

**Minnesota Government Data Practices Act
2020 Inventory of Not Public Data on Individuals**

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| Department of Human Services Bulletin # 20-85-01 | Brown County Human Services General Records Retention Schedule | Responsible Authority: Barb Dietz, Brown County Human Services Director |
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| ID | Record Series Name | Description | Retention Period | Related Statutes/References | Archival |
|-----|---|---|---|-----------------------------------|----------|
| 01A | Administrative Operational Records | Statistical Data, Policy Bulletins, Procedural Material Correspondence, etc. related to the development of funding authorization and administration of agency and agency affiliated programs. | Retain bulletins until they are no longer in effect, then discard Retain statistical data until no longer useful, then discard | Public MS 13.03 | No |
| 01B | Investigations and Charges by Applicants or Recipients of Services Under Minnesota Human Rights | Investigations of and charges by applicants or recipients of services under Minnesota Human Rights. | 7 years 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 |

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| 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 . 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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| 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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| 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 <ul 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 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 | |

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| 13. | 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> <p>a. Retain and destroy according to approved county retention schedules in place on 12/31/2013.</p> <p>2. Cases open, pending, or otherwise active on or after 1/1/2014:</p> <p>a. Destroy documents other than exception documents* 10 years after received.</p> <p>b. Destroy all documents 10 years after case (last program) closure.</p> <p>*Exception documents to be retained for the life of the case file: citizenship; identity; immigration status; relationship; social security number or individual taxpayer identification number; excluded assets; qualified long-term care partnership policies and assets protected by long-term care partnership policies; guardianship, power of attorney or authorized representative; asset assessments for planning purposes; liens against real property; unpaid overpayment information; and fraud, disqualification, and conviction documentation.</p> <p>10-year retention based on 45 CFR 155.1210</p> | Private MS 13.46 subd. 2(a) MS 256.98 subd. 8 42 CFR 433.322 42 CFR 435.914 42 CFR, 435.923 45 CFR 155.1210 | No |

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| 14 A | Social Service Case Records All Services Cases | <ol style="list-style-type: none"> 1. Application for social services 2. Appropriate case narratives 3. Service plans and agreements | 4 years after case closing or after audit, unless child protection case | Private MS 13.46 subd. 2(a) | No |
| 14 B | Social Service Case Records Title XX Funding | <ol style="list-style-type: none"> 1. Income declarations 2. Verification of income (when required) | If current, 4 years after case closing, if not current, 4 years after form completion date | Private MS 13.46 subd. 2(a) | No |
| 14 C | Social Service Case Records Required "Situational" Forms | Inter and intra agency referral forms: <ol style="list-style-type: none"> a. Service providers b. Income maintenance c. Payment authorization d. Supervisory and case review documents e. Support and Collections f. Appeal summaries and hearing records | Items a-d: 4 years after form completion date Items e-f: 4 years from the closing of the file | Private MS 13.46 subd. 2(a) | No |
| 14 D | Social Service Case Records | <ol style="list-style-type: none"> 1. Phone messages 2. Supervisory instructions 3. Routing slips | Destroy immediately after completed action | Private MS 13.46 subd. 2(a) | No |
| 14 E1 | 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 |

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| 14 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 |
| 14 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 |
| 14 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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| 14 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 |
| 14 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 |
| 14 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 |
| 14 E8 | Social Service Case Records Adult Public Guardianship | Forms related to adult public guardianship. | 10 years after case closing | Private MS 13.46 | No |
| 14 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 |
| 14 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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| 14 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 |
| 14 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 |
| 14 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 |
| 14 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 |

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| 14 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 |
| 15. | 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 |
| 16. | 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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| 17A. | Office of Inspector General Records: Administrative | Personnel data, pre-decisional data, receipts and payments, recruitment materials, records destruction, 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 |
| 17B. | 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 |

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| 17C. | Office of Inspector General Records: Financial Fraud and Abuse Investigation Division | Surveillance and integrity review and child care assistance investigative files and case logs (active and closed); contested case hearings closed files; managed care organizations integrity and audit records; data analytics requests; provider site visit screening data; federal audits and program integrity records; restricted recipient program referral and investigative data; personal care assistance data. | See 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 |
| 17D. | Office of Inspector General Records: Licensing Division | General licensing and licensing review files; licensing, maltreatment of minors, and vulnerable adult's 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 |