County Human Services General Records Retention Schedule

TOPIC
Revised County Human Services General Records Retention Schedule

PURPOSE
Transmit and announce the revised County Human Services General Records Retention Schedule

CONTACT
Robin Persons
DHS Records Manager
Robin.Persons@state.mn.us
651-431-5808

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

EXPIRATION DATE
December 3, 2020

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

Revision of retention instructions for the following records in order to comply with records retention regulations and assist with record-keeping requirements.

- Items 16 and 21 were deleted from the retention schedule and Items 20A, B, C, and D were added at the request of the Office of Inspector General’s Office (OIG) so that the County Human Services General Records Retention Schedule now aligns with current OIG’s record retention requirements.

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

For OIG public, private, and confidential data, see, Minnesota Statutes, section13.02, subdivisions 3, 12, and 15; and section 13.46, subdivisions 3 and 4.

For investigations, see also, Minnesota Statutes, sections 256B.04; 256B.0625; 245C.051(c); 245E.05; 626.556; 626.557; and 626.5572.

For federal audits and program integrity activities, see also, 42 C.F.R. §§ 455.1 and 455.17; and 42 U.S.C. § 1396a.

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 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.
### MINNESOTA RECORDS RETENTION SCHEDULE

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<tbody>
<tr>
<td>019-020 / September 24, 2018</td>
<td>018-050</td>
<td>Department of Human Services, Counties</td>
<td>Multiple</td>
<td>See attached page(s) for records description</td>
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### 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.

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<thead>
<tr>
<th>7. For Use By Records Panel Only</th>
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<thead>
<tr>
<th>8. Agency Records Management Officer / Date</th>
<th>11. Minnesota Historical Society, Director / Date</th>
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<tbody>
<tr>
<td>[Approved September 10, 2018]</td>
<td>[Approved September 24, 2018]</td>
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<tr>
<th>9. Type Name / Phone</th>
<th>12. Legislative or State Auditor / Date</th>
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<tbody>
<tr>
<td>Robin Persons / 651-431-5808</td>
<td>[Approved October 10, 2018]</td>
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<thead>
<tr>
<th>10. Agency Head or Designee / Date</th>
<th>13. Attorney General / Date</th>
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<tr>
<td>[Approved September 7, 2018]</td>
<td>[Approved October 5, 2018]</td>
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Minnesota Department of Human Services · PO Box 64238 · St. Paul, MN 55164-0238
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<thead>
<tr>
<th>ID</th>
<th>Record Series Name</th>
<th>Description</th>
<th>Retention Period</th>
<th>Related Statutes/References</th>
<th>Archival</th>
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<tbody>
<tr>
<td>01A</td>
<td>Administrative Operational Records</td>
<td>Statistical Data, Policy Bulletins, Procedural Material Correspondence, etc. related to the development of funding authorization and administration of agency and agency affiliated programs.</td>
<td>Retain bulletins until they are no longer in effect, then discard. Retain statistical data until no longer useful, then discard.</td>
<td>Public MS 13.03</td>
<td>No</td>
</tr>
<tr>
<td>01B</td>
<td>Investigations and Charges by Applicants or Recipients of Services Under Minnesota Human Rights</td>
<td>Investigations of and charges by applicants or recipients of services under Minnesota Human Rights.</td>
<td>7 years</td>
<td>Private MS 13.03 MS 363A.35</td>
<td>No</td>
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<tr>
<td>02</td>
<td>Case Index Cards (if used)</td>
<td>Summarized case identification data which includes names and birth dates of clients, last known address of family head, case number, programs, types of services received, date of and reason for last closing.</td>
<td>Destroy in accordance with destruction of other case data</td>
<td>Private MS 13.46 subd. 2(a)</td>
<td>No</td>
</tr>
<tr>
<td>03</td>
<td>Fiscal and Statistical Reports to the State Agency</td>
<td>Forms related to the agency staff activity reporting and the accounting office copy of agency action forms.</td>
<td>3 years after case closing or after audit</td>
<td>Public MS 13.03</td>
<td>No</td>
</tr>
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<tr>
<td>04</td>
<td>General Ledger Accounts</td>
<td>Summaries of payment detail (receipts and disbursements) and authorizations that are recorded in the books of original entry.</td>
<td>10 years after case closing or after audit</td>
<td>Public, MS 13.03</td>
<td>No</td>
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<tr>
<td>05</td>
<td>Intake Registers</td>
<td>Listings of requests for social services and financial assistance and their subsequent disposition.</td>
<td>3 years after last entry</td>
<td>Private, MS 13.46, subd. 2(a)</td>
<td>No</td>
</tr>
<tr>
<td>06</td>
<td>Minutes of County Human Services Agency Boards, Welfare Boards, Mental Health Board and Other Agency Boards</td>
<td>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).</td>
<td>Retain permanently or transfer to state archives</td>
<td>Public, Private, MS 13.03, MS 13.43, MS 13.46 subd. 2(a)</td>
<td>Yes</td>
</tr>
<tr>
<td>07</td>
<td>Paid Administration Claims (bills)</td>
<td>Individual claims (bills) for costs such as rentals, equipment, supplies. mileage, conference costs, etc.</td>
<td>6 years or after audit</td>
<td>Public, MS 13.03, MS 13.46 subd. 2</td>
<td>No</td>
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<tr>
<td>08</td>
<td>Paid General Assistance Claims</td>
<td>Individual records of claims (bills) and payments made from General Assistance funds.</td>
<td>6 years or after audit</td>
<td>Private, MS 13.46 subd. 2(a)</td>
<td>No</td>
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<tr>
<td>09</td>
<td>Paid Medical Bills</td>
<td>Claims for medical vendor payments.</td>
<td>6 years after closing or after audit</td>
<td>Private, MS 13.46 subd. 2(a)</td>
<td>No</td>
</tr>
<tr>
<td>10</td>
<td>Payment Abstracts</td>
<td>Records of checks issued and chargeable to the various welfare funds. Data includes names of clients and amounts paid.</td>
<td>6 years after closing or after audit</td>
<td>Private, MS 13.46 subd. 2(a)</td>
<td>No</td>
</tr>
<tr>
<td>11</td>
<td>Social Welfare Fund receipts, redeemed checks, and accounts</td>
<td>A - Receipts and redeemed checks. B - Ledger accounts - Summaries (receipts and disbursements) and authorizations that are recorded in the books of the original entry.</td>
<td>6 years after closing or after audit</td>
<td>Private, MS 13.46 subd. 2(a)</td>
<td>No</td>
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<tr>
<td>12</td>
<td>COS Computer Systems (Social Services)</td>
<td>Client identification data, services provided funding sources, etc. Output includes update reports (work sheets for recording social worker activity), and statistical reports.</td>
<td>3 years after case closing, or after audit</td>
<td>Public, Private, MS 13.03, MS 13.46</td>
<td>No</td>
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</table>
| 13 | Public Assistance Client Files | Including health care, cash assistance, food assistance, child care assistance, emergency assistance, and long term care assistance, and other related programs | **1. Cases closed prior to 1/1/2014:**  
   a. Retain and destroy according to approved county retention schedules in place on 12/31/2013.  
   b. Destroy documents other than exception documents* 10 years after received.  
   b. Destroy all documents 10 years after case (last program) closure.  
*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. | 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 |
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| 14 A | Social Service Case Records     | 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       |
|     | All Services Cases              |                                                                             |                                                              |                                     |          |
| 14 B | Social Service Case Records     | 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       |
|     | Title XX Funding                |                                                                             |                                                              |                                     |          |
| 14 C | Social Service Case Records     | Inter and intra agency referral forms  
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       |
|     | Required “situational” forms   |                                                                             |                                                              |                                     |          |
| 14 D | Social Service Case Records     | 1. Phone messages  
2. Supervisory instructions  
3. Routing slips | Destroy immediately after completed action | Private  
MS 13.46 subd. 2(a)               | No       |
<p>|     | Miscellaneous Case Notes        |                                                                             |                                                              |                                     |          |</p>
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<tbody>
<tr>
<td>14 E1, E2</td>
<td>Social Service Case Records</td>
<td>Forms Related to Adoption and Subsidized Adoption</td>
<td>Permanent</td>
<td>Confidential MS 259.53 subd. 3 MS 259.79 subd. 3</td>
<td>No</td>
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<tr>
<td>14 E3, E4</td>
<td>Social Service Case Records</td>
<td>Maltreatment reports, etc.</td>
<td>Maltreatment not determined and child protection services not needed, or &quot;Alternative Response&quot; 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.</td>
<td>Private, Confidential MS 626.556 subd. 11(c)</td>
<td>No</td>
</tr>
<tr>
<td>14 E5</td>
<td>Social Service Case Records</td>
<td>Forms Related to Court Requested Evaluations</td>
<td>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.</td>
<td>Private MS 13.46 subd. 2 MS 13.84 subd. 2</td>
<td>No</td>
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<tr>
<td>14 E6</td>
<td>Social Service Case Records Forms Related to Adult Protection</td>
<td>Common Entry Point and intake form Vulnerable Adult Maltreatment Report.</td>
<td>3 years if report determined to be false or not investigated and no final disposition</td>
<td>Confidential, Protected, Non-Public, Private MS 13.02, MS 626.557, subd 12b(d)</td>
<td>No</td>
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<tr>
<td>14 E7</td>
<td>Social Service Case Records Forms Related to Day Care - Children</td>
<td></td>
<td>4 years after case closing or after audit</td>
<td>Private MS 13.46 subd. 2(a)</td>
<td>No</td>
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<tr>
<td>14 E8</td>
<td>Social Service Case Records Forms Related to Foster Care - Adults</td>
<td></td>
<td>4 years after case closing or after audit</td>
<td>Private MS 13.46 subd. 2(a)</td>
<td>No</td>
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<td>14 E9</td>
<td>Social Service Case Records Forms Related to Foster Care - Children</td>
<td></td>
<td>10 years after case closing or after audit</td>
<td>Private MS 13.46 subd. 2(a)</td>
<td>No</td>
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<td>14E10</td>
<td>Social Service Case Records</td>
<td>Permanent Private, No Records MS 13.46 subd. 2(a), MR 9560.0480 subp. 2</td>
<td>Permanent</td>
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<td>No</td>
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<tr>
<td></td>
<td>Forms Related to Guardianship of Children</td>
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<td>14E11</td>
<td>Social Service Case Records</td>
<td>10 years after case closing Private No Records MS 13.46</td>
<td>10 years after case closing</td>
<td>Private MS 13.46</td>
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<td></td>
<td>Forms Related to Adult Public Guardianship</td>
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<td>Forms Related to Health Case Records</td>
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<tr>
<td>14E13</td>
<td>Social Service Case Records</td>
<td>If child is kept, destroy record 4 years after closing date. If child is placed follow adoption schedule</td>
<td></td>
<td>Private MS 13.03 MS 13.43 subd. 2 MS 13.46 subd. 2(a)</td>
<td>No</td>
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<td></td>
<td>Forms Related to Report of Child Born Out of Wedlock</td>
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<tr>
<td>14 E14</td>
<td>Social Service Case Records</td>
<td>Agreements with vendors to provide social services</td>
<td>4 years after audit</td>
<td>Public, Private MS 13.03, MS 13.46 subd. 4</td>
<td>No</td>
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<tr>
<td></td>
<td>Forms Related to Contracts with Social Service Providers</td>
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<tr>
<td>14 F1, G1, H1</td>
<td>Social Service Case Records</td>
<td>For individuals with developmental disabilities, chemical dependency, or mental illness</td>
<td>4 years after case closing or after audit</td>
<td>Private MS 13.46 subd. 2(a)</td>
<td>No</td>
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<tr>
<td></td>
<td>Fiscal and Program Reporting</td>
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<tr>
<td>14 F2, G2, H2</td>
<td>Social Service Case Records</td>
<td>Records regarding death of a ward or conservatee with developmental disabilities, chemical dependency, or mental illness</td>
<td>4 years after case closing</td>
<td>Private MS 13.46 subd. 2(a)</td>
<td>No</td>
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<tr>
<td>14 F6, G6, H6</td>
<td>Social Service Case Records</td>
<td>Retention of consumer's records for individuals with developmental disabilities, chemical dependency, or mental illness</td>
<td>3 years following termination of services</td>
<td>Private MS 13.46 subd. 2(a)</td>
<td>No</td>
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<tr>
<td>14 F7, G7, H7</td>
<td>Social Service Case Records</td>
<td>For individuals with developmental disabilities, chemical dependency, or mental illness</td>
<td>5 years after implementation of controlled procedure</td>
<td>Private MS 13.46 subd. 2(a)</td>
<td>No</td>
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<td>14</td>
<td>Social Service Case Records</td>
<td>For individuals with developmental disabilities, chemical dependency, or mental illness</td>
<td>5 years after case closing or after audit</td>
<td>Private, MS 13.46 subd. 2(a)</td>
<td>No</td>
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<td></td>
<td>Required records and reports authority, Required records and reports, County of guardianship responsibility</td>
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<tr>
<td>15</td>
<td>Volunteer Service Records</td>
<td>a) Volunteer application form</td>
<td>1 year after closing</td>
<td>Public, Private, MS 13.03, MS 13.43 subd. 2, MS 13.46 subd. 2(a)</td>
<td>No</td>
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</table>
| 16 | Support and Enforcement Case Reports   | 1) Referral to support  
2) Assignment of support  
3) Divorce Decree  
4) Application for IV-D services  
5) Court orders and referral  
6) Absent parent papers  
   a) Absent parent questionnaire  
   b) Request to DHS for assistance in locating absent parent.  
   c) Summary of contacts and efforts to locate  
7) Affidavits  
8) Copy of URESA complaint  
9) Sheriff's Department Information sheet  
10) Citizens' complaints  
11) Copies of Subpoenas  
12) Face sheet  
13) Casework abstracts  
14) Intra- and inter-office memos  
   a) Eligibility technicians  
   b) Accounting  
   c) County Attorneys' office  
15) Correspondence | Retain for 3 years after the case closes or until the final disposition of any litigation, claim, or audit, whichever is later | Private, Confidential  
MS 13.46 subd. 2(a)  
45 CFR 303.11(e) | No |
| 17 | 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 |
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<tr>
<td>18</td>
<td>Energy assistance</td>
<td>Forms containing information regarding eligibility of client for fuel assistance. Includes vendor remittance applications, income verifications, landlord agreement EAP gross and household income worksheet, intake document, abstracts, remittance advice, subgrantee invoice, quarterly progress notes, budget grant agreements, etc.</td>
<td>4 years after case closing or after audit</td>
<td>Private MS 13.03 MS 13.46 subd. 2(a)</td>
<td>No</td>
</tr>
<tr>
<td>19</td>
<td>Advisory committee records</td>
<td>Includes minutes and agendas for advisory committees, community health task forces, social services task forces, mental health task forces, etc.</td>
<td>Minutes: Permanent or transfer to State Archives All other items: 4 years</td>
<td>Public MS 13.03</td>
<td>Yes</td>
</tr>
<tr>
<td>20A</td>
<td>Office of Inspector General Records: Administrative</td>
<td>Personnel data, pre-decisional data, receipts and payments, recruitment materials, records destruction, telephone logs.</td>
<td>See Office of Inspector General Retention Schedule, § A</td>
<td>For OIG public, private, and confidential data, see, generally, MS 13.02, subds. 3, 12, and 15; and 13.46, subd. 3 and 4. For investigations, see, also, MS 256B.04; 256B.0625;</td>
<td>No</td>
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<td>Related Statutes/References</td>
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</tbody>
</table>
| 20B | 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 Office of Inspector General Retention Schedule, § B                                                  | 245C.051(c); 245E.05; 626.556, 626.557, and 626.5572.  
For federal audits and program integrity activities, see, also, 42 CFR §§ 455.1 and 455.17; and 42 USC § 1396a. | No       |
| 20C | 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 Office of Inspector General Retention Schedule, § C                                                  |                                                                                                              | No       |
| 20D | Office of Inspector General Records:  
Licensing Division | General licensing and licensing review files; licensing, maltreatment of minors, and vulnerable adults investigative data; negative action, reconsideration, and appeal records.                                                                                                                                                                     | See Office of Inspector General Retention Schedule, § D                                                  |                                                                                                              | No       |
<table>
<thead>
<tr>
<th>1. Schedule Number / Date</th>
<th>2. Revision of</th>
<th>MINNESOTA RECORDS RETENTION SCHEDULE</th>
</tr>
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<tbody>
<tr>
<td>018-035 / November 29, 2017</td>
<td>012-020, 06-069</td>
<td></td>
</tr>
<tr>
<td>3. Agency</td>
<td>4. Division/Section</td>
<td></td>
</tr>
<tr>
<td>Minnesota Department of Human Services (DHS)</td>
<td>Office of Inspector General (OIG)</td>
<td></td>
</tr>
<tr>
<td>5. Address</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PO Box 64943</td>
<td></td>
<td></td>
</tr>
<tr>
<td>St. Paul, MN 55164-0943</td>
<td></td>
<td></td>
</tr>
<tr>
<td>7. For Use By Records Panel Only</td>
<td></td>
<td></td>
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</tbody>
</table>

**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.

<table>
<thead>
<tr>
<th>8. Agency Records Management Officer / Date</th>
<th>11. Minnesota Historical Society, Director / Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Approved November 6, 2017]</td>
<td>[Approved November 28, 2017]</td>
</tr>
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</table>

<table>
<thead>
<tr>
<th>9. Type Name / Phone</th>
<th>12. Legislative or State Auditor / Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Robin Persons / 651-431-5808</td>
<td>[Approved December 15, 2017]</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>10. Agency Head or Designee / Date</th>
<th>13. Attorney General / Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Approved October 19, 2017]</td>
<td>[Approved December 7, 2017]</td>
</tr>
</tbody>
</table>

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.

<table>
<thead>
<tr>
<th>Item Number</th>
<th>Record Title and Description</th>
<th>Retention Instructions</th>
<th>Official Record Holder/Location</th>
<th>Data Practices Classification</th>
<th>Related Statutes</th>
<th>Vital</th>
<th>Archival</th>
</tr>
</thead>
<tbody>
<tr>
<td>A1</td>
<td>Background Study (BGS) payments paid by credit card or electronic fund transfer</td>
<td>Receipt data is in financial electronic system</td>
<td>Financial Operations</td>
<td></td>
<td></td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A2</td>
<td>Commissioner, Assistant Commissioner log letters and electronic mail (duplicates)</td>
<td>See DHS General Records Retention Schedule: Executive Correspondence</td>
<td>Executive Office</td>
<td>Private/Public</td>
<td></td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A4.1</td>
<td>Contracts and other legal agreements¹ - data regarding the contracting process, including related correspondence; and</td>
<td>See DHS General Records Retention Schedule: Legal Agreements</td>
<td>Contracting and Procurement Division</td>
<td>Public</td>
<td></td>
<td>No</td>
<td>No</td>
</tr>
</tbody>
</table>

¹Includes any professional/technical, interagency, grant, and data sharing agreements.)
<table>
<thead>
<tr>
<th>Item Number</th>
<th>Record Title and Description</th>
<th>Retention Instructions</th>
<th>Official Record Holder/Location</th>
<th>Data Practices Classification</th>
<th>Related Statutes</th>
<th>Vital</th>
<th>Archival</th>
</tr>
</thead>
<tbody>
<tr>
<td>requests for proposals or information and related responses, prospective bidders.</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>A4.2</td>
<td>Contracts and other legal agreements² - 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. Excludes: Items with content covered by any other record type in the DHS General or Divisional schedules.</td>
<td>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.</td>
<td>Contracting and Procurement Division</td>
<td>Public</td>
<td>No No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A5</td>
<td>Training curricula and supporting materials</td>
<td>Retain until superseded, no longer applicable, or no longer needed to support business activities</td>
<td>Responsible, business area</td>
<td>Public</td>
<td>MS 13 No No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A6</td>
<td>Data Practices requests and responses</td>
<td>See DHS General Records Retention Schedule: Data Practices Requests and Responses</td>
<td>The business area who responds to the request (the central Data Practices Office is responsible for the responses they send).</td>
<td>MS 13</td>
<td>No No</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

²Includes any professional/technical, interagency, grant, and data sharing agreements,
<table>
<thead>
<tr>
<th>Item Number</th>
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<th>Vital</th>
<th>Archival</th>
</tr>
</thead>
<tbody>
<tr>
<td>A7</td>
<td>Emails from customers and responses (Commissioner log letters and email)</td>
<td>Retain 90 days or when no longer needed</td>
<td>Individual</td>
<td>Private/Public</td>
<td>MS 13.46, subd. 4</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A8</td>
<td>Fingerprint payments</td>
<td>Payment data is in financial electronic system</td>
<td>Financial Operations</td>
<td></td>
<td></td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A9</td>
<td>General expenditures – supplies from central stores, purchase orders, EIORS, etc.</td>
<td>See DHS General Records Retention Schedule: Financial Records</td>
<td>Appropriate business unit</td>
<td>Public</td>
<td></td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A10</td>
<td>Interagency billing data for background studies</td>
<td>Retain for current year, plus three fiscal years.</td>
<td>Appropriate business unit</td>
<td>Private/Public</td>
<td>MS 13.46, subd. 2 &amp; 4</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A11</td>
<td>Inventory of office equipment with asset numbers</td>
<td>Retain for life of equipment</td>
<td>Appropriate business unit</td>
<td>Public</td>
<td></td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A12</td>
<td>Legislative reports, bill analysis, fiscal notes, summaries</td>
<td>See DHS General Records Retention Schedule: Legislative and Budget Preparation and Development Materials</td>
<td>Private/Public</td>
<td></td>
<td></td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A13</td>
<td>License fee and fine invoices, adjustments based on settlement agreements or change in license terms, credits due to closure, etc.</td>
<td>Retain for current year, plus three fiscal years.</td>
<td>Private/Public</td>
<td>MS 13.46, subd. 2 &amp; 4</td>
<td></td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A14</td>
<td>Pass through bills from Attorney General (witness expense, court reporter expense, depositions, and other litigation expenses), other division bills and payments</td>
<td>Retain for current year, plus three fiscal years.</td>
<td>Private/Public</td>
<td>MS 13.46, subd. 2 &amp; 4</td>
<td></td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>Item Number</td>
<td>Record Title and Description</td>
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</tr>
<tr>
<td>A15</td>
<td>Payments received and forwarded to the automated receipts center (payments for data requests, license applications, fines, BGS, etc.)</td>
<td>Retain for current year, plus three fiscal years.</td>
<td>Private/Public</td>
<td>MS 13.46, subd. 2 &amp; 4</td>
<td>No No</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A16</td>
<td>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</td>
<td>See DHS General Records Retention Schedule: Personnel Records</td>
<td>Supervisor/Unit Manager</td>
<td>Private/Public</td>
<td>MS 13.43, subd. 2, 3, and 4</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A17</td>
<td>Pre-decisional data (in any format)</td>
<td>Delete when final decision is made and/or documented as official record</td>
<td>Mixed; possibly nonpublic</td>
<td>Possibly attorney-client privileged or work product</td>
<td>No No</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A18</td>
<td>Receipts requesting fingerprint reimbursement</td>
<td>Retain for current year, plus three fiscal years.</td>
<td>Private/Public</td>
<td>MS 13.46, subd. 2 &amp; 4</td>
<td>No No</td>
<td></td>
<td></td>
</tr>
<tr>
<td>A19</td>
<td>Recruitment and selection materials, such as job postings and bids, resumes, cover letters, applications, test records, interview records, reference checks</td>
<td>See DHS General Records Retention Schedule: Personnel Records</td>
<td>Supervisor/Unit Manager</td>
<td>Private/Public</td>
<td>MS 13.43, subd. 2, 3, and 4</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A20</td>
<td>Requests for petty fund checks for criminal history information</td>
<td>Retain for current year, plus three fiscal years.</td>
<td></td>
<td></td>
<td></td>
<td>No</td>
<td>No</td>
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<tr>
<td>Item Number</td>
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<tr>
<td>A21</td>
<td>Summary of records destroyed</td>
<td>Permanent</td>
<td>Person destroying records</td>
<td>Public</td>
<td>MS 15.17; MS 138.17</td>
<td>No</td>
<td>No</td>
</tr>
<tr>
<td>A22</td>
<td>Telephone logs</td>
<td>Discard when no longer needed</td>
<td>Individual</td>
<td>Private/Public</td>
<td>MS 13.46, subd. 4</td>
<td>No</td>
<td>No</td>
</tr>
</tbody>
</table>

**B. Background Studies (BGS)**

<p>| 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, word of mouth information, other (For NETStudy 2.0 photographs see B10)) | 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       |</p>
<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td>B5</td>
<td>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)</td>
<td>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</td>
<td>BGS</td>
<td>Private</td>
<td>MS 13.46, subd. 2; MS 245C.051</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>B6</td>
<td>Results of the BGS / Notices sent to license holder / employer / agency / subject</td>
<td>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</td>
<td>BGS</td>
<td>Private</td>
<td>MS 13.46, subd. 2; MS 245C.051</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>B7</td>
<td>Legal determinations – Preponderance of Evidence (POE’s), statutory comparisons, etc. (determination by Legal – record maintained in BGS)</td>
<td>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</td>
<td>BGS</td>
<td>Private</td>
<td>MS 13.46, subd. 2; MS 245C.051</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>B8</td>
<td>Disqualifications (DQ) reconsiderations / appeals (decision by Legal or Commissioner – records maintained in BGS)</td>
<td>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</td>
<td>BGS</td>
<td>Private/Public</td>
<td>MS 13.46, subd. 2 &amp; 4; MS 245C.051; MS 245C.22 subd. 7</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Item Number</td>
<td>Record Title and Description</td>
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<td>Data Practices Classification</td>
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<tr>
<td>B9</td>
<td>DQ subsequent appeals outside agency / decisions (court decision record maintained in BGS)</td>
<td>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</td>
<td>BGS</td>
<td>Private/Public</td>
<td>MS 13.46, subd. 2 &amp; 4; MS 245C.051; MS 245C.22, subd. 7</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>B10</td>
<td>Photograph Images of background subjects for identification purposes submitted via NETStudy 2.0</td>
<td>Destroy 2 years after previously studied individual has not been on the master roster.</td>
<td>BGS</td>
<td>Private</td>
<td>MS 13.46, subd. 2(a) &amp; 4; MS 245C.051(c)</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>B11</td>
<td>Expungements including court filings, police reports, and court orders</td>
<td>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</td>
<td>BGS</td>
<td>Private or confidential in DHS' hands, but can submit to court to respond to petition.</td>
<td>MS 13.46; MS 609A.03, subd. 3(d).</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>
## C. Financial Fraud and Abuse Investigation

<table>
<thead>
<tr>
<th></th>
<th>Description</th>
<th>Retention Policy</th>
<th>Division</th>
<th>Access Restrictions</th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>C1</td>
<td>Surveillance and Integrity Review Section (SIRS) Provider Investigative Files Open Cases: 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.</td>
<td>Retain until case is closed or no longer needed then transfer to closed case files</td>
<td>Financial Fraud and Abuse Investigation Division</td>
<td>Public, Private and Confidential</td>
<td>MS 256B.064; MS 13.46</td>
<td>No</td>
</tr>
<tr>
<td>C2</td>
<td>SIRS Provider Investigative Files Closed Cases: 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.</td>
<td>Retain 6 years after date of closure</td>
<td>Financial Fraud and Abuse Investigation Division</td>
<td>Public, Private and Confidential</td>
<td>MS 256B.064; MS 13.46</td>
<td>No</td>
</tr>
<tr>
<td>C3</td>
<td>Child Care Provider and Recipient Investigative Files: Open Cases: Includes investigative reports, recordings of interviews, surveillance video, subpoenas, Notices of Agency Action, appeal requests, settlement documents, mediation documents, orders and any other related documents.</td>
<td>Retain until case is closed or no longer needed, then transfer to closed case files</td>
<td>Financial Fraud and Abuse Investigation Division</td>
<td>Public, Private and Confidential</td>
<td>MS 245E.05; MS 13.46</td>
<td>No</td>
</tr>
<tr>
<td></td>
<td>Child Care Provider and Recipient Investigative Files: Closed Cases: Includes investigative reports, recordings of interviews, surveillance video, subpoenas, Notices of Agency Action, appeal requests, settlement documents, mediation documents, orders, and any other related documents.</td>
<td>Retain 6 years after date of closure</td>
<td>Financial Fraud and Abuse Investigation Division</td>
<td>Public, Private and Confidential</td>
<td>MS 245E.05; MS 13.46</td>
<td>No</td>
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</tr>
<tr>
<td>C5</td>
<td>Contested Case Hearing Files: Closed Cases: May include 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.</td>
<td>Retain until closed. Retain closed cases for 6 years after closure</td>
<td>Financial Fraud and Abuse Investigation Division</td>
<td>Public, Private and Confidential</td>
<td>MS 256B.064; MS 13.46; MS 14.60</td>
<td>No</td>
</tr>
<tr>
<td>C6</td>
<td>SIRS Provider Investigation Case Logs: Database of open and closed cases, complaints by month received on the SIRS Hotline, Data Analytics Project List</td>
<td>Retain data on all open cases until closed. Retain data on closed cases for 30 years after closure</td>
<td>Financial Fraud and Abuse Investigation Division</td>
<td>Public, Private and Confidential</td>
<td>MS 256B.064; 256B.04, subd. 10</td>
<td>No</td>
</tr>
<tr>
<td>C7</td>
<td>Managed Care Organization’s (MCO) Integrity Reports: Reports by contracting entities related to integrity, fraud, abuse, and erroneous payment activity. Includes related records.</td>
<td>Retain for 10 years from receipt and then discard</td>
<td>Financial Fraud and Abuse Investigation Division</td>
<td>Public, Private and Confidential</td>
<td>MS 256B.04</td>
<td>No</td>
</tr>
<tr>
<td>C8</td>
<td>MCO Audit Files (Open): 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.</td>
<td>Retain until file is closed then transfer to closed MCO Audit Files</td>
<td>Financial Fraud and Abuse Investigation Division</td>
<td>Public, Private and Confidential</td>
<td>MS 256B.04</td>
<td>No</td>
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<tr>
<td></td>
<td>Description</td>
<td>Retention Period</td>
<td>Access Information/Confidentiality</td>
<td>MS No</td>
<td>Access/Reduction</td>
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<td>MCO Audit Files (Closed): Cases: Includes reports, records from specific MCO audits, correspondence, claims histories, records of MCO policies and procedures, MCO referrals, MCO training materials, MCO subcontractor materials, and any other related documents.</td>
<td>Retain for 10 years from close date</td>
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<td>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.</td>
<td>Retain for 15 years from date of request, then discard.</td>
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<td>MS 256B.064; 13.46, subd. 2(a) (4)</td>
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<td>C11</td>
<td>Screening Provider Tracker (Spreadsheet used to track all pending and completed provider screening site visits)</td>
<td>Retain data related to open files until closed (sent to provider enrollment). Retain data on closed cases for 30 years after closure.</td>
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<td>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.</td>
<td>Retain data on all open files until closed (sent to provider enrollment). Retain data on closed cases for 6 years after closure.</td>
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<td>Federal Audit Records</td>
<td>Maintain for 6 years after closure of audit by federal entity, then discard.</td>
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<td>42 CFR §§ 455.1 and 455.17; 42 USC § 1396a</td>
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<td>Minnesota Restricted Recipient Program (MRRP) Investigative Files: Includes investigative reports, correspondence, case log, investigation notes, Notices of Agency Action, appeal requests, and any other related documents.</td>
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<td>Personal Care Assistance Service Verification Variance Requests: Includes the request received by DHS OIG to grant a variance to the service verification requirements, as well as the response to approve, deny or withdraw such request.</td>
<td>Maintain records while variance is effective. Once variance expires, maintain records for 6 years, then discard.</td>
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42 CFR §§ 455.1 and 455.17; 42 USC § 1396a

MS 256.045

256B.0705 Personal Care Assistance Services; Mandated Service Verification
# D. Licensing Division (see Appendix A for detailed file descriptions)

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<th>Maltreatment of Minors Act (MOMA) Investigation File</th>
<th>Retain for 5 years from date of final entry in the record if not assigned or if maltreatment is not determined, 10 years if maltreatment is determined</th>
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### Licensing/Malix Investigations

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