

NUMBER
24-85-01

DATE
September 27, 2024

County Human Services General Records Retention Schedule

OF INTEREST TO

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

ACTION/DUE DATE

Please disseminate to all staff
managing records and their
retention

EXPIRATION DATE

October 1, 2027

TOPIC

County Human Services General Records Retention Schedule

PURPOSE

Transmit and announce the County Human Services General Records
Retention Schedule

CONTACT

Randi Gigley
DHS Records Manager
randi.gigley@state.mn.us

651-431-6832

SIGNED



Nikki Farago
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.

Revisions to County Human Services General Records Retention Schedule regarding Child Care Assistance program provider records and electronic benefit transfer cards. Includes the reference schedules for DHS Office of Inspector General and DHS General Records.

II. Action Required

Counties have two options:

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

III. Timeline

Records retention requirements should be implemented immediately.

IV. Legal References

See related statutes/references on attached record retention schedules.

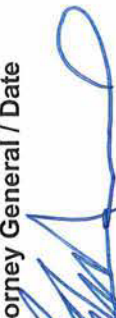
County Human Services General Records Retention Schedule

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

Americans with Disabilities Act (ADA) Advisory

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

1. Schedule Number / Date 021-052 5/19/21	2. Revision of 015-035 018-035	MINNESOTA RECORDS RETENTION SCHEDULE 6. Page 1 of 16 (including Appendix A)	
3. Agency Minnesota Department of Human Services (DHS)	4. Division/Section Office of Inspector General (OIG)	See attached page(s) for records description	
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 <i>Robin Persons</i> May 19, 2021	11. Minnesota Historical Society, Director / Date <i>Charles Rortgen</i> 20 May 2021		
9. Type Name / Phone Robin Persons / 651-431-5808	12. Legislative or State Auditor / Date <i>Janet M...</i> 6-10-21		
10. Agency Head or Designee / Date <i>Kulawi R. Mori</i> 12 May 2021	13. Attorney General / Date <i>[Signature]</i> 6/3/2021		

1. Schedule Number / Date 025-022 8/19/2024	2. Revision of 020-060	MINNESOTA RECORDS RETENTION SCHEDULE
3. Agency Department of Human Services, Counties/Tribes	4. Division/Section Multiple	6. Page 1 of 13
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 Anita Moonen <small>Digitally signed by Anita Moonen Date: 2024.06.12 11:54:15 -05'00'</small>	11. Minnesota Historical Society, Director / Date <i>Charles Coffey 21 Aug 2024</i>	
9. Type Name / Phone	12. Legislative or State Auditor / Date <i>Judy Randall 9/10/24</i>	
10. Agency Head or Designee / Date Nikki Farago <small>Digitally signed by Nikki Farago Date: 2024.08.19 12:11:36 -05'00'</small>	13. Attorney General / Date  9/6/24	

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 from close of investigation	Private MS 13.03 MS 363A.35	No
02	Fiscal and Statistical Reports to the State Agency	Forms related to the agency staff activity reporting and the accounting office copy of agency action forms.	3 years after case closing or after audit	Public MS 13.03	No
03	General Ledger Accounts	Summaries of payment detail (receipts and disbursements) and authorizations that are recorded in the books of original entry.	10 years after case closing or after audit	Public MS 13.03	No

020-060

County/Tribes Human Services General Records Retention Schedule

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

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County/Tribes Human Services General Records Retention Schedule

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

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County/Tribes Human Services General Records Retention Schedule

ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
09	Payment Abstracts	Records of checks issued and chargeable to the various welfare funds. Data includes names of clients and amounts paid.	6 years after closing or after audit	Private MS 13.46 subd. 2(a)	No
10	Social Welfare Fund receipts, redeemed checks, and accounts	A - Receipts and redeemed checks. B - Ledger accounts - Summaries (receipts and disbursements) and authorizations that are recorded in the books of the original entry.	6 years after closing or after audit	Private MS 13.46 subd. 2(a) MS 256.88 MS 256.89 MS 256.90 MS 256.91	No
11	Federal Tax Information: Security Guidelines and Safeguards	Documentation to comply with IRS Pub 1075 1. Electronic and Non-Electronic FTI Logs, Section 3.2 2. Converted Media, Section 3.2 3. Visitor Access Logs, Section 4.3.1 4. Disclosure Awareness Certification, Section 6.3 5. Internal Inspections, Section 6.4	Retain for 5 years	6 U.S.C. § 6103 (p)(4)(A); IRS Pub 1075	No
12	Vulnerable Child and Adult Act Plans	Service plans which reflect current policy and procedures regarding requirements and use of funds under MS 256B.	Retain current plan on file. Submit current plan electronically to DHS Child Safety and Permanency Division	MS 256M	No

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County/Tribes Human Services General Records Retention Schedule

ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
13.A.	Public Assistance Client Files	Including health care, cash assistance, food assistance (SNAP), child care assistance, emergency assistance, and long term care assistance, case index cards (if used) and other related programs.	<p>1. Cases closed prior to 1/1/2014:</p> <ol style="list-style-type: none"> a. Retain and destroy according to approved county retention schedules in place on 12/31/2013. <p>2. Cases open, pending, or otherwise active on or after 1/1/2014:</p> <ol style="list-style-type: none"> a. Destroy documents other than exception documents* 10 years after received. b. Destroy all documents 10 years after case (last program) closure. <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 and assets protected by long-term care partnership policies; guardianship, power of attorney or authorized representative; asset assessments for planning purposes; liens against real property; unpaid overpayment information; and fraud, disqualification, and conviction documentation.</p> <p>10-year retention based on 45 CFR 155.1210</p>	Private MS 13.46 subd. 2(a) MS 256.98 subd. 8 42 CFR 433.322 42 CFR 435.914 42 CFR, 435.923 45 CFR 155.1210	No

Schedule No.	Schedule	Page 7 of 15
020-060	<p align="center">County/Tribes Human Services General Records Retention Schedule</p>	
13 B	Child Care Assistance Program Provider Records Billing forms, MEC ² PRO User Agreements, provider registration forms and related documentation, provider change report forms, attendance records (if gathered)	10 years after the date of receipt
		Private MS 13.46 subds. 2(a) & 4 MS 119B.11, subd. 2a MS 119B.125 MS 245E.05, subd. 2 MS 245A.041, subd. 3 MS 256.98, subd. 8 45 CFR 98.60(i)
		<p align="center">NO</p>

14	Electronic Benefit Transfer (EBT) cards	EBT Card issuance logs	Retain for 3 years	7 CFR 274.5
				NO

ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
15 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
15 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
15 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
15 D	Social Service Case Records	<ol style="list-style-type: none"> 1. Phone messages 2. Supervisory instructions 3. Routing slips 	Destroy immediately after completed action	Private MS 13.46 subd. 2(a)	No
15 E1	Social Service Case Records Adoption and Subsidized Adoption	Forms related to adoption and subsidized adoption.	Permanent	Confidential MS 259.53 subd. 3 MS 259.79 subd. 3	No

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

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County/Tribes Human Services General Records Retention Schedule

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

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County/Tribes Human Services General Records Retention Schedule

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



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

ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
18A.	Office of Inspector General Records: Administrative	Personnel data, pre-decisional data, receipts and payments, recruitment materials, records destruction, telephone logs.	See DHS General Records Retention Schedule Telephone logs: See attached DHS Office of Inspector General Retention Schedule, § A	For OIG public, private, and confidential data, <i>see, generally</i> , MS 13.02, subds. 3, 12, and 15; and 13.46, subd. 3 and 4. For investigations, <i>see, also</i> , MS 256B.04; 256B.0625; 245C.051(c); 245E.05; 626.556, 626.557, and 626.5572. For federal audits and program integrity activities, <i>see, also</i> , 42 CFR §§ 455.1 and 455.17; and 42 USC § 1396a.	No
18B.	Office of Inspector General Records: Background Studies Division	Consent forms; fingerprint cards; receipts, payments, billings; interagency agreements; criminal history, maltreatment investigative, and background study results data; preponderance of evidence, statutory comparison, and reconsideration determinations; court decisions; background study subject photographs; expungement data.	See attached DHS Office of Inspector General Retention Schedule, § B	For OIG public, private, and confidential data, <i>see, generally</i> , MS 13.02, subds. 3, 12, and 15; and 13.46, subd. 3 and 4. For investigations, <i>see, also</i> , MS 256B.04; 256B.0625; 245C.051(c); 245E.05; 626.556, 626.557, and 626.5572. For federal audits and program integrity activities, <i>see, also</i> , 42 CFR §§ 455.1 and 455.17; and 42 USC § 1396a.	No

ID	Record Series Name	Description	Retention Period	Related Statutes/References	Archival
18C.	Office of Inspector General Records: Program Integrity Oversight Division	Surveillance and integrity review and child care assistance investigative files and case logs (active and closed); contested case hearings closed files; managed care organizations integrity and audit records; data analytics requests; provider site visit screening data; federal audits and program integrity records; restricted recipient program referral and investigative data; personal care assistance data.	See attached DHS Office of Inspector General Retention Schedule, § C	For OIG public, private, and confidential data, <i>see, generally</i> , MS 13.02, subds. 3, 12, and 15; and 13.46, subd. 3 and 4. For investigations, <i>see, also</i> , MS 256B.04; 256B.0625; 245C.051(c); 245E.05; 626.556, 626.557, and 626.5572. For federal audits and program integrity activities, <i>see, also</i> , 42 CFR §§ 455.1 and 455.17; and 42 USC § 1396a.	No
18D.	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 attached DHS Office of Inspector General Retention Schedule, § D	For OIG public, private, and confidential data, <i>see, generally</i> , MS 13.02, subds. 3, 12, and 15; and 13.46, subd. 3 and 4. For investigations, <i>see, also</i> , MS 256B.04; 256B.0625; 245C.051(c); 245E.05; 626.556, 626.557, and 626.5572. For federal audits and program integrity activities, <i>see, also</i> , 42 CFR §§ 455.1 and 455.17; and 42 USC § 1396a.	No

1. Schedule Number / Date 022-018 10/1/2021	2. Revision of 021-005	MINNESOTA RECORDS RETENTION SCHEDULE
3. Agency Department of Human Services	4. Division/Section General Schedule	
5. Address 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.		
8. Agency Records Management Officer / Date <i>Robin Persons</i> September 13, 2021	11. Minnesota Historical Society, Director / Date <i>Charles Grogan</i> 11 Oct 2021	
9. Type Name / Phone Robin Persons / 651-431-5808	12. Legislative or State Auditor / Date  10/29/21	
10. Agency Head or Designee / Date Chuck Johnson Digitally signed by Chuck Johnson Date: 2021.09.30 13:30:23 -05'00'	13. Attorney General / Date  10/20/21	

Original-State Records Disposition Panel

Copy 1-Agency (after approval)

Schedule No.	Agency	Page 2 of 13
Department of Human Services		

Item	Record Type	Record description	Retention Instructions	Related Statutes	Official Record Holder	Vital?	Archival?
1	Administrative safeguards for protected information	Records regarding requesting, granting, recertifying, and terminating access to facilities and electronic information systems that contain DHS data. Include but are not limited to <ul style="list-style-type: none"> • Access requests to systems or facilities • Oaths to comply with access policies • Recertification forms • Notice/request to terminate access to systems or facilities • Facility access logs • Electronic information system access logs 	Retain records six years from the date of creation or date last in effect, whichever is later.	45 CFR 164.530	Systems related records: MIN.IT at DHS Centralized Access Management, Facilities-related records: Management Services Division Security Department Access Control Coordinator.	Yes	No
2	Client Records	Records regarding assistance applied for or provided to DHS program clients and program participants.	Retention dependent on program area. See applicable divisional schedule.				No
3	Contact Center Telephone Call Recordings	Recordings of DHS contact center incoming and outgoing customer telephone calls used for customer service/employee quality assurance purposes.	All recorded calls: Deleted end of day received except: Calls evaluated by an evaluator/supervisor/manager: 13 months Calls flagged for Health Care Applications: Retain for 10 years Calls flagged for other reasons: follow the appropriate retention schedule		Appropriate evaluator/supervisor/manager	No	No
4	Continuity of Operations Plans (COOPs)	Continuity of operations plans (includes response, recovery, resumption) for each business area. Also known as "COOPs" or "Business Continuity Plans."	Discard when superseded.		Business Continuity Director	Yes	No
5	Covid-19 Waivers and Amendments	Waivers and amendments issued during Covid-19 pandemic, supporting documentation, assessment of risks, service delivery, and related financial and operational records. Stored in Agile database.	Retain for ten years, then transfer to MIN State Archives for selection and disposition	MS 13.46 45 CFR 155.1210	DHS Commissioner's Office	Yes	Yes
6	Curriculum	Training materials.	Retention dependent on program area. See applicable divisional schedule.				No

****Important:** Regardless of Retention Instructions above, **DO NOT DESTROY** records that are subject to a legal hold or active audit or investigation until the hold is lifted or audit/investigation concluded.**

Department of Human Services

Item	Record Type	Record description	Retention Instructions	Related Statutes	Official Record Holder	Vital?	Archival?
7	Data Practices Requests and Responses	Requests for public or protected DHS data, records, or information and DHS responses to these requests. Does not include: Records of releases of information in client/recipient files; these are part of those files and should be retained according to the applicable case file retention guidelines. Responses to public safety inquiries including for gun permits, taxi licenses, explosives. These may be destroyed once responses are sent.	Informal requests and responses to them with verbal responses or with written responses that include only existing readily-available public data or documents may be discarded after resolved. Written Data Requests under the Minnesota Data Practices Act and responses to the request should be retained for one year after the response is sent. Data requests tracking logs should be retained for one year after the response is sent. Responses to public safety inquiries including for gun permits, taxi licenses, and explosives may be destroyed once responses are sent.	MS 13	The business area that who sends the response to the requester is responsible for saving a copy of the request and the response to the request (even if data is compiled by another business area).	No	No
8	DHS Bulletins	Bulletins communicate official department policy to counties, tribes and other organizations. Bulletins are used when DHS wants to communicate with all Minnesota county and tribal human service agencies for such reasons as to: announce, clarify, and give additional detail about policies and programs; announce changes in rules and statutes; request information; share information about funding allocations and administration that county and tribal staff need for annual budgeting and planning.	Retain while in effect plus two years, then transfer to Archives for selection and disposition. (Convenience copies are retained on the DHS Public Website while the Bulletin is in effect, three years, and deleted from the web content management system when no longer in effect.)		Compliance Office: Management and Policy Division	Yes	Yes

****Important:** Regardless of Retention Instructions above, **DO NOT DESTROY** records that are subject to a legal hold or active audit or investigation until the hold is lifted or audit/investigation concluded. **

Item	Record Type	Record description	Retention Instructions	Related Statutes	Official Record Holder	Vital?	Archival?
9	Employee Calendars	<p>Electronic or paper calendars showing meetings and related information.</p> <p>Does not include team or committee meeting schedules or blank calendars showing holidays or important dates.</p> <p>Calendar items are not official repositories for records attached to them. Attachments to calendar items should be considered convenience copies and may be deleted. Official copies of records attached to calendar items should be stored in another location.</p>	<p>Current employees: Retain calendar data as long as needed for business purposes or legally necessary, then destroy</p> <p>Former Employees: Calendars should be deleted/destroyed upon separation from the agency.</p>		Employee	No	No
10	Executive Correspondence	<p>Official correspondence of DHS Commissioner, Deputy Commissioners, and Assistant Commissioners with content that does not fall under another record type. Items that are specifically and primarily related to another record type should be managed as/with that record type. Examples include:</p> <ul style="list-style-type: none"> • Litigation • Human resources/personnel issues • Contracts • Projects • Finance • Data Practices and general information requests and responses (managed by Data Privacy Officer or Communications Office) <p>Correspondence may be considered "official" if it:</p> <ul style="list-style-type: none"> • Is received from outside of DHS directly by the Commissioner or an Assistant Commissioner or Deputy Commissioner and is not one of the excluded items below. • Is sent outside of DHS by the Commissioner or an Assistant or Deputy Commissioner and is not one of the excluded items below. • Is directed to an Assistant Commissioner for response by the Commissioner or Governor's Office. • Excluded: <ul style="list-style-type: none"> ○ Mass mailings ○ Invitations ○ Personal, non-business-related correspondence ○ Courtesy copies 	<p>Retain for two years after resolution.</p>		For incoming items: the recipient; for outgoing items, the sender (even if composed by another area).	Yes	Yes

****Important:** Regardless of Retention Instructions above, **DO NOT DESTROY** records that are subject to a legal hold or active audit or investigation until the hold is lifted or audit/investigation concluded. **

Item	Record Type	Record description	Retention Instructions	Related Statutes	Official Record Holder	Vital?	Archival?
11	Federal Oversight and Agreements	<p>Formal interactions with Federal governing bodies or officials. Includes but is not limited to:</p> <ul style="list-style-type: none"> • State Plans and amendments • Waiver Plans and amendments • Communications with CMS or other federal agencies related to setting or negotiating rates, benefits or policy 	Review Regulatory Communications 50 years after sent or received, retain any items still applicable, discard communications not relevant or needed for current business.		Primary business area sending or receiving the communication	Yes	No
12	Federal Tax Information (FTI); Security Guidelines and Safeguards	<p>Documentation to Comply with IRS Publication 1075</p> <ol style="list-style-type: none"> 1. Electronic and Non-Electronic FTI Logs, Section 3.2 2. Converted Media, Section 3.2 3. Visitor Access Logs, Section 4.3.1 4. Disclosure Awareness Certification, Section 6.3 5. Internal Inspections, Section 6.4 	Retain for five years	6 U.S.C. § 6103 (p)(4)(A); IRS Pub 1075	Primary business area	Yes	No
13	Financial Records	<p>Documentation of monies paid, received, owed by or to, and assets of the Department. Includes</p> <ul style="list-style-type: none"> • Accounts payable • Accounts receivable • Invoices • Payroll documentation • Purchase orders • Expense reports • Requisitions • Inventories <p>DHS financial records are largely centralized in the Financial Operations area (or Direct Care and Treatment Financial Operations for those business areas). See Financial Operations Schedule for more details.</p>	<p>See the DHS Financial Operations Schedule and Statewide Accounting Schedule, retention is generally current Fiscal Year plus 3 with some exceptions. Business areas may destroy local copies of financial records submitted to Financial Operations as soon as they are submitted, and must destroy them by the time they are 4 fiscal years old.</p>		<p>Purchase Orders: Procurement and Acquisitions or Financial Operations (depending on type)</p> <p>Other financial record types: Central Office Financial Operations, Direct Care and Treatment Financial Operations</p> <p>Note: The official copy of some financial records may be housed in the state electronic financial system.</p>	Yes	No

****Important:** Regardless of Retention Instructions above, **DO NOT DESTROY** records that are subject to a legal hold or active audit or investigation until the hold is lifted or audit/investigation concluded. **

Item	Record Type	Record description	Retention Instructions	Related Statutes	Official Record Holder	Vital?	Archival?
14	Informational Communications	<p>Informational communications to the general public or broad audiences, examples:</p> <ul style="list-style-type: none"> • News releases • Fact sheets • Brochures 	<p>Brochures and forms that The DHS Communications Office produces for business areas: The Communications Office retains the most current versions for graphic design purposes. If divisions have business reasons for retaining obsolete copies of publications, see the applicable divisional retention schedule for retention instructions. If not specified in divisional schedules, retain until superseded or no longer applicable.</p> <p>Official records of DHS-wide communications such as Fact Sheets and News Releases are retained by the Communications Office and included in their retention schedule.</p>		<p>Communications Office for items they produce, business areas for items they submit to the Communications Office for publishing or distribution.</p>	No	No

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Item	Record Type	Record description	Retention Instructions	Related Statutes	Official Record Holder	Vital?	Archival?
15	Legal Agreements	<p>A. Legally-binding agreements between DHS and other entities or individuals, including but not limited to:</p> <ul style="list-style-type: none"> • Contracts • Grants (incoming and outgoing) • Statements of Understanding • Annual Plans • Interagency Agreements • Memorandums of Understanding or Agreement • Data Sharing Agreements • Any official amendments, attachments, exhibits, and forms related to an agreement <p>B. Supporting documentation including but not limited to:</p> <ul style="list-style-type: none"> • Requests for Proposal, Information, or Bid and responses to these • List of prospective bidders • Evaluative data described in MS 13.591, subd. 4 • Correspondence about agreements <p>Drafts should be discarded once final versions are approved.</p> <p>This item applies to all DHS legal agreements unless specified otherwise in the applicable divisional schedule.</p> <p>Excludes: settlements related to legal disputes, see "Litigation and Legal Advice" for direction regarding retention of settlements.</p> <p>Note: If you have any questions, please consult the DHS Contract Manual or contact the Contracting and Legal Compliance Division for additional guidance.</p>	<p>A. Six Year Retention Requirement The Request for Proposal, the selected response from a Request for Proposals or Resolicited Request for Proposals, its related evaluation data, the resulting contract, conflict of interest attestations, and all other related legal agreements (e.g., attachments), and all other required statements should be retained for six years after the agreement expires and then discarded, unless a business unit has specified a longer retention period in its retention schedule.</p> <p>B. One Year Retention Requirement Responses to Requests for Information ("RFI") and unselected responses to a Request for Proposals ("proposals") and related evaluative data should be destroyed one year after "completion of the evaluation process" as defined in MS 13.591, subd. 3(b).</p> <p>Retention when all Proposals are rejected If all proposals are rejected prior to completion of the evaluation process (as defined in MS 13.591, subd. 3(b) and a resolicitation of the same or a substantially similar proposal occurs, the previously rejected proposals, their evaluation data, their Conflict of Interest attestations, and all other Required Statements, along with the <i>resolicited but new unselected</i> proposals and their evaluation data, their Conflict of Interest attestations, and all other Required Statements, all must be retained until one year after the resolicitation results in completion of the evaluation process or a determination is made to abandon the Resolicited Request for Proposals.</p>	<p>MS sec. 16C.05, subd. 2(d); and MS sec. 13.591, subd. 3(b).</p>	<p>The official record of legal agreements, attachments, exhibits, and amendments is retained by the Contracting and Legal Compliance Division.</p> <p>Copies of legal agreements not processed through Contracting and Legal Compliance should be forwarded to them upon completion.</p> <p>Business units may retain local copies but should destroy them according to this retention schedule unless they have specified a longer retention period in their retention schedule.</p> <p>The official record of supporting documentation including Requests for Proposals, Information, or Bid, and responses to these is retained by the business area involved in the agreement.</p>	Yes	No

****Important:** Regardless of Retention Instructions above, **DO NOT DESTROY** records that are subject to a legal hold or active audit or investigation until the hold is lifted or audit/investigation concluded.**

Item	Record Type	Record description	Retention Instructions	Related Statutes	Official Record Holder	Vital?	Archival?
16	Legislative and Budget Preparation and Development Materials	Items related to bill and budget (including biennial and capital budgets) development. Includes but is not limited to fiscal notes, proposals, tracking forms, working papers, research, correspondence, and presentations. Does not include copies of bills or bill summaries (these are accessible via the Revisor's Office and do not need to be retained at DHS).	Retain six years after session ends. Only the final version/draft of a document needs to be retained, prior versions can be discarded immediately. Official record of items submitted to DHS' central budget and legislative office is retained by that office. Items not submitted centrally are retained locally. Note: MMB holds the statewide official record of the biennial budget and Fiscal Notes, however, DHS Operations budget and legislative offices hold DHS' official copies of these.		Central budget and legislative office for items submitted to them/that they submit to the Governor's Office or MMB, business areas for their internal items	No	No
17	Litigation and Legal Advice	Records regarding legal actions by or against the Department or advice on legal matters. Includes case pleadings and litigation; defense and indemnification records; legal advice from the Attorney General's Office, DHS General Counsel Office, Licensing Division, and Appeals Division; licensing appeals and settlements; litigation hold documentation; notice of claims documentation; documents related to judicial review of public assistance appeals; settlement agreements; and all related correspondence, files, and other documentation. Excludes: <ul style="list-style-type: none"> • Rulemaking (see "Rulemaking File") • Contracts and similar legal agreements (see "Legal Agreements") • Appeals managed by the Appeals division (See the Compliance Office Retention Schedule) 	The DHS General Counsel Office and other DHS legal units retain the official records for many of these types of legal documents. Generally, items are retained six years after a matter is resolved. See the Retention Schedule for the legal unit involved for specific retention periods. Legal records retained by other business units should retain them six years after the matter is resolved. Longer retention periods may be specified in divisional schedules.		Legal Advice: The DHS General Counsel's Office or other DHS legal unit retains the official record of legal advice they have given. Legal advice received directly from the Attorney General's Office is retained by the unit receiving it. Other Legal Records: Official records are held by the business area/s involved in the legal issue; if uncertain who holds the official record consult the General Counsel Office.	Yes	No

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Schedule No.

Agency

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Department of Human Services

Item	Record Type	Record description	Retention Instructions	Related Statutes	Official Record Holder	Vital?	Archival?
18	Organizational Charts	Official copies of DHS organizational charts and departmental organization.	The Management Services Division is the official holder of DHS' official organizational charts and retains obsolete versions permanently. Business areas with copies may discard these when no longer needed.		Management Services Division	No	No

****Important:** Regardless of Retention Instructions above, **DO NOT DESTROY** records that are subject to a legal hold or active audit or investigation until the hold is lifted or audit/investigation concluded. **

Item	Record Type	Record description	Retention Instructions	Related Statutes	Official Record Holder	Vital?	Archival?
19	Personnel Records	<p>Records regarding personnel actions, positions, and staff. Personnel records include both those housed with the DHS Central Human Resources Office as well as files on employees held by supervisors. Include</p> <ul style="list-style-type: none"> • Position recruitment and selection (hiring) materials • Training records (in Learning Management System or elsewhere) • Position descriptions • Performance reviews, employee development interview documents • Letters of commendation • Letters of complaint • Supervisors' notes regarding employee performance or attendance • Documentation of outstanding performance or special projects • Documentation of warnings discussed with the employee • Documentation of oral reprimands • Documentation of discussions with employees regarding job expectations, attendance, behavior, performance, policies and procedures, etc. • Documentation of discussions held at the time formal discipline is given • Letters of expectations • Discipline letters • Documentation of discussion of issues that may lead to formal investigations • Observed facts about the employee • Requests for Leaves of Absence <p>Note: Supervisors' files should not include</p> <ul style="list-style-type: none"> • Information relative to a formal investigation; investigation data should be maintained in a separate investigative file • Personal remarks or opinions about an employee • Information about other employees • Information which the supervisor knows to be inaccurate • Medical information about an employee <p>Items such as expense reports and payroll documents are considered financial records and retained by Financial Operations.</p>	<p>Recruitment and selection records: destroy two years after personnel action.</p> <p>Other personnel records: destroy five years after employee separation.</p> <p>Official personnel files are retained by DHS Central Office Human Resources.</p> <p>Supervisor's files on an employee should be forwarded to the new supervisor if an employee transfers within DHS, and to DHS Central Office Human Resources when the employee separates from DHS.</p>		Human Resources; Office for Equity, Performance and Development holds training records in the Learning Management System	Yes	No

****Important:** Regardless of Retention Instructions above, **DO NOT DESTROY** records that are subject to a legal hold or active audit or investigation until the hold is lifted or audit/investigation concluded. **

Department of Human Services

Item	Record Type	Record description	Retention Instructions	Related Statutes	Official Record Holder	Vital?	Archival?
20	Policy Manuals	Official descriptions of DHS policies.	Retention dependent on program area. See applicable divisional schedule.				Yes
21	Privacy/Security Incident Documentation	<p>Documentation of privacy or security incidents (such as data breaches and other privacy/security events) and DHS responses to them. Includes</p> <ul style="list-style-type: none"> • Disclosure incident reports • Privacy breach reports, mitigation documentation, and notifications • Records related to DHS assessment, response and final disposition (including any mitigation and remedial actions) <p>Excludes: Access controls and records for protected information (such as access requests and logs), see "Administrative safeguards for protected information."</p>	<p>Destroy six years after the final report/response.</p> <p>Privacy and data security related records: retained by the DHS Privacy Official.</p> <p>Facilities security incident reports: retained by the DHS Physical Security Coordinator.</p>		<p>Privacy and data security related records: retained by the DHS Privacy Official, as confidential or security documents.</p> <p>Facilities security incident reports: retained by the DHS Physical Security Coordinator, as confidential or security documents</p>	Yes	No
22	Project Files	<p>Documents generated initiating, planning, executing, and closing projects.</p> <p>Examples:</p> <ul style="list-style-type: none"> • Scope statements and project charters • Issue logs • Project timelines and schedules • Status reports • Business cases • Change request logs • Documents generated using MIN.IT project management methodology templates • Substantive communications regarding the project <p>Does not include contracts or financial/payment documentation, see the appropriate record types for those items.</p>	<p>Retain final versions for five years after project completion/close-out.</p>		Project Manager	No	No

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Item	Record Type	Record description	Retention Instructions	Related Statutes	Official Record Holder	Vital?	Archival?
23	Rulemaking File	<p>Minnesota Rules are defined in MS14.02 as "every agency statement of general applicability and future effect, including amendments, suspensions, and repeals of rules, adopted to implement or make specific the law enforced or administered by that agency or to govern its organization or procedure."</p> <p>The following items must be retained to document the rulemaking process: (1) copies of all publications in the State Register pertaining to the rule; (2) all written petitions, and all requests, submissions, or comments received by the agency or the administrative law judge after publication of the notice of intent to adopt or the notice of hearing in the State Register pertaining to the rule; (3) the statement of need and reasonableness for the rule; (4) the official transcript of the hearing if one was held, or the tape recording of the hearing if a transcript was not prepared; (5) the report of the administrative law judge, if any; (6) the rule in the form last submitted to the administrative law judge under sections 14.14 to 14.20 or first submitted to the administrative law judge under sections 14.22 to 14.28; (7) the administrative law judge's written statement of required modifications and of approval or disapproval by the chief administrative law judge, if any; (8) any documents required by applicable rules of the Office of Administrative Hearings; (9) the agency's order adopting the rule; (10) the Revisor's certificate approving the form of the rule; and (11) a copy of the adopted rule as filed with the secretary of state.</p> <p>Survey data including raw data, data sets, and final reports.</p>	Retain permanently	MS 14.02 MS 14.365	DHS General Counsel Office	Yes	Yes
24	Surveys	<p>Retain raw data (paper surveys or electronic survey cases) for one year after it has been summarized or analyzed into a final form/report.</p> <p>Retain raw data not needed or used for reporting/ research for one year.</p> <p>Retain dataset (electronic spreadsheet or database) for two years after it has been summarized or analyzed into a final form/report.</p> <p>Retain dataset used for research purposes for five years.</p> <p>Final summarized report: retain five years or until superseded.</p>			Employee	No	No

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Item	Record Type	Record description	Retention Instructions	Related Statutes	Official Record Holder	Vital?	Archival?
25	Team Charters	A written description of an organization's functions which lays down the rules for a team or project's conduct and governance.	Discard drafts and other working papers regarding a charter after the Charter is approved. Discard outdated/supersede charters ten years after major revision. Discard Charters with minor revisions when no longer needed for business purposes.		Compliance Office (Management and Policy Division)	No	No
26	Training Records	Includes: Records of who took what training when. Does not include: <ul style="list-style-type: none"> • Curriculum • Records of requests for DHS business areas to do training outside the agency • Training evaluations 	See Personnel Records -- Training Records are part of an employee's Personnel Record (and as such are retained for five years after the employee's separation from DHS).		The Office for Equity, Performance and Development holds training records in the Learning Management System	No	No
27	Working Papers	Includes: <ul style="list-style-type: none"> • Team and workgroup meeting minutes and agendas • Ad Hoc committee meeting minutes and agendas (for meetings not held by official Committees or Councils; see appropriate divisional schedule for those records) • Individual or group brainstorming/idea/thought documents Excludes: Items with content covered by any other record type in the General or Divisional schedules. For example, records related to projects, personnel matters, or legislative activities should be managed according to those record types.	Any items with content covered by other record types in the DHS General Records Retention Schedule or applicable Divisional schedule should be retained accordingly. Official DHS team and workgroup meeting minutes and supporting documents not covered by any other applicable Divisional schedule, retain for three years then discard. Working papers not covered by any other record type or retention schedule that document substantive DHS business activities, transactions, or decisions should be discarded after one year. Working papers that do not document DHS business activities, transactions, or decisions should be discarded when no longer needed.		Document author or team/group lead	No	No

****Important:** Regardless of Retention Instructions above, **DO NOT DESTROY** records that are subject to a legal hold or active audit or investigation until the hold is lifted or audit/investigation concluded. **

1. Schedule Number / Date 021-052 5/19/21	2. Revision of 015-035 018-035	MINNESOTA RECORDS RETENTION SCHEDULE 6. Page 1 of 16 (including Appendix A)	
3. Agency Minnesota Department of Human Services (DHS)	4. Division/Section Office of Inspector General (OIG)	See attached page(s) for records description	
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 <i>Robin Persons</i> May 19, 2021	11. Minnesota Historical Society, Director / Date <i>Charles Rosten</i> 20 May 2021		
9. Type Name / Phone Robin Persons / 651-431-5808	12. Legislative or State Auditor / Date <i>Janet M...</i> 6-10-21		
10. Agency Head or Designee / Date <i>Kulawi R Mori</i> 12 May 2021	13. Attorney General / Date <i>[Signature]</i> 6/3/2021		

Important notice:

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

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

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

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

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

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

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

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

1. Schedule No.	3. Agency DHS	4. Division/Section: Office of Inspector General (OIG)	6. Page 6 of 16
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Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statute(s) & Other Authority	Vital	Archival
B. Background Studies (BGS)							
B1	Written consent forms	Permanent	BGS	Private	MS 13.46, subd. 2	Yes	NO
B2	Fingerprint cards	Retain for 3 years	BGS	Private	MS 13.46, subd. 2	Yes	
B3	BGS receipts, payments, interagency agreements, billings	See Section A	Management Support	Private	MS 13.46, subd. 2	Yes	
B4	Criminal history information (Bureau of Criminal Apprehension (BCA), Federal Bureau of Investigations (FBI), Courts, Police Reports including photographs, referral information, other (For <i>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	
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	

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

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

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

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

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Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statute(s) & Other Authority	Vital	Archival
C7	Minnesota Department of Public Safety, Drivers and Vehicle Services (DVS): Data related to work related searches of DVS record information system.	Retain records of work-related searches within the DVS record information system for 5 years from the date of the search.	FFAID	Private and Confidential	MS. Ch. 13; 18 U.S.C. 2721 DVS Records Access Agreement	No	No
C8	Contested Case Hearing Files: Closed Cases: Request for hearing, Notice and Order for Hearing, Office of Administrative Hearing's contested case official record, hearing documents, exhibits, Judge's report, Commissioner's order, appeal request, and final decision of appeal court.	Retain until closed. Retain closed cases for 6 years after closure	FFAID	Private and Confidential	MS 13.46; 256B.064; 14.60	No	
C9	SIRS Provider Investigation Case Logs: Database of open and closed cases, complaints by month received on the SIRS Hotline, Data Analytics Project List.	Retain aggregate de-identified data (records and reports) on closed cases for 30 years after closure.	FFAID	Public, Private and Confidential	MS 256B.064; 256B.04, subd. 10	No	
C10	Managed Care Organization's (MCO) Integrity Reports and records by contracted entities related to integrity, fraud, abuse, and erroneous payment activity.	Retain for 10 years from receipt and then discard.	FFAID	Public, Private and Confidential	MS 256B.04 ⁴	No	
C11	MCO Audit Files: Includes reports, records from MCO audits, correspondence, claims histories, records of MCO policies and procedures, MCO referrals, MCO training materials, MCO subcontractor materials, investigation notes, meeting notes, and any other related documents.	<u>Open audits:</u> For each audit, open and maintain a file specifically for audit records. <u>Completed audits:</u> When audit report and any exceptions petitions/revisions to it are complete. Retain all other audit-related records in a "closed" file for 10 years.	FFAID	Public, Private and Confidential	MS 256B.04	No	→

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

Item No.	Record Title and Description	Retention Instructions	Official Record Holder/Location	Data Practices Classification	Statute(s) & Other Authority	Vital	Archival
C12	Data analytics requests: Includes electronic and hard copies of the following: emails, copy of claims history request form, notes, copy of data produced on a CD, SAS program, SAS datasets, and final product for request, and any other related documents.	Retain for 15 years from date of request, then discard.	FFAID	Public, Private and Confidential	MS 13.46, subd. 2(a)(4); 256B.064.	No	No
C13	Screening Provider Tracker (Spreadsheet used to track all pending and completed provider screening site visits)	Retain data related to open files until closed (sent to provider enrollment). Retain data on closed cases for 30 years after closure.	FFAID	Public, Private and Confidential	MS 256B.04, subd. 21 and 22	No	
C14	Provider Screening Site Visit File: Including report, comprehensive report of provider screening site visit, site visit summary, photographs, claims reports, and any other related documents.	Retain data on all open files until closed (sent to provider enrollment). Retain data on closed cases for 6 years after closure.	FFAID	Public, Private and Confidential	MS 256B.04, subd. 21 and 22	No	
C15	Federal Audit Program Integrity Reporting Activities Reports	Maintain for 6 years after closure of audit by federal entity, then discard.	FFAID	Public, Private and Confidential	42 CFR §§ 455.1 and 455.17; 42 USC § 1396a	No	
C16	Minnesota Restricted Recipient Program (MRRP) <ul style="list-style-type: none"> • Investigative Files: Includes investigative reports, correspondence, case log, investigation notes, Notices of Agency Action, and any other related documents. • Administrative Files: Includes correspondence, referral information, reconsideration of claims, notes, and any other related documents Appeals Files: Includes request for hearing, notice of hearing, hearing documents, exhibit list, appeal summary, Commissioner's order.	Maintain for 10 years from the date 1) a restriction ends or 2) the review for restriction is completed (where the decision was not to restrict).	FFAID	Public, Private and Confidential	MS 13.46; 256B.0625	No	

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

Appendix A

Licensing Files							
License File	Licensing Review File	Negative Action File	Appeal File	Reconsideration File	MOMA Investigation File	VAA Investigation File	Licensing Investigation File
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					
Backfile	X						
Certified Mail Receipt		X	X	X			
Change in License Terms & Support Docs	X						
Compliance Monitoring Documentation		X					
Code Inspection Report	X						
Commissioner's Final Order			X	X			
Correction Order		X					
DHS Response/Letter		X	X	X			
Drug and Alcohol Policy	X						
Facility Floor Plan	X						
Grievance Policy	X						
Identification Key		X					
Image File		X					
Incident or Injury Report & Supporting Documents	X						
License	X						
License Application and Support Docs	X						
License Holder Response / Letter		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			
Negative Action Appeal/Reconsideration			X	X			
Negative Action Order		X					

Appendix A

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

Appendix A

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