

# 2022 Local Registrar Self-Assessment

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.

## 2022 Self-Assessment Survey Instructions:

The 2022 Local Registrar Self-Assessment and attachments should be submitted via email to [FieldServices@dshs.texas.gov](mailto:FieldServices@dshs.texas.gov) upon completion by April 30, 2022. Scan and email auxiliary attachments *within* the email.

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 survey, you will need the below:

- Knowledge of office policies and procedures
- Ability to view your birth/death indexes
- 2021 numbers for births/deaths registered and birth/death certified copies issued
- Contact information for any branch/annex locations

Attachments should include a recent civil fees report and a sample page of your security paper log. IF you have made changes to your birth/death applications since the 2021 Self-Assessment, please include the updated forms. Answers to questions you feel do not fully cover your office procedures should also be included as attachments.

Some questions have multiple correct answers. If a question has checkboxes, then select all that apply. If you would like to expand on a question, please create a document to be attached. On the top of the document, list your name, office name, date, the question number, and your additional comments.

If questions 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.

**The 2022 Self-Assessment will need to be completed and saved.** Please change the file name to your local registrar's office name + 2022SA. When emailing back, if PDF and attachments files cannot be included in one email, please send multiple emails with the same subject line.

## **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?
- 11** If applicable, provide a list of each annex or branch. Include the address and contact information on a separate attachment.

## 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)

- 12** 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]
- A. Register each birth, death, and fetal death that occurs in the registration district
  - B. Secure a complete record of each birth, death, and fetal death that occurs in the registration district
  - C. Issue certified copies of vital records
- 13** Per HSC 191.022. Has your office appointed a deputy registrar so that a registrar will be available at all times for the registration of births and deaths?
- A. YES
  - B. NO
- Your office should have the Local Registrar's signature as a stamp or a digital format on file that is used by deputy registrars to sign records in the local registrar's absence. Is there a signature stamp or digital signature on file? [HSC §191.022(c)-(d)]
- 14**
- A. YES
  - B. NO
- 15** Before obtaining access to vital record, has each staff member completed a fingerprint background check and signed a confidentiality and non-disclosure agreement? [HSC 191.071, TGC 552.115]
- A. YES
  - B. NO

- How do you ensure the State comptroller receives the \$1.80 payment for each birth certificate your office issues? Check all that apply: [HSC191.022 (f), LGC 118.015]
- 16**
- A. Local registrar creates and sends Civil Fees Report
  - B. Treasury office creates and sends Civil Fees Report
  - C. \$1.80 of each birth certificate issuance fee sent to comptroller
- 17** Where are the Civil Fee reports kept?
- A. In local registrar office
  - B. With the comptroller
  - C. In the Treasurer's office
- 18** How many years after the date of birth does your office consider a birth record to be public information? [TGC §552.115]
- A. 25 years
  - B. 50 years
  - C. 75 years
  - D. 100 years
- 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]
- 19**
- A. YES
  - B. NO
- 20** Describe your office's process for reviewing death records before filing. [HSC 191.027] **Check all that apply:**
- A. Check Demographics tab 3 for the correct county, city, and local registrar listed
  - B. Accept records that belong to our registration district
  - C. Re-Direct records to the correct registration district, if possible.  
If unable to redirect to correct registration district, accept the record, flag
  - D. "Do Not Issue", notify the funeral home of the error, and file the record to wait for the "Notice of Removal".
- 21** How does your office keep track of death records of unidentified persons? Check all that apply:
- A. Print the record
  - B. Log the record in a separate index
  - C. Place record in separate record book
  - D. When request is received, verify date would be in public with our log
  - E. Other:

**22** Describe your office's process for making death records of unidentified persons public one year after the date of death. [GC 552.115(a)(2)]

**Please explain:**

**23** Describe your office's process for filing fetal death certificates.

Check all that Apply:

- A. Review the VS-113 and ensure it is completed as much as possible
- B. Verify there is a Medical Certifier and Funeral Director Signature
- C. Sign and Date the form
- D. Make a copy for our records (Electronically and/or paper copy)
- E. Mail a copy to VSS
- F. Assign temporary Local File Number (LFN) in case a customer wants a copy before the TxEVER system assigns the permanent LFN.
- G. Review the Fetal Death Local Acceptance Queue and Print Records filed Electronically
- H. Verify the event occurred within your registration district.
- I. Redirect electronically filed record to the correct Local Registrar, if possible.
- J. Accept and Flag "Do Not Issue" if not able to redirect to correct Local
- K. Other:

**24** Describe your offices process for filing manual fetal death certificates.

- A. Review the VS-113 and ensure it is completed as much as possible
- B. Verify there is a Medical Certifier and Funeral Director Signature
- C. Verify the event occurred within your registration district.
- D. Make a copy for our records
- E. Mail a copy to VSS
- F. Assign temporary Local File Number (LFN) in case a customer wants a copy before the TxEVER system assigns the permanent LFN.

- 25** Describe your offices process for filing electronic fetal death certificates.
- A. Verify there is a Medical Certifier and a Funeral Director if the family chose to have a funeral
  - B. Make a copy for our records (Electronically and/or paper copy)
  - C. Mail a copy to VSS
  - D. Accept and Flag "Do Not Issue" if not able to redirect to correct Local Registrar.
  - E. Review the Fetal Death Local Acceptance Queue and Print Records filed Electronically
  - F. Verify the event occurred within your registration district.
  - G. Redirect electronically filed record to the correct Local Registrar, if possible.
- 26** Describe your office's procedure for issuing Burial-Transit Permits for after hours.
- A. We only allow BTPs through the TxEVER system.
  - B. We accept manually requests for BTPs through Email, Fax, or walk ins, but encourage Funeral Directors to use the TxEVER system.  
Review BTP Queue, Print Approved BTPs before Approving; Sign and Email/Fax the signed copy back to the Funeral Home; Approve the BTP in TxEVER; File a copy incase the Funeral Home needs additional signed copies.
  - C. The funeral home contacts the County Sherriff or City Police to have us notified. They have our numbers and calls us for after-hours needs.
  - D. Other:

- 27** A medical certifier must complete a manual (non-electronic) medical amendment whenever the original death record was not completed in the electronic registration system (TxEVER). Once the manual medical amendment is complete, the local registrar would sign it, make a copy to attach to the death record, and mail it to VSS. Does your office have a similar process in place for filing manual (non-electronic) medical amendments to death records? [TAC §181.30]
- A. YES
  - B. NO

- 28** How does your office request credit for issuing free abstract birth certificates from the TxEVER FEE tab?
- A. Write "HB 123" or "SB 798" on the Top of the customer's application.
  - B. Create a transaction on TxEVER the exact same was as a Paid Application.
  - C. Submit the application with the IDs for BC labeled HB 123 or SB 798 on top with the invoice to the state.
  - D. You will receive credit for BCs issued for HB 123 and SB 798 on the following month's invoice.
- 29** Which of the following does your office require when filing a non-institutional birth? Check all that apply: [TAC §181.26]
- A. Evidence of pregnancy
  - B. Evidence that there was an infant born alive
  - C. Evidence that the birth occurred in the registration district
  - D. Evidence that the birth occurred on the date stated
  - E. Acceptable ID(s) & documentation listed in TAC 181.28 (i) (10) (11) (12)
  - F. Other(Please Explain):
- 30** Which of the following does your **general birth** index include? Check all that apply: [TAC §181.23(b)(1)]
- A. Alphabetized by surname of registrant
  - B. Any given names or initials of registrant
  - C. County of occurrence
  - D. Date of event
  - E. Local file number
  - F. Maiden name of mother
  - G. Marital status of registrant
  - H. Name of father
  - I. Name of registrant's spouse, if applicable
  - J. Prepared by event year
  - K. Sex of registrant
  - L. Social security number of registrant

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

- A. Alphabetized by surname of registrant
- B. Any given names or initials of registrant
- C. County of occurrence
- D. Date of event
- E. Local file number
- F. Maiden name of mother
- G. Marital status of registrant
- H. Name of father
- I. Name of registrant's spouse, if applicable
- J. Prepared by event year
- K. Sex of registrant
- L. Social security number of registrant

**32** Required by the new legislative update from HB 1264, does your office prepare and file a voter registration abstract of deaths with both the Secretary of State and the voter registrar of the decedent's county of residence as soon as possible, but no later than the 7th day after the date the abstract is prepared? [TEC §16.001]

- A. Yes
- B. No

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

- A. YES
- B. NO

**34** Which certified copies are customers required to complete an application for? Check all that apply: [TAC §181.28(i)(3)]

- A. Birth
- B. Death
- C. Marriage
- D. Fetal Death

**35** Where do you find out about Primary, Secondary, and Supporting documentation for vital record issuance?

- A. Passport Office
- B. IDs from DSHS-VSS website
- C. Texas County & District Clerks Association
- D. IDs & documentation listed in TAC 181.28 (i) (10) (11) (12)



- 36** Does your office accept expired IDs? [TAC §181.28(i(10-11))]
- A. Never
  - B. Only if expired within the last 2 years 90 days w/ additional documentation
  - C. Only as a secondary ID
  - D. Our office does not check ID expiration date

- 37** What are your office's fees for certified copies of births and deaths? [TAC §181.22; HSC §191.0045]
- A. \$21 birth, \$20 death, \$2 death additional copies
  - B. \$22 birth, \$20 death, \$3 death additional copies
  - C. \$23 birth, \$21 death, \$4 death additional copies
  - D. \$24 birth, \$22 death, \$5 death additional copies
  - E. Birth, Death, Death Additional Copies

Which of these options are similar to the processes your office follows when processing birth records requested for the purpose of obtaining an Election Identification Certificate (EIC) requests? [TAC §181.22; HSC §191.0046 (e)]

- 38** *Note: Do NOT select the "No Fee" box when creating a transaction for an election identification certificate under the TxEVER Fee Tab. The fee-wavier covers all in-county and remote birth records. For any birth records processed for the purpose of obtaining an election identification certificate, your office will receive a credit on the next invoice as the reimbursement.*

- A. Customer completes application and writes "Election Identification Certificate" on the top of the application
- B. Verify registrant on the record is the customer ordering the record
- C. We do not charge the customer for the birth record
- D. Ensure the record prints "For Election Identification Purposes Only" or use a stamp stating the same if printed from your records
- E. On TxEVER, we use the EIC transaction
- F. For any record printed from our records, we report how many EIC records were printed on the civil fees report
- G. All of the Above

- 39** Which of the following official VSS trainings have you or your staff attended in the last two years? Check all that apply:
- A. 2019 Regional Conference
  - B. 2019 Annual Conference
  - C. 2020 Regional Conference
  - D. 2020 Annual Conference (VAC)
  - E. 2021 Regional Conference (VRC)
  - F. 2021 Annual Conference (VAC)

- 40** What kinds of training does your office provide to staff for vital statistics?
- A. Local Registrar's Handbook provided by VSS
  - B. Employee training manuals provided by your office
  - C. On the job training with another experienced employee
  - D. Other (Add an attachment providing addition information)

- The Local Registrar or Justice of the Peace for your office decided on early retirement starting on the next day. Is there a written transition plan in place for a change in administration?
- 41**
- A. YES
  - B. NO

- How many employees have access to the banknote security paper? If an employee other than a Vital Statistics Staff has access to the paper, be sure to include them.
- 42**
- A. Less than 5
  - B. Between 5 to 10
  - C. Between 10 to 15
  - D. Between 15 to 20
  - E. More than 20

- Does your office issue remote birth records in TxEVER Fee (outside your jurisdiction)?
- 43**
- A. YES
  - B. NO

- Does your office ensure every request created in TxEVER Fee is completed and voided transactions are logged?
- 44**
- A. YES
  - B. NO
  - C. Don't issue Remote Births

- How does your office ensure that a midwife who submits a manual birth record is a licensed midwife in the state of Texas?
- 45**
- A. We don't check
  - B. Call a neighboring county
  - C. Verify the midwife's license with the Texas Department of Licensing and Regulation (TDLR).
  - D. Keep a copy of the midwife's license paperwork in your office

- 46** Does your office issue records using security paper ordered from the Banknote Corporation of America (BCA) or Veritrace?
- A. YES
  - B. NO
- 47** How does your office ensure that every single sheet of security paper is accounted for?
- A. Inventory when new shipment is received
  - B. Create Paper or Electronic Log for every sheet
  - C. Paper is secured and inventoried when the safe/filing cabinet is opened and reconciled when the safe/filing cabinet is secured.
  - D. No inventory is conducted. We Reconcile at the end of the month.
  - E. The paper is reconciled at the beginning and end of each day
  - F. Other (Add an attachment providing additional information)
- 48** Select all the options that describe how your office prevents non-vital statistics employees from accessing your office's supply of security paper.
- A. Security paper is stored in locked filing cabinet only accessible by office staff
  - B. Security paper is only pulled when needed
  - C. Security paper is loaded into secured printers that are monitored by authorized vital statistics employees
  - D. Security paper is loaded into printers that are secured within the locked printer trays
  - E. Non-vital statistics employees are always escorted by authorized vital statistics employees
  - F. Customers are not allowed into printer areas
  - G. Most of the security paper is locked in a safe in the office
  - H. All of the Above

**49** Describe your office policy regarding the destruction of security paper.

- A. Damaged / voided security paper shredded by micro-shredder
- B. Two employees witness the destruction
- C. Use paper logs to track paper and destruction date and is signed/initialed by two witnesses when destroyed.  
Paper Ripped up by hand and thrown into a Commercial Shred bin provided
- D. by a shredding vendor. No employee witnesses the shredding after the vendor picks up the bin.
- E. Send it to the state for destruction
- F. Other:

**50** Describe your office policy regarding the destruction of paper containing vital statistics information, such as applications. (Excluding birth, death and fetal death certificates.)

- A. We shred at the end of the day  
The shred bins can be unlocked only by a Team Lead or the shredding vendor. The shredding vendor is contracted to pick up approximately once
- B. per month and to shred the contents of the bin onsite. A Team Lead is required to monitor the shred process.  
All documents outlined in the TSL or CDCAT retention schedule are stored either electronically or hard copy and any paper containing vital statistics
- C. information that is not needed for retention purposes is placed into locked shred bins at the end of each day.
- D. All of the above.

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

Please type your answer here:

- 52** Describe your office's process for tracking the lifetime number of certified birth record issuances.
- A. Notate the back of the physical record; notate the local registrar electronic system; notify VSS that another copy was issued.
  - B. Notate the physical copy and our electronic copy; notify VSS when 10 copies are issued.
  - C. The local registrar electronic system tracks the issuance count
  - D. Other:

- 53** Which of these examples of flags your office would report?
- A. Missing Child (Administrative Code 500)
  - B. Suspected Fraud – providing forged or fraudulent documents (Administrative Code 200)
  - C. Certificate Has Been Printed 10 Times
  - D. Adoption In-Progress (Administrative Code 8)

- 54** How many Birth and Death records were registered and issued during 2021?
- Birth Records were registered
  - Certified copies of birth records were issued
  - Death Records were registered
  - Certified copies of death records were issued

- Have any of the following items **changed** since the 2021 Self Assessment Survey? Scan auxiliary documents and attach within the email to FieldServices@dshs.texas.gov.
- 55**

**Changed    No Change**

Application(s) for birth and death records.  
Banknote Security Paper

- 56** What is your office policy if notified that one of your employees do not pass the background check and they already have a TxEVER Account?
- A. Deactivate the account
  - B. Add the words 'do not reactivate'

Please email samples of the item listed below to VSS - Field Services at [FieldServices@dshs.texas.gov](mailto:FieldServices@dshs.texas.gov):

- Copy of your office's most recent Civil Fees Report (Form 40-141) submitted to the comptroller.
- Copy (not to exceed three pages) of your most recent security paper log.