

QUALITY IMPROVEMENT SELF-ASSESSMENT TOOL 2018

Local Vital Records Office

Introduction:

This Quality Improvement Self-Assessment Tool (SAT) was developed by the State Vital Records Office (SVRO) following guidelines provided by the National Association for Public Health Statistics and Information Systems (NAPHSIS) to assist in ongoing process improvement activities. The self-assessment is to be completed on an annual basis by the local registrar in their Local Vital Records Office (LVRO) as a review of the activities of their office. It is intended to help the SVRO and LVRO ensure the accounting and safeguarding of security paper, the confidentiality, and protection of vital records information, and timely and efficient issuance of certificates.

The SAT was developed using the NAPHSIS Vital Statistic Standards, applicable to Wisconsin statutes, Administrative Code, and the State Vital Records Office policies and procedures. Program and Policy Analysts (PPAs) with the State Vital Records Office are responsible for the monitoring of items and tasks from the SAT to ensure LVROs are following established policies and procedures.

Instructions:

There are several sections to the SAT. Please complete all sections and submit via email to SVRO.

1. Each LVRO must complete, and save the electronic copy of the SAT in order to email it back to SVRO. Include the LVRO name in space provided in the title (fill-in field) on this page.
2. An applicable response for every question is required. Every section/statement with a 'Yes' or 'No' choice must be answered. Do not leave blank.
Select 'Yes' if the statement is true, 'No' if the statement is false. If No, provide a proposed corrective action for the deficiency. Use the space at the end of each statement to include any applicable comments.
3. Return the completed document via email to DHSVitalRecords@dhs.wisconsin.gov by the requested date.

General Questions*

	Response
1. What are your days and hours of operation?	
2. Do your hours of issuance differ from hours of operation? If yes, please provide issuance hours.	
3. What types of payment do you accept?	
4. What are your office closure dates for 2018 and 2019?	
5. What are your days and hours for genealogy/researchers?	
6. Is an appointment required for genealogy/researchers?	
7. What indexes/records do genealogist/researchers have access to without staff assistance?	
8. Number of full time staff?	
9. Number of part time staff?	
10. Are all staff SVRIS users?	
11. Does all staff issue vital records? If no, how many staff issue vital records?	
12. Average number of mail requests/day? List for each type of vital record.	
13. Average number of in person requests/day? List for each type of vital record.	

SVRO Comments:

***These questions are optional and are meant to assist SVRO in understanding the daily operations of each LVRO and their operational needs.**

Security

Criteria	Yes/No	Corrective Action (if "No")	Additional Comments:
1. LVRO staff members' desk/offices are secured from entry by unauthorized individuals.			
2. Computer monitors are not visible to public or security screens are used to prevent visibility.			
3. LVRO has set up and is using Transport Layer Security (TLS) to securely send emails.			
4. Copiers/fax machines are secured from access by unauthorized individuals.			
5. Non-public records are secured to ensure confidentiality is maintained.			
6. Completed applications and any supporting documentation are secured to protect confidentiality of information.			
7. Security paper is used for all certified copies issued.			
8. Security paper is used in numerical sequence.			
9. Security paper is removed from copier/printer nightly, logged, and verified by two separate staff.			
10. Security paper is stored in a locked location at all times.			

SVRO Comments:

Cleaning

Criteria	Yes/No	Corrective Action (if "No")	Additional Comments:
1. Cleaning of the vital records work area is done only during normal work hours with supervision.			
2. Background checks are conducted for all cleaning staff.			
3. The vendor/county management provides the LVRO names of all employees entering the vital records work area, is cleaning done by an outside vendor.			
4. LVRO reviews and approves list of cleaning staff provided by vendor/county management.			
5. Sensitive materials and records are locked and/or secured from unauthorized access.			

SVRO Comments:

Disclosure

Criteria	Yes/No	Corrective Action (if "No")	Additional Comments:
1. The Statewide Vital Records Information System (SVRIS) is only accessed by authorized LVRO staff.			
2. Copies of vital records are issued from SVRIS centralized database if the record is enabled in SVRIS.			
3. Certified or uncertified copies of birth records are issued only from the SVRIS centralized database.			
4. LVRO staff do not permit inspection of, or disclose information contained in, vital records, or copy or issue all or part of any such record unless the applicant has followed the requirements of Wis. Stat. ch. 69.			
5. Only authorized individuals have access to original vital records.			
6. All LVRO staff complete a Vital Records Confidentiality and Non-Disclosure Agreement annually.			
7. All LVRO staff that use SVRIS have completed a SVRIS LVRO Access Request.			
8. A SVRIS LVRO Access Request is submitted to delete a user immediately when a staff member is no longer an employee.			
9. LVRO staff does not knowingly remove, transmit, or otherwise make available any confidential information as determined by law for a vital records office for unauthorized purposes.			
10. Data requests received are directed to SVRO.			
11. LVRO staff does not issue "For Court Use Only" certificates unless they have worked with their Corporation Counsel or SVRO to make a determination of misrepresentation or fraud.			

Disclosure (continued)

<p>12. LVRO staff only issue certified copies of vital record events occurring after September 30, 1907, to any person if the person submits a request in writing, if the request is accompanied by the fee required, and if the request establishes the identity and appropriate relationship of the requestor.</p>			
<p>13. LVRO staff only issue certified copies of vital records to any person if the person submits a request in writing and if the request is accompanied by the fee required for vital records events occurring before October 1, 1907.</p>			
<p>14. LVRO staff does not issue certified or uncertified copies of birth records for an event occurring after September 30, 1907, if the mother of the registrant was not married at any time from the conception to the birth unless the inspection is by, or the information is disclosed to a person who has a DTI.</p>			
<p>15. VRO staff does not issue certified copies of birth records for a birth occurring after September 30, 1907 to paternal grandparents if the father's name is not listed on the birth record, and if they do not have a DTI.</p>			
<p>16. LVRO staff does not issue a certified copy of the birth certificate until a surname is entered on the birth record.</p>			
<p>17. LVRO staff requires a signed, and dated original authorization statement made by the registrant. Or an individual with DTI if the requestor is someone other than the registrant, parent(s), immediate family, legal custodian, guardian, or a representative authorized in writing, such as an attorney, physician, funeral director, or other designated agent with written consent acting on behalf of the registrant or his/her family.</p>			

Disclosure (continued)

<p>18. LVRO staff do not issue certified or uncertified copies of death records with the extended fact of death (cause of death) unless 50 years have elapsed from the year in which the death occurred or the requestor has DTI or is a direct descendent of the decedent.</p>			
<p>19. LVRO staff issue free certified or uncertified vital records copies for veterans for requests that are submitted through the CVSO.</p>			
<p>20. LVRO staff issue an uncertified copy of the vital record if the requestor submits a request in writing and the request is accompanied by the fee required per Wis. Stat. ch. 69.</p>			
<p>21. LVRO staff always stamp uncertified copies of a vital record for an event occurring after September 30, 1907, "UNCERTIFIED."</p>			
<p>22. LVRO staff always stamp uncertified copies of a vital record for an event occurring before October 1, 1907, other than a vital record held by the state registrar and any local registrar, "NOT FOR IDENTITY PURPOSES."</p>			
<p>23. LVRO staff do not issue certified or uncertified copies of stillbirth records and direct any requests to SVRO.</p>			
<p>24. LVRO staff follow the ID requirements for certified copies of vital records as outlined in the Disclosure Policy.</p>			
<p>25. LVRO staff does not release vital record information over the phone unless the caller is known by the staff, the caller has a legitimate need, and LVRO staff only verifies information provided.</p>			

Disclosure (continued)

26. LVRO has developed record retention policies that retain the vital record application and associated documents for a minimum of two years.			
27. LVRO uses current SVRO provided standard applications for copies of vital records.			
28. LVRO has developed a consistent exchange/replacement policy.			
29. LVRO staff only exchange the number of certificates returned and does not exchange certificates issued by other offices.			

SVRO Comments:

Genealogy/Researchers

Criteria	Yes/No	Corrective Action (if "No")	Additional Comments:
1. LVRO has created a genealogy/research registration form or uses SVRO provided form number F-05214.			
2. LVRO has all genealogists/researchers complete a registration form each day and show appropriate identification prior to accessing any information.			
3. LVRO staff provide guidance and instruction to the general public on vital records policy per DHS Admin. Code 142			
4. LVRO staff never allow genealogist/researchers access to SVRIS			
5. LVRO only allow access to public indexes in person at their office as provided in Wis. Stat. § 69.20.			
6. LVRO staff never release index information regarding confidential records			
7. LVRO does not copy or reproduce birth record index information for the public until after 100 years have elapsed from the year in which the birth occurred			
8. LVRO does not copy or reproduce death, marriage, divorce, annulment, domestic partnership, or termination of domestic partnership record index information for the public until after 24 months have elapsed from the year in which the event occurred			

SVRO Comments:

Other

Criteria	Yes/No	Corrective Action (if "No")	Additional Comments:
1. Reference materials/policies maintained/provided as directed by SVRO			
2. VPA forms available for distribution if staff have completed appropriate training			

SVRO Comments:

Review and Approval

LVRO		
Self-assessment completed by	Title	Date Completed

Must be Reviewed and Approved by the Registrar

Name of Registrar	Date Reviewed and Approved

Additional Comments:

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SVRO USE ONLY

Review of Self-assessment completed by:	Title	Date Completed

Additional Comments:

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