

**2019 Self-Assessment Survey will be sent out later this year.**

**You can use this document to save your responses (in Survey Monkey each question has room for an optional comment). When you are done, copy and paste your responses into the online Survey Monkey then click "submit." Thank you for your patience!**

**2018 Self-Assessment Survey Instructions:**

Section 191.022(g) of the Texas Health and Safety Code states that each local registrar shall annually submit a self-assessment report to the state registrar to allow a comprehensive desk audit of a local registrar. To ensure compliance with statute, please complete as thoroughly as possible the following self-assessment survey so that we may determine risk factors for your office.

Although we are asking you to provide as many descriptive details as possible, please keep in mind that this document is not classified and will be subject to open record requests.

To complete this 75 question survey, you will need:

- Knowledge of office policies and procedures
- Ability to view your birth/death indexes
- 2017 numbers for births/deaths registered and birth/death certified copies issued
- Names and TER userIDs of vital record employees
- Contact information for any branch/annex locations

There are also 4 attachments (#75) that must be faxed to Field Services at 512-776-7538 to complete this survey. These include a birth/death application, a recent civil fees report, redacted birth marked "DECEASED," and a page of the security paper log.

Some questions have multiple correct answers. If a question has checkboxes, then select all that apply.

If question about a process is not applicable to your office, then please note this in your answer and consult your Local Registrar Handbook or office manual to determine the best steps to take.

**2018 Self-Assessment Survey Questions:**

***The 2018 Local Registrar Self-Assessment should be submitted by August 31, 2018. Click "submit" at the end of the survey to ensure your responses are recorded. Ready to begin?***

OK

**Part 1: Office Information**

**#1 Name of office:**

**#2 County:**

**#3 Name of person completing this survey:**

**#4 Job title:**

**#5 Email address:**

**#6 Phone number:**

**#7 Fax number:**

**#8 When was the last time your office had a change of administration?**

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

**#10 How many local registrars are in your county?**

## **Part 2: Statutes and Codes**

This section highlights policies and procedures required of a local registrar's office according to the following statutes and codes:

- Texas Administrative Code (TAC)
- Texas Health and Safety Code (HSC)
- Texas Code of Criminal Procedure (CCP)
- Local Government Code (LGC)
- Texas Government Code (TGC)
- Texas Election Code (TEC)

### **#11 Does your office perform the core functions of a local registrar? Check all that apply: [HSC §191.022, HSC §191.026(a), TAC §181.28]**

- Register each birth, death, and fetal death that occurs in the registration district
- Secure a complete record of each birth, death, and fetal death that occurs in the registration district
- Issue certified copies of vital records
- None of the above

### **#12 Does your office have a deputy registrar? [HSC §191.022(c)-(d)]**

- Yes/No

### **#13 Is there a signature stamp for the local registrar that is used by deputy registrars to sign records in the local registrar's absence? [HSC §191.022(c)-(d)]**

- Yes/No

### **#14 Has each staff member with access to vital records in your office signed a confidentiality and non-disclosure agreement? [TGC §552.115]**

- Yes/No

### **#15 Describe your procedure to confirm that the state comptroller receives \$1.80 payment for each birth certificate issued. Check all that apply: [HSC §191.022 (f), LGC §118.015]**

- Local registrar creates and sends Civil Fees Report
- Treasury office creates and sends Civil Fees Report
- \$1.80 of each birth certificate issuance fee sent to comptroller
- None of the above

### **#16 Are past Civil Fees Reports kept in your local registrar office? [HSC §191.022 (f), LGC §118.015]**

- Yes/No

**#17 Does your office have a process to ensure that it receives a complete record of each birth, death, and fetal death that occurs in its registration district? [HSC §191.026]**

- Yes/No

**#18 What is your office's process to ensure that each vital record is kept secure and confidential? Include storage location and security measures taken to restrict access to your office's birth and death records. [HSC §191.026, §191.071; TGC §552.115]**

**#19 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? [TGC §552.115]**

- Yes/No

**#20 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? [HSC §191.026(b)]**

- Yes/No

**#21 How often does your office send vital records (with batch control sheets) to VSS? [HSC §191.029]. Per Vital Statistics Section (VSS) management, if your office does not receive many records, then it should send records in as it receives them; a batch control sheet stating "no records" is not required.**

- Monthly
- Weekly
- As your office receives vital records
- Never

**#22 Describe your office's process for reviewing records before filing. [HSC §191.027]**

**#23 Describe your office's process for filing fetal death certificates. [TAC §181.7]**

**#24 Describe your office's process for ensuring that death records are filed within 10 days from the date of death. [HSC §193.003]**

**#25 Describe your office's procedure for issuing Burial-Transit Permits, including the after-hours policy. [TAC §181.2]**

**#26 Does your office have a process in place for filing manual (non-electronic) medical amendments to death records? [TAC §181.30]**

- Yes/No

**#27 How does your office keep track of death records of unidentified persons? Describe your office's process for making these records public one year after the date of death. [GC §552.115(a)(2)]**

**#28 Which of the following does your office require when filing a non-institutional birth? Check all that apply: [TAC §181.26]**

- 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 informant as defined in TAC §181.26(h)

**#29 Which of the following does your general birth index include? Check all that apply: [TAC §181.23(b)(1)]**

- 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

**#30 Which of the following does your general death index include? Check all that apply: [TAC §181.23(c)(1)]**

- 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

**#31 Which of the following does your summary birth index include? Check all that apply: [TAC §181.23(b)(3)]**

- 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

**#32 Which of the following does your summary death index include? Check all that apply: [TAC §181.23(c)(3)]**

- 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

**#33 Are you able to make your SUMMARY birth and death indexes available to the public upon request? [TAC §181.23(b)(2), TAC §181.23(c)(2)]**

- Yes/No

**#34 Describe your office's process for redacting original birth records when receiving a replacement (adoption or paternity) record on a registrant. [TAC §181.8] (See page 28-29 of the Local Registrar Handbook)**

**#35 Does your office redact the summary and general birth indexes after receiving a replacement (adoption or paternity) record? [TAC §181.23(b)]**

- Yes/No

**#36 Describe your office's procedure for marking DECEASED and the DATE OF DEATH on birth records. [HSC §191.034]**

**#37 Are your customers required to complete an application for certified copies of \_\_\_\_\_? Check all that apply: [TAC §181.28(i)(3)]**

- Birth
- Death
- Marriage
- This Local Registrar office does not do marriage

**#38 Do your birth and death applications contain these? Check all that apply: [TAC §181.28; HSC 191.0031]**

- Purpose for request
- Relationship to registrant
- Warning statement
- Notarized proof of identity for mailed applications

**#39 What identification does your office accept for certified copies of births and deaths? [TAC §181.28(i)(2,6-12)]**

- Only driver's license, state ID, or passport
- IDs from State VSS ID list on website
- IDs from list created by Local Registrar
- IDs from list in TAC 181.28 (i)
- Matricula Consular

**#40 Does your office accept expired IDs? [TAC §181.28(i(10-11))]**

- Never
- Only if expired within the last 2 years
- Only as a secondary ID
- Our office does not check ID expiration date

**#41 What are your office's fees for certified copies of births and deaths? [TAC §181.22; HSC §191.0045]**

- \$21 birth, \$20 death, \$2 death additional copies
- \$22 birth, \$20 death, \$3 death additional copies
- \$23 birth, \$21 death, \$4 death additional copies
- \$24 birth, \$22 death, \$5 death additional copies
- Other (specify below)

**#42 Does your office have a policy that defines who is a properly qualified applicant for a certified copy of a birth or death record? [TAC §181.1(21)]**

**#43 Provide your office's policy for processing Election Identification Certificate requests. [TAC §181.22; HSC §191.0046 (e)]**

**#44 Each month, does your office prepare a voter registration abstract of deaths and file it with both the Secretary of State and the voter registrar of the decedent's county of residence? [TEC §16.001]**

- Yes/No

### **Part 3: Other Policies and Procedures**

This section highlights policies and procedures required of a local registrar's office to ensure best practices of each office.

***#45 Which of the following official VSS trainings have you or your staff attended in the last two years? Check all that apply:***

- 2016 Annual Conference
- 2017 Annual Conference
- 2016 Regional Conference
- 2017 Regional Conference
- 2018 Regional Conference
- 2016 Master Registrar Certification course
- 2017 Master Registrar Certification course
- 2016 Birth Registrar Certification
- 2017 Birth Registrar Certification
- 2018 Birth Registrar Certification
- Other (specify below)

***#46 What kinds of in-person training or written training materials does your office provide to staff for vital statistics functions?***

***#47 Is there a written transition plan in place for a change in administration?***

- Yes/No

***#48 Provide a list of employee names, titles, and TER user IDs (if applicable) who currently work with vital records in your office.***

***Please do NOT provide passwords.***

- #1 (name, title, TER User ID)
- #2 (name, title, TER User ID)
- #3 (name, title, TER User ID)
- #4 (name, title, TER User ID)
- #5 (name, title, TER User ID)
- #6 (name, title, TER User ID)
- #7 (name, title, TER User ID)
- #8 (name, title, TER User ID)
- #9 (name, title, TER User ID)
- #10 (name, title, TER User ID)
- Optional Comment (Additional Vital Records Employees)

**#49 Which of these employees have access to the banknote security paper? (employee numbers from previous question) If a non-TER employee has access to the paper, be sure to add them to**

**#48. Check all that apply:**

- #1
- #2
- #3
- #4
- #5
- #6
- #7
- #8
- #9
- #10

**#50 Which of these employees have access to the local registrar's signature stamp? (employee numbers from previous questions) If a non-TER employee has access to the signature stamp, be sure to add them to #48. Check all that apply:**

- #1
- #2
- #3
- #4
- #5
- #6
- #7
- #8
- #9
- #10

**#51 Do each of your office's Texas Electronic Registrar (TER) users have a unique userID and password?**

- Yes/no

**#52 Describe your office's process for disabling TER user accounts of former employees.**

**#53 Is your office on the Remote Birth Access system?**

- Yes/no

**#54 Do each of your office's Remote Birth Access users have a unique UserID and password?**

- Yes
- No
- Not on Remote Birth Access system

**#55 Describe your office's process for disabling Remote Birth Access user accounts for former employees. Enter "N/A" if not on Remote Birth Access system.**

**#56 Does your office minimize search-to-print ratio by limiting the number of times that a birth record is searched on the Remote Birth Access site?**

- Yes
- No
- Not on Remote Birth Access system

**#57 Under what circumstances does your office accept these paper records?**

- Drop-to paper death records
- Manual death records
- Manual birth records
- Manual fetal death records

**#58 How does your office ensure that a midwife who submits a manual birth record is currently licensed by the Texas Midwifery Board?**

- Ask if she is a midwife and take her word
- Verify the midwife's license on the Texas Midwifery Board website
- Keep a copy of the midwife's license paperwork in your office
- None of the above

**#59 Does your office issue records using banknote security paper ordered from the Banknote Corporation of America (BCA)?**

- Yes No

**#60 Describe your office's policy for storing security paper. Include storage location and security measures taken to restrict access to your office's security paper.**

**#61 How does your office ensure that every single sheet of banknote security paper is accounted for? Is the paper reconciled at the beginning and end of each day?**

**#62 How does your office prevent non-vital statistics employees (e.g. cleaning or maintenance crews) from accessing your office's security paper?**

**#63 How are customers prevented from accessing the security paper?**

**#64 Describe your office policy regarding the destruction of banknote security paper.**

**#65 Describe your office policy regarding the destruction of paper containing vital statistics information (e.g. applications).**

**#66 Describe how your office disposes of or handles equipment (computers/copiers) that may contain vital statistics data when no longer used.**

**#67 Does your office accept the *Matricula Consular* as identification for issuance of certified copies of birth or death records? [TAC §181.28(i)(2)]**

- Yes/No

**#68 How many \_\_\_\_\_ in your office during 2017?**

- Birth records were registered
- Birth certified copies were issued
- Death records were registered
- Death certified copies were issued

**#69 Describe your office's process for tracking the lifetime number of certified birth record issuances.**

**#70 Describe your office's process for handling flagged records.**

**#71 Name some examples of fraud violations that your office reports to the state. What is your office's process for notifying the state?**

**#72 Where does your office's retention schedule for vital records come from?**

- Texas State Library retention schedule
- CDCAT retention schedule (also based on Texas State Library's retention schedule)
- Other (specify below)

**#73 Does your office have any annex or branch locations?**

- Yes/No

**#74 Please provide the contact information for each annex/branch location. If there are none enter "N/A" in the first blank.**

- #1 (contact name, email, phone, address)
- #2 (contact name, email, phone, address)

- #3 (contact name, email, phone, address)
- #4 (contact name, email, phone, address)
- #5 (contact name, email, phone, address)
- #6 (contact name, email, phone, address)
- #7 (contact name, email, phone, address)
- #8 (contact name, email, phone, address)
- #9 (contact name, email, phone, address)
- #10 (contact name, email, phone, address)

**#75 Please fax samples of the following items to VSS - Field Services at 512-776-7538. A fax cover letter has been provided on the Self-Assessment survey website for your convenience (<http://www.dshs.texas.gov/vs/field/localsurvey.shtm>). Check all that 2018 Supply:**

- Application(s) for birth and death records.
- Copy of your office's most recent Civil Fees Report (Form 40-141) submitted to the comptroller.
- **REDACTED** sample of a birth record stamped deceased. Please cross out all of the registrant's information except for LFN, DOB, DOD, DECEASED, and county of death (if applicable).
- Copy (not to exceed three pages) of your most recent banknote security paper log.