

NUMBER

18-85-03

DATE

December 3, 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**

December 3, 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.

- 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, section 13.02, 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.

1. Schedule Number / Date 019-020 / September 24, 2018	2. Revision of 018-050	MINNESOTA RECORDS RETENTION SCHEDULE
3. Agency Department of Human Services, Counties	4. Division/Section Multiple	6. Page 1 of 14
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 September 10, 2018]	11. Minnesota Historical Society, Director / Date [Approved September 24, 2018]	
9. Type Name / Phone Robin Persons / 651-431-5808	12. Legislative or State Auditor / Date [Approved October 10, 2018]	
10. Agency Head or Designee / Date [Approved September 7, 2018]	13. Attorney General / Date [Approved October 5, 2018]	

Original-State Records Disposition Panel

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

ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
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
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

ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
09	Paid Medical Bills	Claims for medical vendor payments.	6 years after closing or after audit	Private MS 13.46 subd. 2(a)	No
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

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 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>	<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

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

ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
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
14 E3, E4	Social Service Case Records 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 E5	Social Service Case Records 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

ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
14 E6	Social Service Case Records Forms Related to Adult Protection	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
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

ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
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
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

ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
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
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

ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
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

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

ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
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

ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
18	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
19	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
20A	Office of Inspector General Records: Administrative	Personnel data, pre-decisional data, receipts and payments, recruitment materials, records destruction, telephone logs.	See 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;	No

ID	Record Series Name	Description	Retention Period	Related Statutes/ References	Archival
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, <i>see, also</i> , 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 <i>See</i> Office of Inspector General Retention Schedule, § D.

1. Schedule Number / Date 018-035 / November 29, 2017	2. Revision of 012-020, 06-069	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		
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 November 6, 2017]	11. Minnesota Historical Society, Director / Date [Approved November 28, 2017]	
9. Type Name / Phone Robin Persons / 651-431-5808	12. Legislative or State Auditor / Date [Approved December 15, 2017]	
10. Agency Head or Designee / Date [Approved October 19, 2017]	13. Attorney General / Date [Approved December 7, 2017]	

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 Number	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Related Statutes	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 (BGS) 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	Executive Office	Private/Public		No	No
A3	Continuity of Operations Plan	See DHS General Records Retention Schedule: Continuity of Operations Plans	Business Continuity Director	Private		No	No
A4.1	Contracts and other legal agreements ¹ - data regarding the contracting process, including related correspondence; and	See DHS General Records Retention Schedule: Legal Agreements	Contracting and Procurement Division	Public		No	No

¹Includes any professional/ technical, interagency, grant, and data sharing agreements),

Item Number	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Related Statutes	Vital	Archival
	requests for proposals or information and related responses, prospective bidders.						
A4.2	Contracts and other legal agreements ² - 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.	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.	Contracting and Procurement Division	Public		No	No
A5	Training curricula and supporting materials	Retain until superseded, no longer applicable, or no longer needed to support business activities	Responsible business area	Public	MS 13	No	No
A6	Data Practices requests and responses	See DHS General Records Retention Schedule: Data Practices Requests and Responses	The business area who responds to the request (the central Data Practices Office is responsible for the responses they send).		MS 13	No	No

²Includes (includes any professional/technical, interagency, grant, and data sharing agreements),

Item Number	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Related Statutes	Vital	Archival
A7	Emails from customers and responses (Commissioner log letters and email)	Retain 90 days or when no longer needed	Individual	Private/Public	MS 13.46, subd. 4	No	No
A8	Fingerprint payments	Payment data is in financial electronic system	Financial Operations			No	No
A9	General expenditures – supplies from central stores, purchase orders, EIORs, etc.	See DHS General Records Retention Schedule: Financial Records	Appropriate business unit	Public		No	No
A10	Interagency billing data for background studies	Retain for current year, plus three fiscal years.	Appropriate business unit	Private/Public	MS 13.46, subd. 2 & 4	No	No
A11	Inventory of office equipment with asset numbers	Retain for life of equipment	Appropriate business unit	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.		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.		Private/Public	MS 13.46, subd. 2 & 4	No	No

Item Number	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Related Statutes	Vital	Archival
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.		Private/Public	MS 13.46, subd. 2 & 4	No	No
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.		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, 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				No	No

Item Number	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Related Statutes	Vital	Archival
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
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, word of mouth 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

Item Number	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Related Statutes	Vital	Archival
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
B6	Results of the BGS / 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; MS 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; MS 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 ; MS 245C.051; MS 245C.22 subd. 7	Yes	No

Item Number	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Related Statutes	Vital	Archival
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; MS 245C.051; MS 245C.22, subd. 7	Yes	No
B10	Photograph Images of background subjects for identification purposes submitted via NETStudy 2.O	Destroy 2 years after previously studied individual has not been on the master roster.	BGS	Private	MS 13.46, subd. 2(a) & 4; MS 245C.051(c)	Yes	No
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 which has been reported to DHS	BGS	Private or confidential in DHS' hands, but can submit to court to respond to petition.	MS 13.46; MS 609A.03, subd. 3(d).	Yes	No

C. Financial Fraud and Abuse Investigation

C1	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.	Retain until case is closed or no longer needed then transfer to closed case files	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 256B.064; MS 13.46	No	No
C2	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.	Retain 6 years after date of closure	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 256B.064; MS 13.46	No	No
C3	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.	Retain until case is closed or no longer needed, then transfer to closed case files	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 245E.05; MS 13.46	No	No

C4	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.	Retain 6 years after date of closure	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 245E.05; MS 13.46	No	No
C5	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.	Retain until closed. Retain closed cases for 6 years after closure	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 256B.064; MS 13.46; MS 14.60	No	No
C6	SIRS Provider Investigation Case Logs: Database of open and closed cases, complaints by month received on the SIRS Hotline, Data Analytics Project List	Retain data on all open cases until closed. Retain data on closed cases for 30 years after closure	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 256B.064; 256B.04, subd. 10	No	No
C7	Managed Care Organization's (MCO) Integrity Reports: Reports by contracting entities related to integrity, fraud, abuse, and erroneous payment activity. Includes related records.	Retain for 10 years from receipt and then discard	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 256B.04	No	No
C8	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.	Retain until file is closed then transfer to closed MCO Audit Files	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 256B.04	No	No

C9	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.	Retain for 10 years from close date	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 256B.04	No	No
C10	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.	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 256B.064; 13.46, subd. 2(a) (4).	No	No
C11	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.	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 256B.04, subd. 21 and 22	No	No
C12	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.	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 256B.04, subd. 21 and 22	No	No
C13	Federal Audit Records	Maintain for 6 years after closure of audit by federal entity, then discard.	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	42 CFR §§ 455.1 and 455.17; 42 USC § 1396a	No	No

C14	Federal Program Integrity Reporting Activities	Retain for 6 years from submission to federal authority, then discard.	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	42 CFR §§ 455.1 and 455.17; 42 USC § 1396a	No	No
C15	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.	10 years, then discard.	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 256B.0625; MS 13.46	No	No
C16	MRRP Administrative Files: Includes correspondence, referral information, reconsideration of claims, notes, and any other related documents	10 years, then discard.	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 256B.0625; MS 13.46	No	No
C17	MRRP Appeals Files: Includes request for hearing, notice of hearing, hearing documents, exhibit list, appeal summary, Commissioner's order.	10 years, then discard.	Financial Fraud and Abuse Investigation Division	Public, Private and Confidential	MS 256B.0625; MS 13.46; MS 256.045	No	No
C18	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.	Maintain records while variance is effective. Once variance expires, maintain records for 6 years, then discard.	Financial Fraud and Abuse Investigation Division.	Public, Private and Confidential	256B.0705 Personal Care Assistance Services; Mandated Service Verification	No	No

D. Licensing Division (see Appendix A for detailed file descriptions)

D1	Maltreatment of Minors Act (MOMA) Investigation File	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	Licensing Divisions / Electronic Document Management System (EDMS)	Public, Private and Confidential	626.556 subd. 11c (a)	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 years if finding is inconclusive, 7 years if finding is substantiated	Licensing Division/EDMS	Public, Private and Confidential	MS 626.557 subd 12b (d) (1)	No	No
D3	Licensing Investigation File	7 years from the date of closure of the license	Licensing Division/EDMS	Private/Public	MS 13.46, subd. 2 & 4	No	No
D4	License File	7 years from the date of closure of the license	Licensing Division/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	Licensing Division/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	Licensing Division/EDMS	Private/Public	MS 13.46, subd. 2 & 4	No	No
D7	Reconsideration File	50 years from the date of closure of the license	Licensing Division/EDMS	Private/Public	MS 3.46, subd. 2 & 4; MS 245C.22, subd. 7	No	No

D8	Appeal File	50 years from the date of closure of the license	Licensing Division/EDMS	Private/Public		No	No
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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							

Appendix A

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

Appendix A

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