

NUMBER
22-85-02

DATE
April 26, 2022

OF INTEREST TO
County Directors
Social Services Supervisors and
Staff
Records Management Staff
Document and Records
Management Systems Staff
Financial Assistance Supervisors
and Staff
Mille Lacs Tribal TANF
MinnesotaCare Operations
Managers, Supervisors, and
Staff
Case Managers

ACTION/DUE DATE
Please disseminate to all staff
managing records and their
retention

EXPIRATION DATE
April 26, 2024

County Human Services General Records Retention Schedule

TOPIC

County Human Services General Records Retention Schedule

PURPOSE

Transmit and announce the County Human Services General Records Retention Schedule

CONTACT

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DHS Records Manager
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651-431-5808

SIGNED



CHARLES E. JOHNSON
Deputy Commissioner

TERMINOLOGY NOTICE

The terminology used to describe people we serve has changed over time. The Minnesota Department of Human Services (DHS) supports the use of "People First" language.

I. Background

No revisions to County Human Services General Records Retention Schedule. Reposting with revised attachment: Department of Human Services Office of Inspector General Records Retention Schedule

II. Action Required

Counties have two options:

- Adopt the updated County Human Services General Records Retention Schedule in its entirety, or,
- Update existing county retention schedules to incorporate the change in retention periods.

III. Timeline

Records retention requirements should be implemented immediately.

IV. Legal References

See related statutes/references on attached record retention schedules

V. Attachments

County Human Services General Records Retention Schedule

Department of Human Services Office of Inspector General Records Retention Schedule

The official copy of the County Human Services General Records Retention Schedule will be maintained on the [State Archives' website](#).

Americans with Disabilities Act (ADA) Advisory

This information is available in accessible formats for people with disabilities by calling (651) 431-3777 (voice) or toll free at (800) 627-3529 or by using your preferred relay service. For other information on disability rights and protections, contact the agency's ADA coordinator

1. Schedule Number / Date 020-060 / February 5, 2020	2. Revision of 019-020	MINNESOTA RECORDS RETENTION SCHEDULE
3. Agency Department of Human Services, Counties/Tribes	4. Division/Section Multiple	
5. Address DHS: PO Box 64238, St. Paul, MN 55164-0238		See attached page(s) for records description
7. For Use By Records Panel Only		
AUTHORIZATION: Under the authority of M.S. 138.17, it is hereby ordered that the records listed on this application be disposed per approved schedule.		Notice: This retention schedule has been reviewed by the State Records Disposition Panel in accordance with Minnesota Statutes 138.17. The records listed on this schedule have been reviewed for their historical, fiscal, and legal value.
8. Agency Records Management Officer / Date [Approved February 3, 2020]	11. Minnesota Historical Society, Director / Date [Approved February 10, 2020]	
9. Type Name / Phone Robin Persons / 651-431-5808	12. Legislative or State Auditor / Date [Approved February 28, 2020]	
10. Agency Head or Designee / Date [Approved January 11, 2020]	13. Attorney General / Date [Approved February 12, 2020]	

Original-State Records Disposition Panel

Schedule No. 020-060	Schedule County/Tribes Human Services General Records Retention Schedule	Page 2 of 13
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ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
01A	Administrative Operational Records	Statistical Data, Policy Bulletins, Procedural Material Correspondence, etc. related to the development of funding authorization and administration of agency and agency affiliated programs.	Retain bulletins until they are no longer in effect, then discard Retain statistical data until no longer useful, then discard	Public MS 13.03	No
01B	Investigations and Charges by Applicants or Recipients of Services Under Minnesota Human Rights	Investigations of and charges by applicants or recipients of services under Minnesota Human Rights.	7 years from close of investigation	Private MS 13.03 MS 363A.35	No
02	Fiscal and Statistical Reports to the State Agency	Forms related to the agency staff activity reporting and the accounting office copy of agency action forms.	3 years after case closing or after audit	Public MS 13.03	No
03	General Ledger Accounts	Summaries of payment detail (receipts and disbursements) and authorizations that are recorded in the books of original entry.	10 years after case closing or after audit	Public MS 13.03	No

Schedule No. 020-060	Schedule County/Tribes Human Services General Records Retention Schedule	Page 3 of 13
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ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
04	Intake Registers a. Child Support Division: Child support non-public assistance application logs. b. Child Care Assistance Program: Record of persons requesting assistance who are denied or put on the Basis Sliding Fee Waiting List c. Intake Records not associated with a Work Group d. All other Intake Registers.	Listings of requests for social services and financial assistance and their subsequent disposition.	a. Retain 3 years after last entry, then discard. For cases not logged in PRISM, retain application including information showing that an application was sent by mail within 5 days of request or given same day if requested in person. b. Retain for 3 years after date the family requested assistance. c. 5 years after Intake Date d. 3 years after last entry	Private MS 13.46, subd. 2(a) 45 C.F.R. § 303.2, 45 C.F.R. § 303.15, 45 C.F.R. § 302.33	No

Schedule No. 020-060	Schedule County/Tribes Human Services General Records Retention Schedule	Page 4 of 13
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ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
05	Minutes of County Human Services Agency Boards, Welfare Boards, Mental Health Board, Other Agency Boards, and Advisory Committees	Section A - Summaries of general business discussions, personnel transactions, policy discussion and formation, and administrative reports. Section B - Social Service and income maintenance case openings, closing, denials, pending appeals, recovery claims, property waivers, medical liens, vendor payments, supplemental payments, etc. Identifying information should consist of case number only (not case name).	Retain permanently or transfer to state archives	Public, Private MS 13.03, MS 13.43, MS 13.46 subd. 2(a)	Yes
06	Paid Administration Claims (bills)	Individual claims (bills) for costs such as rentals, equipment, supplies, mileage, conference costs, etc.	6 years or after audit	Public MS 13.03 MS 13.46 subd. 2	No
07	Paid General Assistance Claims	Individual records of claims (bills) and payments made from General Assistance funds.	6 years or after audit	Private MS 13.46 subd. 2(a)	No
08	Paid Medical Bills	Claims for medical vendor payments.	6 years after closing or after audit	Private MS 13.46 subd. 2(a)	No

Schedule No. 020-060	Schedule County/Tribes Human Services General Records Retention Schedule	Page 5 of 13
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ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
09	Payment Abstracts	Records of checks issued and chargeable to the various welfare funds. Data includes names of clients and amounts paid.	6 years after closing or after audit	Private MS 13.46 subd. 2(a)	No
10	Social Welfare Fund receipts, redeemed checks, and accounts	A - Receipts and redeemed checks. B - Ledger accounts - Summaries (receipts and disbursements) and authorizations that are recorded in the books of the original entry.	6 years after closing or after audit	Private MS 13.46 subd. 2(a) MS 256.88 MS 256.89 MS 256.90 MS 256.91	No
11	Federal Tax Information: Security Guidelines and Safeguards	Documentation to comply with IRS Pub 1075 <ol style="list-style-type: none"> 1. Electronic and Non-Electronic FTI Logs, Section 3.2 2. Converted Media, Section 3.2 3. Visitor Access Logs, Section 4.3.1 4. Disclosure Awareness Certification, Section 6.3 5. Internal Inspections, Section 6.4 	Retain for 5 years	6 U.S.C. § 6103 (p)(4)(A); IRS Pub 1075	No
12	Vulnerable Child and Adult Act Plans	Service plans which reflect current policy and procedures regarding requirements and use of funds under MS 256B.	Retain current plan on file. Submit current plan electronically to DHS Child Safety and Permanency Division	MS 256M	

Schedule No. 020-060	Schedule County/Tribes Human Services General Records Retention Schedule	Page 6 of 13
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ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
13.	Public Assistance Client Files	Including health care, cash assistance, food assistance (SNAP), child care assistance, emergency assistance, and long term care assistance, case index cards (if used) and other related programs.	<p>1. Cases closed prior to 1/1/2014:</p> <p style="padding-left: 20px;">a. Retain and destroy according to approved county retention schedules in place on 12/31/2013.</p> <p>2. Cases open, pending, or otherwise active on or after 1/1/2014:</p> <p style="padding-left: 20px;">a. Destroy documents other than exception documents* 10 years after received.</p> <p style="padding-left: 20px;">b. Destroy all documents 10 years after case (last program) closure.</p> <p>*Exception documents to be retained for the life of the case file: citizenship; identity; immigration status; relationship; social security number or individual taxpayer identification number; excluded assets; qualified long-term care partnership policies and assets protected by long-term care partnership policies; guardianship, power of attorney or authorized representative; asset assessments for planning purposes; liens against real property; unpaid overpayment information; and fraud, disqualification, and conviction documentation.</p> <p>10-year retention based on 45 CFR 155.1210</p>	Private MS 13.46 subd. 2(a) MS 256.98 subd. 8 42 CFR 433.322 42 CFR 435.914 42 CFR, 435.923 45 CFR 155.1210	No

Schedule No. 020-060	Schedule County/Tribes Human Services General Records Retention Schedule	Page 7 of 13
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ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
14 A	Social Service Case Records All Services Cases	<ol style="list-style-type: none"> 1. Application for social services 2. Appropriate case narratives 3. Service plans and agreements 	4 years after case closing or after audit, unless child protection case	Private MS 13.46 subd. 2(a)	No
14 B	Social Service Case Records Title XX Funding	<ol style="list-style-type: none"> 1. Income declarations 2. Verification of income (when required) 	If current, 4 years after case closing, if not current, 4 years after form completion date	Private MS 13.46 subd. 2(a)	No
14 C	Social Service Case Records Required "Situational" Forms	Inter and intra agency referral forms: <ol style="list-style-type: none"> a. Service providers b. Income maintenance c. Payment authorization d. Supervisory and case review documents e. Support and Collections f. Appeal summaries and hearing records 	Items a-d: 4 years after form completion date Items e-f: 4 years from the closing of the file	Private MS 13.46 subd. 2(a)	No
14 D	Social Service Case Records	<ol style="list-style-type: none"> 1. Phone messages 2. Supervisory instructions 3. Routing slips 	Destroy immediately after completed action	Private MS 13.46 subd. 2(a)	No
14 E1	Social Service Case Records Adoption and Subsidized Adoption	Forms related to adoption and subsidized adoption.	Permanent	Confidential MS 259.53 subd. 3 MS 259.79 subd. 3	No

Schedule No. 020-060	Schedule County/Tribes Human Services General Records Retention Schedule	Page 8 of 13
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ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
14 E2	Social Service Case Records Court Requested Evaluations	Forms related to court requested evaluations.	In the event of a contested adopted petition, the only study which needs to be kept permanently is the adoption study of the adopting family. Destroy after action - then retain 4 years after case closing.	Private MS 13.46 subd. 2 MS 13.84 subd. 2	No
14 E3	Social Service Case Records Child Protection	Forms related to child protection files: Maltreatment reports, etc.	Maltreatment not determined and child protection services not needed, or "Alternative Response" case files: Destroy 5 years after case closing or after audit. Maltreatment determined or child protection services needed: At least 10 years after the date of the final entry in the case record. Order destruction of related records at school or court services agency when other records relating to the report are destroyed.	Private, Confidential MS 626.556 subd. 11(c)	No
14 E4	Social Service Case Records Adult Protection	Forms related to common entry point and Intake form: Vulnerable Adult Maltreatment Report.	3 years if report determined to be false or not investigated and no final disposition 4 years if report determined to be inconclusive 7 years if report determined to be substantiated	Confidential, Protected, Non-Public, Private MS 13.02 MS 626.557, subd 12b(d)	No

Schedule No. 020-060	Schedule County/Tribes Human Services General Records Retention Schedule	Page 9 of 13
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ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
14 E5	Social Service Case Records Foster Care - Adults	Forms related to foster care: adults.	4 years after case closing or after audit	Private MS 13.46 subd. 2(a)	No
14 E6	Social Service Case Records Foster Care - Children	Forms related to foster care: children.	10 years after case closing or after audit	Private MS 13.46 subd. 2(a)	No
14 E7	Social Service Case Records Guardianship of Children	Forms related to guardianship of children.	Permanent	Private, MS 13.46 subd. 2(a), MR 9560.0480 subp. 2	No
14 E8	Social Service Case Records Adult Public Guardianship	Forms related to adult public guardianship.	10 years after case closing	Private MS 13.46	No
14 E9	Social Service Case Records Health Case Records	Forms related to health case records: a. Social and medical history report b. Psychologist report c. State Operated Facility d. Discharge report	See Public Assistance Client Files	Private MS 13.46 subd. 2(a)	No
14 E10	Social Service Case Records Contracts with Social Service Providers	Forms related to contracts with social service providers. Agreements with vendors to provide social services.	4 years after audit	Public, Private MS 13.03 MS 13.46 subd. 4	No

Schedule No. 020-060	Schedule County/Tribes Human Services General Records Retention Schedule	Page 10 of 13
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ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
14 F1	Social Service Case Records Fiscal and Program Reporting	Fiscal and program reporting for individuals with developmental disabilities, chemical dependency, or mental illness.	4 years after case closing or after audit	Private MS 13.46 subd. 2(a)	No
14 F2	Social Service Case Records Records Regarding Death of a Ward or Conservatee	Records regarding death of a ward or conservatee with developmental disabilities, chemical dependency, or mental illness.	4 years after case closing	Private MS 13.46 subd. 2(a)	No
14 F3	Social Service Case Records Retention of Consumer's Records	Retention of consumer's records for individuals with developmental disabilities, chemical dependency, or mental illness.	3 years following termination of services	Private MS 13.46 subd. 2(a)	No
14 F4	Social Service Case Records Requirements for Individual Program Plans Proposing to Use A Controlled Procedure	Requirements for individuals with developmental disabilities, chemical dependency, or mental illness.	5 years after implementation of controlled procedure	Private MS 13.46 subd. 2(a) MS 245 MS 245D	No

Schedule No. 020-060	Schedule County/Tribes Human Services General Records Retention Schedule	Page 11 of 13
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ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
14 F5	Social Service Case Records Required Records and Reports Authority	Required records and reports, County of guardianship responsibility for individuals with developmental disabilities, chemical dependency, or mental illness.	5 years after case closing or after audit	Private MS 13.46 subd. 2(a)	No
15.	Child Support Case Information	Physical and electronic case records and files.	Retain for 3 years after the case closes or until the final disposition of any litigation, claim, or audit, whichever is later Paper records for consent to text child support must be retained for 4 years after consent is provided	Private, Confidential MS 13.46 subd. 2(a) 45 CFR 303.11(e) 47 USC 227	No
16.	Pre-Admission Screening	To determine admission to nursing home and care. Includes quality assurance report or pre-admission screening.	4 years after case closing or after audit	Private MS 13.03 MS 13.46 subd. 2(a)	No

Schedule No. 020-060	Schedule County/Tribes Human Services General Records Retention Schedule	Page 12 of 13
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ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
17A.	Office of Inspector General Records: Administrative	Personnel data, pre-decisional data, receipts and payments, recruitment materials, records destruction, telephone logs.	See attached DHS Office of Inspector General Retention Schedule, § A	For OIG public, private, and confidential data, <i>see, generally</i> , MS 13.02, subds. 3, 12, and 15; and 13.46, subd. 3 and 4. For investigations, <i>see, also</i> , MS 256B.04; 256B.0625; 245C.051(c): 245E.05; 626.556, 626.557, and 626.5572. For federal audits and program integrity activities, <i>see, also</i> , 42 CFR §§ 455.1 and 455.17; and 42 USC § 1396a.	No
17B.	Office of Inspector General Records: Background Studies Division	Consent forms; fingerprint cards; receipts, payments, billings; interagency agreements; criminal history, maltreatment investigative, and background study results data; preponderance of evidence, statutory comparison, and reconsideration determinations; court decisions; background study subject photographs; expungement data.	See attached DHS Office of Inspector General Retention Schedule, § B	For OIG public, private, and confidential data, <i>see, generally</i> , MS 13.02, subds. 3, 12, and 15; and 13.46, subd. 3 and 4. For investigations, <i>see, also</i> , MS 256B.04; 256B.0625; 245C.051(c): 245E.05; 626.556, 626.557, and 626.5572. For federal audits and program integrity activities, <i>see, also</i> , 42 CFR §§ 455.1 and 455.17; and 42 USC § 1396a.	No

Schedule No. 020-060	Schedule County/Tribes Human Services General Records Retention Schedule	Page 13 of 13
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ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
17C.	Office of Inspector General Records: Financial Fraud and Abuse Investigation Division	Surveillance and integrity review and child care assistance investigative files and case logs (active and closed); contested case hearings closed files; managed care organizations integrity and audit records; data analytics requests; provider site visit screening data; federal audits and program integrity records; restricted recipient program referral and investigative data; personal care assistance data.	See attached DHS Office of Inspector General Retention Schedule, § C	For OIG public, private, and confidential data, <i>see, generally</i> , MS 13.02, subds. 3, 12, and 15; and 13.46, subd. 3 and 4. For investigations, <i>see, also</i> , MS 256B.04; 256B.0625; 245C.051(c): 245E.05; 626.556, 626.557, and 626.5572. For federal audits and program integrity activities, <i>see, also</i> , 42 CFR §§ 455.1 and 455.17; and 42 USC § 1396a.	No
17D.	Office of Inspector General Records: Licensing Division	General licensing and licensing review files; licensing, maltreatment of minors, and vulnerable adult's investigative data; negative action, reconsideration, and appeal records.	See attached DHS Office of Inspector General Retention Schedule, § D	For OIG public, private, and confidential data, <i>see, generally</i> , MS 13.02, subds. 3, 12, and 15; and 13.46, subd. 3 and 4. For investigations, <i>see, also</i> , MS 256B.04; 256B.0625; 245C.051(c): 245E.05; 626.556, 626.557, and 626.5572. For federal audits and program integrity activities, <i>see, also</i> , 42 CFR §§ 455.1 and 455.17; and 42 USC § 1396a.	No

1. Schedule Number / Date 021-052 / May 19, 2021	2. Revision of 018-035	MINNESOTA RECORDS RETENTION SCHEDULE
3. Agency Minnesota Department of Human Services (DHS)	4. Division/Section Office of Inspector General (OIG)	6. Page 1 of 16 (including Appendix A)
5. Address PO Box 64943 St. Paul, MN 55164-0943		See attached page(s) for records description
7. For Use By Records Panel Only		
AUTHORIZATION: Under the authority of M.S. 138.17, it is hereby ordered that the records listed on this application be disposed per approved schedule.		Notice: This retention schedule has been reviewed by the State Records Disposition Panel in accordance with Minnesota Statutes 138.17. The records listed on this schedule have been reviewed for their historical, fiscal, and legal value.
8. Agency Records Management Officer / Date [Approved May 19, 2021]	11. Minnesota Historical Society, Director / Date [Approved May 20, 2021]	
9. Type Name / Phone Robin Persons / 651-431-5808	12. Legislative or State Auditor / Date [Approved June 10, 2021]	
10. Agency Head or Designee / Date [Approved May 12, 2021]	13. Attorney General / Date [Approved June 3, 2021]	

Original-State Records Disposition Panel

Copy 1-Agency (after approval)

Important notice:

- This records retention schedule applies to records regardless of their format (paper, electronic, email, etc.).
- All DHS employees are responsible for understanding and complying with the records retention schedule for their area. The unit responsible for maintaining the record is responsible for properly disposing of records according to the appropriate retention instructions and preparing the destruction summary.
- Duplicate copies and reference or informational material (non-records) are excluded and can be discarded when no longer needed. For records not listed on this schedule and are commonly found throughout the agency, see the DHS General Records Retention Schedule.
- **Do not destroy** relevant records that are subject to a "hold" because of litigation, government investigation, or financial audit is pending or imminent; do not destroy the records until the "hold" is terminated, even if the retention period is concluded.

Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statutes & Other Authority	Vital	Archival
A. Administrative/Management Support Records: Official financial records are maintained by Financial Operations and are generally available in the Minnesota statewide financial electronic system. However, Management Support maintains some source data for billings, receipts, payments, and reimbursements.							
A1	Background study payments paid by credit card or electronic fund transfer	Receipt data is in financial electronic system	Financial Operations			No	No
A2	Commissioner, Assistant Commissioner log letters and electronic mail (duplicates)	See DHS General Records Retention Schedule: Executive Correspondence	Commissioner's Office	Private/Public		No	No
A3	Continuity of Operations Plan	See DHS General Records Retention Schedule: Continuity of Operations Plans	Recovery Director	Private		No	No
A4.1	Documents relating to the contract vendor selection and product procurement processes, including requests for proposals or information and related responses from prospective bidders to RFP's/RFI's, and subsequent requests for information including product demonstrations.	See DHS General Records Retention Schedule: Legal Agreements	OIG Legal, DHS Contracts Division, and/or Dept. of Administration Procurement Division	Public		No	No

Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statutes & Other Authority	Vital	Archival
A4.2	Contracts and other legal agreements ¹ - work product data (other than data listed in § A4.1), including data produced pursuant to the duties of the duties of one or more of the parties to the contract/agreement, and related correspondence. ²	Retain until superseded, no longer applicable, or no longer needed to support business activities. At a minimum, review data every two years following creation to determine necessity and applicability of the data.	See item A4.1	Public		No	No
A5	Training curricula and supporting materials	Retain until superseded, no longer applicable, or no longer needed to support business activities	Responsible OIG Division	Public	MS 13	No	No
A6	Data requests and responses	See DHS General Records Retention Schedule: Data Practices Requests and Responses	OIG Legal Division – Data Inquiry Process Management System (SharePoint log). ³		MS 13	No	No
A7	OIG responses to Commissioner log letters, email, phone, and other inquiries received by the DHS Commissioner’s Office.	Retain 90 days or when no longer needed	See item A6.	Private/Public	MS 13.46, subd. 4	No	No
A8	Payments associated with fingerprinting conducted within the oversight of OIG.	Payment data is in financial electronic system	Financial Operations			No	No

¹Includes (includes any professional/ technical contracts, procurement contracts, and interagency, joint powers, grant, and other data sharing agreements.

² Excludes: Items with content covered by any other record types in the DHS General or other DHS Administration’s schedules.

³The DHS Data Practices Office is responsible retaining responses to data requests that they send.

Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statutes & Other Authority	Vital	Archival
A9	General expenditures – supplies from central stores, purchase orders, EIORs, etc.	See DHS General Records Retention Schedule: Financial Records	Responsible OIG Division	Public		No	No
A10	Interagency billing data for background studies	Retain for current year, plus three fiscal years.	Responsible OIG Division	Private/ Public	MS 13.46, subd. 2 & 4	No	No
A11	Inventory of office equipment with asset numbers	Retain for life of equipment	Responsible OIG Division	Public		No	No
A12	Legislative reports, bill analysis, fiscal notes, summaries	See DHS General Records Retention Schedule: Legislative and Budget Preparation and Development Materials	See DHS General Records Retention Schedule	Private/ Public		No	No
A13	License fee and fine invoices, adjustments based on settlement agreements or change in license terms, credits due to closure, etc.	Retain for current year, plus three fiscal years.	Responsible OIG Division	Private/ Public	MS 13.46, subd. 2 & 4	No	No
A14	Pass through bills from Attorney General (witness expense, court reporter expense, depositions, and other litigation expenses), other division bills and payments.	Retain for current year, plus three fiscal years.	Responsible OIG Division	Private/ Public	MS 13.46, subd. 2 & 4	No	No
A15	Payments received and forwarded to the automated receipts center (payments for data requests, license applications, fines, BGS, etc.)	Retain for current year, plus three fiscal years.	Responsible OIG Division	Private/ Public	MS 13.46, subd. 2 & 4	No	No

Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statute(s) & Other Authority	Vital	Archival
A16	Personnel records – position descriptions, resumes, interview notes, reference checks, letters of appointment, performance evaluations, development plans, achievement/recognition awards, training, complaint, grievances, leave requests, resignations, terminations.	See DHS General Records Retention Schedule: Personnel Records	Supervisor/Unit Manager	Private/ Public	MS 13.43, subd. 2, 3, and 4	No	No
A17	Pre-decisional data (in any format)	Delete when final decision is made and/or documented as official record.	Work area that maintains official record	Mixed; possibly nonpublic	Possibly attorney-client privileged or work product	No	No
A18	Receipts requesting fingerprint reimbursement	Retain for current year, plus three fiscal years.	Responsible OIG Division	Private/ Public	MS 13.46, subd. 2 & 4	No	No
A19	Recruitment and selection materials, such as job postings and bids, resumes, cover letters, applications, test records, interview records, and reference checks.	See DHS General Records Retention Schedule: Personnel Records	Supervisor/Unit Manager	Private/ Public	MS 13.43, subd. 2, 3, and 4	No	No
A20	Requests for petty fund checks for criminal history information	Retain for current year, plus three fiscal years	Responsible OIG Division			No	No
A21	Summary of records destroyed	Permanent	Person destroying records	Public	MS 15.17; MS 138.17	No	No
A22	Telephone logs	Discard when no longer needed	Individual	Private/ Public	MS 13.46, subd. 4	No	No

Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statute(s) & Other Authority	Vital	Archival
B. Background Studies (BGS)							
B1	Written consent forms	Permanent	BGS	Private	MS 13.46, subd. 2	Yes	No
B2	Fingerprint cards	Retain for 3 years	BGS	Private	MS 13.46, subd. 2	Yes	No
B3	BGS receipts, payments, interagency agreements, billings	See Section A	Management Support	Private	MS 13.46, subd. 2	Yes	No
B4	Criminal history information (Bureau of Criminal Apprehension (BCA), Federal Bureau of Investigations (FBI), Courts, Police Reports including photographs, referral information, other <i>(For NETStudy 2.0 photographs see B10)</i>)	Retain for 90 years from the individual's birth, except when data indicates that the individual is still living or discard 2 years from the individual's death which has been reported to DHS	BGS	Private	MS 13.46, subd. 2; MS 245C.051	Yes	No
B5	Substantiated perpetrators of maltreatment (Social Services Information System (SSIS) information, DHS investigations, other state agencies) received child and adult protection Investigative Memorandums (IM) with ID keys and supporting documentation for sexual abuse findings, Office of Health Facility Complaints (OHFC)	Retain for 90 years from the individual's birth, except when data indicates that the individual is still living or discard 2 years from the individual's death which has been reported to DHS	BGS	Private	MS 13.46, subd. 2; MS 245C.051	Yes	No

Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statute(s) & Other Authority	Vital	Archival
B6	Results of the background studies / Notices sent to license holder / employer / agency / subject	Retain for 90 years from the individual's birth, except when data indicates that the individual is still living or discard 2 years from the individual's death which has been reported to DHS	BGS	Private	MS 13.46, subd. 2; 245C.051	Yes	No
B7	Legal determinations – Preponderance of Evidence (POE's), statutory comparisons, etc. (determination by Legal – record maintained in BGS)	Retain for 90 years from the individual's birth, except when data indicates that the individual is still living or discard 2 years from the individual's death which has been reported to DHS	BGS	Private	MS 13.46, subd. 2; 245C.051	Yes	No
B8	Disqualifications (DQ) reconsiderations / appeals (decision by Legal or Commissioner – records maintained in BGS)	Retain for 90 years from the individual's birth, except when data indicates that the individual is still living or discard 2 years from the individual's death which has been reported to DHS	BGS	Private/Public	MS 13.46, subd. 2 & 4; 245C.051; 245C.22 subd. 7	Yes	No
B9	DQ subsequent appeals outside agency / decisions (court decision record maintained in BGS)	Retain for 90 years from the individual's birth, except when data indicates that the individual is still living or discard 2 years from the individual's death which has been reported to DHS	BGS	Private/Public	MS 13.46, subd. 2 & 4; 245C.051; 245C.22, subd. 7	Yes	No
B10	Photograph Images of background subjects for identification purposes submitted via NET Study 2.0	Destroy 2 years after previously studied individual has not been on the master roster.	BGS	Private	MS 13.46, subd. 2(a) & 4; 245C.051(c)	Yes	No

Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statute(s) & Other Authority	Vital	Archival
B11	Expungements including court filings, police reports, and court orders	Retain for 90 years from the individual's birth, except when data indicates that the individual is still living or discard 2 years from the individual's death reported to DHS.	BGS	Private or confidential in DHS' hands, but can submit to court to respond to petition.	MS 13.46; 609A.03, subd. 3(d).	Yes	No
B12	BCA and/or FBI audit-related records including emails and correspondence; forms, templates, electronic packets, written documentation, meeting notes, policy memos, and response letters or summary notices; audit schedules, audit criteria; and final reports, findings, and corrective action documents or plans.	Retain 5 years after date of closure.	BGS	Confidential, protected nonpublic, private, or public data depending upon the status of the audit and other factors.	MS 13.392	Yes	No
B13	Federal Centers Ofc. of Child Care (OCC) and MN Ofc. Legislative Auditor (OLA): Child Care Assistance Program (CCAP) audit-related records including for federal <u>CCAP only</u> : communications to and from OCC or their auditor, completed field plans, federal report information submitted to OCC contractor, final audit reports, minutes from joint Program Compliance and Audits – CCAP Program Policy intersectional meetings, completed case file review tools and worksheets for federal review years.	Retain for 5 years after the end of the fiscal year in which the final audit report was issued. See, also, Compliance Office Schedule, item 29.	BGS	Confidential, protected nonpublic, private, or public data depending upon the status of the audit and other factors.	<u>CCAP</u> : 45 CFR, Part 98, Subpart K; & MS 13.392	No	No

Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statute(s) & Other Authority	Vital	Archival
C. Financial Fraud and Abuse Investigation Division (FFAID)							
C1	Surveillance and Integrity Review Section (SIRS) Provider Investigative Files: Includes investigative reports, correspondence, case log, claims histories, investigation notes, meeting notes, attorney or policy memos, subpoenas, Notices of Agency Action, appeal requests, settlement documents, contested case or mediation documents, orders, and any other related documents.	<u>Open Cases:</u> Retain until case is closed or no longer needed then transfer to closed case files. <u>Closed Cases:</u> Retain 6 years after date of closure.	FFAID	Public, Private and Confidential	MS 13.46; 256B.064	No	No
C2	Child Care Provider Investigative Files: (investigative reports, recordings of interviews, surveillance video, subpoenas, Notices of Agency Action, appeal requests, settlement documents, mediation documents, orders and any other related documents).	<u>Open Cases:</u> Retain until case is closed or no longer needed, then transfer to closed case files. <u>Closed Cases:</u> Retain 6 years after date of closure.	FFAID	Public, Private and Confidential	MS 119B.02, subd. 6; 13.46; 245E.05	No	No
C3	MinnesotaCare: Open & Closed Cases: Includes investigative reports, recordings of interviews, subpoenas, orders and any other related documents. ----- * Documentation to be retained for the life of the case file: citizenship; identity; immigration status; relationship; social security number or individual taxpayer identification number; excluded assets; qualified long-term care partnership policies and assets protected by long-term care partnership policies; guardianship, power of attorney or authorized representative; asset assessments for planning purposes; liens against real property; unpaid overpayment information; and fraud, disqualification and conviction records.	<u>Cases closed prior to 1/1/2014:</u> Retain and destroy according to approved county retention schedules in place on 12/31/2013. ----- <u>Cases opened, pending, or otherwise active on or after 1/1/2014:</u> a. Destroy documents 10 years after received, except documents that must be retained for the life of the case file – see column to the left (←): b. Destroy all documents 10 years after case (last program) closure.	FFAID	Public, Private and Confidential	MS 13.46 subd. 2(a) & 3; 256.98 subd. 8 42 CFR 433.322 42 CFR 435.914 42 CFR 435.923 45 CFR 155.1210 (10-year retention) See Policy Retention Schedule: http://edocs.dhs.state.mn.us/lfs/Server/Public/DHS-6928-ENG	No	No

Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statute(s) & Other Authority	Vital	Archival
C4	FPI and MNCare case logs located in PIN/FASE and Agile Apps: Database of open & closed cases, Hotline complaints.	Open Cases: Retain until case is closed or no longer needed then transfer to closed case files. Closed Cases: Retain 6 years after date of closure. Case data: Retain aggregate de-identified data (records and reports) on closed cases for 30 years after closure.	FFAID	Public, Private and Confidential	MS 13.46 subd. 2(a) & 3	No	No
C5	Fraud Prevention Investigation: Includes Grant Applications, contracts, and grant performance records; and reports and records from counties.	For grant <u>contract</u> -related records, see DHS General Records Retention Schedule: Legal Agreements For investigative data, retain data for 6 years from the end of the grant contract.	FFAID	Public, Private and Confidential	MS 13.46 subd. 2(a) & 3	No	No
C6	Supplemental Nutrition Assistance Program (SNAP); Program records, fiscal records, accountable documents, case records, case records, reports, disqualification records.	Retain program records for no less than 3 years from the month of origin of each record. Retain fiscal records and accountable documents (claims and documentation of lost benefits) for 3 years from the date of fiscal or administrative closure. Retain case records relating to intentional Program violations disqualifications and related notices to the household indefinitely.	FFAID	Public, Private and Confidential	7 CFR § 272.1 7 CFR § 273.16	No	No
C7	Minnesota Department of Public Safety, Drivers and Vehicle Services (DVS): Data related to work related searches of DVS record information system.	Retain records of work-related searches within the DVS record information system for 5 years from the date of the search.	FFAID	Private and Confidential	MS. Ch. 13; 18 U.S.C. 2721 DVS Records Access Agreement	No	No

Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statute(s) & Other Authority	Vital	Archival
C8	Contested Case Hearing Files: Closed Cases: Request for hearing, Notice and Order for Hearing, Office of Administrative Hearing's contested case official record, hearing documents, exhibits, Judge's report, Commissioner's order, appeal request, and final decision of appeal court.	Retain until closed. Retain closed cases for 6 years after closure	FFAID	Private and Confidential	MS 13.46; 256B.064; 14.60	No	No
C9	SIRS Provider Investigation Case Logs: Database of open and closed cases, complaints by month received on the SIRS Hotline, Data Analytics Project List.	Retain aggregate de-identified data (records and reports) on closed cases for 30 years after closure.	FFAID	Public, Private and Confidential	MS 256B.064; 256B.04, subd. 10	No	No
C10	Managed Care Organization's (MCO) Integrity Reports and records by contracted entities related to integrity, fraud, abuse, and erroneous payment activity.	Retain for 10 years from receipt and then discard.	FFAID	Public, Private and Confidential	MS 256B.04 ⁴	No	No
C11	MCO Audit Files: Includes reports, records from MCO audits, correspondence, claims histories, records of MCO policies and procedures, MCO referrals, MCO training materials, MCO subcontractor materials, investigation notes, meeting notes, and any other related documents.	<u>Open audits:</u> For each audit, open and maintain a file specifically for audit records. <u>Completed audits:</u> When audit report and any exceptions petitions/revisions to it are complete. Retain all other audit-related records in a "closed" file for 10 years.		Public, Private and Confidential	MS 256B.04	No	No
C12	Data analytics requests: Includes electronic and hard copies of the following: emails, copy of claims history request form, notes, copy of data produced on a CD, SAS program, SAS datasets, and final product for request, and any other related documents.	Retain for 15 years from date of request, then discard.	FFAID	Public, Private and Confidential	MS 13.46, subd. 2(a)(4); 256B.064.	No	No

⁴ See National Archive and Records Administration, Record Schedule: DM-0440-2015-0008 accessed at <https://www.cms.gov/Regulations-and-Guidance/Guidance/CMSRecordsSchedule/Downloads/Bucket-6-Provider-and-Health-Plan-Records.pdf>.

Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statute(s) & Other Authority	Vital	Archival
C13	Screening Provider Tracker (Spreadsheet used to track all pending and completed provider screening site visits)	Retain data related to open files until closed (sent to provider enrollment). Retain data on closed cases for 30 years after closure.	FFAID	Public, Private and Confidential	MS 256B.04, subd. 21 and 22	No	No
C14	Provider Screening Site Visit File: Including report, comprehensive report of provider screening site visit, site visit summary, photographs, claims reports, and any other related documents.	Retain data on all open files until closed (sent to provider enrollment). Retain data on closed cases for 6 years after closure.	FFAID	Public, Private and Confidential	MS 256B.04, subd. 21 and 22	No	No
C15	Federal Audit Program Integrity Reporting Activities Reports	Maintain for 6 years after closure of audit by federal entity, then discard.	FFAID	Public, Private and Confidential	42 CFR §§ 455.1 and 455.17; 42 USC § 1396a	No	No
C16	Minnesota Restricted Recipient Program (MRRP) <ul style="list-style-type: none"> Investigative Files: Includes investigative reports, correspondence, case log, investigation notes, Notices of Agency Action, and any other related documents. Administrative Files: Includes correspondence, referral information, reconsideration of claims, notes, and any other related documents Appeals Files: Includes request for hearing, notice of hearing, hearing documents, exhibit list, appeal summary, Commissioner's order.	Maintain for 10 years from the date 1) a restriction ends or 2) the review for restriction is completed (where the decision was not to restrict).	FFAID	Public, Private and Confidential	MS 13.46; 256B.0625	No	No

Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statute(s) & Other Authority	Vital	Archival
D. Licensing Division (Licensing) <i>(see Appendix A for detailed file descriptions)</i>							
D1	Maltreatment of Minors Act (MOMA) Investigation File	Retain 5 years from date of final entry in the record if case is not assigned for investigation, or if investigated but maltreatment is not determined. Retain 10 years if investigated and maltreatment is determined.	Licensing's Electronic Document Management System (EDMS)	Public, Private Confidential	MS 260E.35 subd. 6(b) and (c)	No	No
D2	Vulnerable Adult Act (VAA) Investigation File	Retain for 3 years after the finding was made if finding is false or if not assigned, 4 yrs. years if finding is inconclusive, 7 yrs. if substantiated.	EDMS	Public, Private Confidential	MS 627.557 subd. 12b(d)	No	No
D3	Licensing Investigation File	7 years from the date of closure of the license.	EDMS	Private/Public	MS 13.46, subd. 2 & 4	No	No
D4	License File	7 years from the date of closure of the license.	EDMS	Private/Public	MS 13.46, subd. 2 & 4	No	No
D5	Licensing Review File	7 years from the date of closure of the license.	EDMS	Private/Public	MS 13.46, subd. 2 & 4	No	No
D6	Negative Action File	50 years from the date of closure of the license.	EDMS	Private/Public	MS 13.46, subd. 2 & 4	No	No
D7	Reconsideration File	50 years from the date of closure of the license.	EDMS	Private/Public	MS 13.46, subd. 2 & 4; 245C.22, subd. 7	No	No
D8	Appeal File	50 years from the date of closure of the license.	EDMS	Private/Public		No	No

Appendix A

	License File	Licensing Review File	Negative Action File	Appeal File	Reconsideration File	MOMA Investigation File	VAA Investigation File	Licensing Investigation File
Licensing Files								
Address Suppression - CFC	X							
Appeal-Court Decision, Actions & Support Docs				X	X			
Appeal Notice				X				
Applicant and License Holder Notarized Signature Form	X							
Audio File		X	X					
Backfile	X							
Certified Mail Receipt			X	X	X			
Change in License Terms & Support Docs	X							
Compliance Monitoring Documentation		X	X					
Code Inspection Report	X							
Commissioner's Final Order				X	X			
Correction Order		X						
DHS Response/Letter		X	X	X	X			
Drug and Alcohol Policy	X							
Facility Floor Plan	X							
Grievance Policy	X							
Identification Key		X	X					
Image File		X	X					
Incident or Injury Report & Supporting Documents	X							
License	X							
License Application and Support Docs	X							
License Holder Response / Letter		X	X	X	X			
Maltreatment of Minors Internal Review Policy	X							
MH Certification - AFC	X							
Minors and Vulnerable Adults Maltreatment Policy	X							
Miscellaneous	X	X	X	X	X			
Negative Action Appeal/Reconsideration				X	X			

Appendix A

	License File	Licensing Review File	Negative Action File	Appeal File	Reconsideration File	MOMA Investigation File	VAA Investigation File	Licensing Investigation File
Negative Action Order			X					
Negative Action Supporting Documents			X					
Notice of Reinspection & Support Docs		X						
Organizational Chart	X							
Personnel Information Form		X						
Reapplication & Support Docs	X							
Reconsideration & Support Docs – Conditional					X			
Reconsideration & Support Docs-Correction Order					X			
Reconsideration Response - Conditional					X			
Reconsideration Response - Correction Order					X			
Referral Form HCBS/DSD	X							
Request for Reconsideration Response					X			
Requirements for Rates Approvals	X							
Settlement Agreement				X				
Settlement Agreement & Supporting Documents	X			X				
Special Family Child Care	X							
Statement of Final Agency Decision				X	X			
Temporary Service Suspension and Termination Policy	X							
Variance Request - Disqualification	X							
Variance Request & Support Docs	X							
Variance Request-Disqualification	X							
Video File		X	X					
Worker's Compensation Application Document	X							
Licensing /Malx Investigations								
Audio File						X	X	X
Contacts/Strategy						X	X	X
Client File						X	X	X
Correction Order/Recommendation						X	X	X

Appendix A

	License File	Licensing Review File	Negative Action File	Appeal File	Reconsideration File	MOMA Investigation File	VAA Investigation File	Licensing Investigation File
Correspondence						X	X	X
Death Summary						X	X	
Distribution Letters						X	X	X
ID Form						X	X	X
Identification Key						X	X	X
Image File						X	X	X
Internal/Incident Review						X	X	X
Interview Form						X	X	X
Investigative Memorandum						X	X	X
Law Enforcement Information						X	X	X
Licensing Investigations								X
Licensing Investigation Report								X
Maltreatment and Licensing Report Form						X	X	X
Maltreatment Investigation Report						X	X	
Medical Record						X	X	X
Miscellaneous Facility Information						X	X	X
Miscellaneous Final Information						X	X	X
Miscellaneous Intake Information						X	X	X
Miscellaneous Investigation Information						X	X	X
Negative Action						X	X	X
Personnel File/Training Records						X	X	X
Policies and Procedures						X	X	X
Post Assessment Documents						X	X	X
Post Distribution Information						X	X	X
Privacy Notice						X	X	X
Record of Physical Evidence						X	X	X
Request for Reconsideration Response						X	X	X
Site Visit Form						X	X	X
SSIS Information						X	X	X

Appendix A

	License File	Licensing Review File	Negative Action File	Appeal File	Reconsideration File	MOMA Investigation File	VAA Investigation File	Licensing Investigation File
Video File						X	X	X