

NUMBER

#18-85-01

DATE

March 1, 2018

OF INTEREST TO

County Directors

Social Services Supervisors and
Staff

Records Management Staff

Document and Records
Management Systems StaffFinancial Assistance Supervisors
and Staff

Mille Lacs Tribal TANF

MinnesotaCare Operations
Managers, Supervisors, and
Staff

Case Managers

ACTION/DUE DATEPlease disseminate to all staff
managing records and their
retention**EXPIRATION DATE****March 1, 2020**

County Human Services General Records Retention Schedule

TOPIC

Revised County Human Services General Records Retention Schedule

PURPOSETransmit 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

SIGNEDCHARLES 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

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

- The exception language was updated on Item 13 to ensure compliance with state and federal records retention requirements and to assist with audit and benefit recovery processes.
- Item 14 E6 was revised to reflect current retention instructions required by [MS 626.557, subd. 12b\(d\)](#).
- Item 14 E12 was updated at the request of the DHS Health Care Administration so retention instructions are now in compliance with the Affordable Care Act retention requirements [45 CFR § 155.1210](#).
- Information and Referral Slight Service Case Files (formerly Item 15) was deleted from the schedule; these records are covered by other record series.
- Item 17 was revised at the request of the Children and Family Services Administration so that it is in line with internal Child Support record retention instructions.
- Some of the records were updated to reflect the proper data privacy classification and related statute reference.

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

45 CFR § 155.1210

Minnesota Statutes, section 626.557, subdivision 12b (d)

V. Attachments

County Human Services 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.

1. Schedule Number / Date <i>018-DSO 1123/18</i>	2. Revision of 016-068	MINNESOTA RECORDS RETENTION SCHEDULE
3. Agency Department of Human Services, Counties	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 <i>Robin Persons 1/9/18</i>	11. Minnesota Historical Society, Director / Date <i>Charles C. Rogers 23 Jan 2018</i>	
9. Type Name / Phone Robin Persons / 651-431-5808	12. Legislative or State Auditor / Date <i>James Nolan 2/9/18</i>	
10. Agency Head or Designee / Date <i>[Signature] 1/2/18</i>	13. Attorney General / Date <i>[Signature] 2/1/18</i>	

Original-State Records Disposition Panel

Copy 1-Agency (after approval)

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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	Private MS 13.03 MS 363A.35	No
02	Case Index Cards (if used)	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.	Destroy in accordance with destruction of other case data	Private MS 13.46 subd. 2(a)	No
03	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
04	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
05	Intake Registers	Listings of requests for social services and financial assistance and their subsequent disposition	3 years after last entry	Private MS 13.46, subd. 2(a)	No

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ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
06	Minutes of County Human Services Agency Boards, Welfare Boards, Mental Health Board and Other Agency Boards	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
07	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
08	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
09	Paid Medical Bills	Claims for medical vendor payments.	6 years after closing or after audit	Private MS 13.46 subd. 2(a)	No

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ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
10	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
11	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)	No
12	COS Computer Systems (Social Services)	Client identification data, services provided funding sources, etc. Output includes update reports (work sheets for recording social worker activity), and statistical reports.	3 years after case closing, or after audit	Public, Private MS 13.03 MS 13.46	No

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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, child care assistance, emergency assistance, and long term care assistance, and other related programs	<p>1. Cases closed prior to 1/1/2014:</p> <p>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>a. Destroy documents other than exception documents* 10 years after received.</p> <p>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>	<p>Private</p> <p>MS 13.46 subd. 2(a)</p> <p>MS 256.98 subd. 8</p> <p>42 CFR 433.322</p> <p>42 CFR 435.914</p> <p>42 CFR, 435.923</p> <p>45 CFR 155.1210</p>	No

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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 Miscellaneous Case Notes	<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, E2	Social Service Case Records Forms Related to Adoption and Subsidized Adoption		Permanent	Confidential MS 259.53 subd. 3 MS 259.79 subd. 3	No

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ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
14 E3, E4	Social Service Case Records Forms Related to Child Protection Files	Maltreatment reports, etc.	<p>Maltreatment not determined and child protection services not needed, or "Alternative Response" case files: Destroy 5 years after case closing or after audit.</p> <p>Maltreatment determined or child protection services needed: At least 10 years after the date of the final entry in the case record.</p> <p>Order destruction of related records at school or court services agency when other records relating to the report are destroyed.</p>	Private, Confidential MS 626.556 subd. 11(c)	No
14 E5	Social Service Case Records Forms Related to Court Requested Evaluations		<p>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.</p> <p>Destroy after action - then retain 4 years after case closing.</p>	Private MS 13.46 subd. 2 MS 13.84 subd. 2	No
14 E6	Social Service Case Records Forms Related to Adult Protection	Common Entry Point and Intake form Vulnerable Adult Maltreatment Report.	<p>3 years if report determined to be false or not investigated and no final disposition</p> <p>4 years if report determined to be inconclusive</p> <p>7 years if report determined to be substantiated</p>	Confidential, Protected, Non- Public, Private MS 13.02 MS 626.557, subd 12b(d)	No

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ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
14 E7	Social Service Case Records Forms Related to Day Care - Children		4 years after case closing or after audit	Private MS 13.46 subd. 2(a)	No
14 E8	Social Service Case Records Forms Related to Foster Care - Adults		4 years after case closing or after audit	Private MS 13.46 subd. 2(a)	No
14 E9	Social Service Case Records Forms Related to Foster Care - Children		10 years after case closing or after audit	Private MS 13.46 subd. 2(a)	No
14 E10	Social Service Case Records Forms Related to Guardianship of Children		Permanent	Private, MS 13.46 subd. 2(a), MR 9560.0480 subp. 2	No
14 E11	Social Service Case Records Forms Related to Adult Public Guardianship		10 years after case closing	Private MS 13.46	No

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ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
14 E12	Social Service 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 Item 13	Private MS 13.46 subd. 2(a)	No
14 E13	Social Service Case Records Forms Related to Report of Child Born Out of Wedlock		If child is kept, destroy record 4 years after closing date. If child is placed follow adoption schedule	Private MS 13.03 MS 13.43 subd. 2 MS 13.46 subd. 2(a)	No
14 E14	Social Service Case Records 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
14 F1, G1, H1	Social Service Case Records 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

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ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
14 F2, G2, H2	Social Service Case Records 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 F6, G6, H6	Social Service Case 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 F7, G7, H7	Social Service Case Records Requirements for individual program plans proposing to use a controlled procedure	For individuals with developmental disabilities, chemical dependency, or mental illness	5 years after implementation of controlled procedure	Private MS 13.46 subd. 2(a)	No

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ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
14 F3-5, G3-5, and H3-5	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	Volunteer Service Records	a) Volunteer application form b) Cumulative service record c) Request for services d) Disposition of services and evaluations e) Inactive volunteer reports	1 year after closing	Public, Private MS 13.03 MS 13.43 subd. 2 MS 13.46 subd. 2(a)	No
16	Licensing Records	Licensing File, Licensing Investigations	7 years	Public, Private, Confidential Protected Non-Public MS 13.03 MS 13.46 subd. 4 MS 13.46 subd. 3	No

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ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
17	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 <ul style="list-style-type: none"> 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 <ul style="list-style-type: none"> 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
18	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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ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
19	Energy assistance	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, sub-grantee invoice, quarterly progress notes, budget grant agreements, etc.	4 years after case closing or after audit	Private MS 13.03 MS 13.46 subd. 2(a)	No
20	Advisory committee records	Includes minutes and agendas for advisory committees, community health task forces, social services task forces, mental health task forces, etc.	Minutes: Permanent or transfer to State Archives All other items: 4 years	Public MS 13.03	Yes
21	Fraud investigation	Data and forms relating to investigation of fraud reports.	4 years after case closing or completion of investigation	Confidential, Protected, Non-Public MS 13.03 MS 13.46 subd. 2(a) MS 13.46, subd. 3	No