



Minnesota Department of Human Services

# Bulletin

**NUMBER**

#16-85-01

**DATE**

April 27, 2016

**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

April 27, 2018

Retention Schedule does  
not expire until superseded

## County Human Services General Records Retention Schedule

**TOPIC**

Revised County Human Services General Records  
Retention Schedule

**PURPOSE**

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

**CONTACT**

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**SIGNED**

Luchelle Stevens  
Chief of Staff  
Minnesota Department of Human Services

**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**

New records retention requirement which applies to documentation that counties may process related to Social Service Case Records, Forms Related to Child Protection Files: Maltreatment not determined and Child Protection Services not needed, or "Alternative Response" case files. Minnesota Statutes, section 626.556, sub 11(c) was revised during the 2015 Legislative Session and now requires a five-year retention requirement for these records.

Only Item 14 E3, E4 was updated, no other changes to the Retention Schedule were made. DHS makes no claims regarding the accuracy or currency of the other items on the Retention Schedule.

## **II. Action Required**

Counties have two options for updating their local retention schedules:

- A. Adopt the updated County Human Services General Records Retention Schedule in its entirety; or,
- B. Update existing county retention schedules that address Social Service Case Records, Forms Related to Child Protection Files: Maltreatment not determined and Child protection services not needed, or "Alternative Response" case files to incorporate the change in retention period.

## **III. Timeline**

Records retention requirements should be implemented immediately.

## **IV. Legal References**

Minnesota Statutes, section 626.556, sub 11(c)

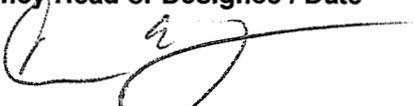
## **V. Attachment**

County Human Services General Records Retention Schedule

The official copy of the schedule will be maintained on the State Archives' website.

## **Americans with Disabilities Act (ADA) Advisory**

This information is available in accessible formats for people with disabilities by calling (651) 431-5808 (voice) or by using your preferred relay service. For other information on disability rights and protections, contact the agency's ADA coordinator.

<b>1. Schedule Number / Date</b> 016-068 11/20/16	<b>2. Revision of</b> 014-051	<b>MINNESOTA RECORDS RETENTION SCHEDULE</b>
<b>3. Agency</b> Department of Human Services, Counties	<b>4. Division/Section</b> Multiple	
<b>5. Address</b> DHS: PO Box 64238, St. Paul, MN 55164-0238		See attached page(s) for records description
<b>7. For Use By Records Panel Only</b>		
<b>AUTHORIZATION:</b> 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.
<b>8. Agency Records Management Officer / Date</b> Robin Persons 12/17/2015	<b>11. Minnesota Historical Society, Director / Date</b> Charles L. Rodgen 19 Jan 2016	
<b>9. Type Name / Phone</b> Robin Persons / 651-431-5808	<b>12. Legislative or State Auditor / Date</b> Cecil Ferkel 2-5-16	
<b>10. Agency Head or Designee / Date</b>  12/15/15	<b>13. Attorney General / Date</b> Peter Nott 3-23-16	

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	<b>County Human Services General Records Retention Schedule</b>	

<b>ID</b>	<b>Record Series Name</b>	<b>Description</b>	<b>Retention Period</b>	<b>Data Practices Classification and Statute</b>	<b>Archival</b>
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, than discard. Retain statistical data until no longer useful, than 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	No
02	Case Index Cards (if used)	Summarized case identification data which includes names and birth dates of clients, last known address of family head, case number, programs, types of services received, date of and reason for last closing.	Destroy in accordance with destruction of other case data	Private, MS 13.46 subd. 2(a)	No
03	Fiscal and Statistical Reports to the State Agency	Forms related to the agency staff activity reporting and the accounting office copy of agency action forms.	3 years after case closing or after audit	Public, MS 13.03	No
04	General Ledger Accounts	Summaries of payment detail (receipts and disbursements) and authorizations that are recorded in the books of original entry.	10 years after case closing or after audit	Public, MS 13.03	No

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ID	Record Series Name	Description	Retention Period	Data Practices Classification and Statute	Archival
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
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

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<b>ID</b>	<b>Record Series Name</b>	<b>Description</b>	<b>Retention Period</b>	<b>Data Practices Classification and Statute</b>	<b>Archival</b>
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, MS 13.03, Private, MS 13.46	No

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ID	Record Series Name	Description	Retention Period	Data Practices Classification and Statute	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: identity, relationship, and citizenship documentation.</p> <p>10-year retention based on Final Rule, 78 Federal Register 210 pp. 65066 (October 30, 2013) (to be codified in 45 CFR 155.1210)</p>	Private, MS 13.46 subd. 2(a)	No
14 A	Social Service Case Records  All Services Cases	<p>1. Application for social services</p> <p>2. Appropriate case narratives</p> <p>3. Service plans and agreements</p>	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	<p>1. Income declarations</p> <p>2. Verification of income (when required)</p>	If current, 4 years after case closing, if not current, 4 years after form completion date	Private, MS 13.46 subd. 2(a)	No

<b>Schedule No.</b>	<b>Schedule</b>  <b>County Human Services General Records Retention Schedule</b>	<b>Page 6 of 13</b>
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ID	Record Series Name	Description	Retention Period	Data Practices Classification and Statute	Archival
14 C	Social Service Case Records  Required "situational" forms	Inter and intra agency referral forms <ul style="list-style-type: none"> <li>a. Service providers</li> <li>b. Income maintenance</li> <li>c. Payment authorization</li> <li>d. Supervisory and case review documents</li> <li>e. Support and Collections</li> <li>f. Appeal summaries and hearing records</li> </ul>	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	<ul style="list-style-type: none"> <li>1. Phone messages</li> <li>2. Supervisory instructions</li> <li>3. Routing slips</li> </ul>	Destroy immediately after completed action	Private, MS 13.46 subd. 2(a)	No
14 E1, E2	Social Service Case Records  Forms Related to Adoption and Subsidized Adoption		Permanent	Confidential, MS 259.53 subd. 3, MS 259.79 subd. 3	No

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ID	Record Series Name	Description	Retention Period	Data Practices Classification and Statute	Archival
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
14 E6	Social Service Case Records  Forms Related to Adult Protection	Common Entry Point and Intake form Vulnerable Adult Maltreatment Report.	2 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	No

Item 14 E3, E4 updated in 2015, Item 13 updated in 2013, all other items updated in 2002

## County Human Services General Records Retention Schedule

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

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ID	Record Series Name	Description	Retention Period	Data Practices Classification and Statute	Archival
14 E12	Social Service Case Records  Forms Related to Health Case Records	a. Social and Medical History report b. Psychologist report c. State Hospital admission d. Discharge report	4 years after case closing or after audit	Private, MS 13.46 subd. 2(a)	No
14 E13	Social Service Case Records  Forms Related to Report of Child Born Out of Wedlock		If child is kept, destroy record 4 years after closing date. If child is placed follow adoption schedule	Private, MS 13.03, MS 13.43 subd. 2, MS 13.46 subd. 2(a)	No
14 E14	Social Service Case Records  Forms Related to Contracts with Social Service Providers	Agreements with vendors to provide social services	4 years after audit	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

## County Human Services General Records Retention Schedule

ID	Record Series Name	Description	Retention Period	Data Practices Classification and Statute	Archival
14 F2, G2, H2	Social Service Case Records  Records regarding death of a ward or conservatee with developmental disabilities, chemical dependency, or mental illness		4 years after case closing	Private, MS 13.46 subd. 2(a)	No
14 F6, G6, H6	Social Service Case Records  Retention of consumer's records for individuals with developmental disabilities, chemical dependency, or mental illness		3 years following termination of services	Private, MS 13.46 subd. 2(a)	No
14 F7, G7, H7	Social Service Case Records  Requirements for individual program plans proposing to use a controlled procedure	For individuals with developmental disabilities, chemical dependency, or mental illness	5 years after implementation of controlled procedure	Private, MS 13.46 subd. 2(a)	No

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ID	Record Series Name	Description	Retention Period	Data Practices Classification and Statute	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	Information and Referral Slight Service Case	a) Forms including identifying information b) Statement of Request c) Disposal of inquiry	4 years after case closing or after audit	Private, MS 13.46 subd. 2(a)	No
16	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, MS 13.03, Private, MS 13.43 subd. 2, MS 13.46 subd. 2(a)	No
17	Licensing Records	Licensing File, Licensing Investigations	7 years	Public, MS 13.03. Private, MS 13.46 subd. 4, Confidential Protected Non-Public, MS 13.46 subd. 3	No

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ID	Record Series Name	Description	Retention Period	Data Practices Classification and Statute	Archival
18	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	4 years after case closing or after audit. Non-welfare cases: 21 years from youngest child's birth date.	Private, Confidential, MS 13.46 subd. 2(a)	No
19	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	No

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ID	Record Series Name	Description	Retention Period	Data Practices Classification and Statute	Archival
20	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	No
21	Advisory committee records	Includes minutes and agendas for advisory committees, community health task forces, social services task forces, mental health task forces, etc.	4 years, Minutes: Permanent or transfer to State Archives	Public, MS 13.03	Yes
22	Fraud investigation	Data and forms relating to investigation of fraud reports.	4 years after case closing or completion of investigation	Confidential Protected Non-Public, MS 13.03, MS 13.46 subd. 2(a)	No