which of the following does your summary death index include?

► Select all that apply:

- ✓ Prepared by event year
- ✓ Alphabetized by surname of registrant
- ✓ Any given names or initials of registrant
- ✓ Date of event
- ✓ County of occurrence
- ✓ Sex of registrant



Part 5: Preservation

62. Are you able to make your summary birth and death indexes available to the public?

- ▶ N/A
- ▶ Yes

63. Describe your procedure for marking DECEASED and the DATE OF DEATH on birth records, including the method by which your office receives notification of the death of registrants born in your registration district.

- ▶ We mark our birth record with a permanent black marker DECEASED across the birth certificate.
- ▶ We check the Deceased Listing report in TER on a daily basis. For every record identified in that report, we stamp DECEASED and the date of death on the original birth record.



Part 5: Preservation

64. Does your office have a process in place for ensuring the confidentiality of birth records for 75 years after the date of birth and for death records for 25 years after the date of death?

- ▶ No
- ▶ Yes

65. Does your office have a process in place for making death records of unidentified persons public one year after the date of death?

- ▶ No
- ▶ Yes

66. Attach a sample (not to exceed 5 pages) of your office's record retention schedule.

A decorative graphic on the left side of the slide. It features a dark blue vertical bar on the far left. A black arrow points to the right from the top of this bar. Below the arrow, several thin, curved lines in shades of blue and grey sweep upwards and to the right, creating a sense of movement and flow.

Resulting risk scores

➡ High Risk (high end)

➡ Low risk (moderate-low end)



Local registrar monitoring

Questions?