

Corrections to the Introduction section of the Minnesota County General Records Retention Schedule

NOTE:

This electronic copy of the Minnesota General Records Retention Schedule for Counties was produced by Redwood County staff who digitized a paper version. Any handwritten notations or changes that appear on the pages of the schedule are not official.

The 2006 Legislature amended Minnesota Statutes, section 138.17, removing the Commissioner of Administration's duty to perform functions related to records management. The changes became effective August 1, 2006. As a result of the legislative change, the Department of Administration / Information Policy Analysis Division (IPAD), will no longer respond to inquiries regarding records management.

Destruction Reporting:

- Effective August 1, 2001, records destruction reports do not need to be sent to the Minnesota Department of Administration and the Minnesota Historical Society (State Archives). Keep destruction reports for your own records.

Records Not on the General Schedule:

- An electronic copy of the PR-1 form (Application for Authority to Dispose of Records) is available online at the Minnesota State Archives' web site (www.mnhs.org/statearchives).
- Records retention schedule forms are no longer available from the Minnesota Department of Administration. A blank form is available online at the Minnesota State Archives' web site (www.mnhs.org/statearchives).

Resources:

- The Department of Administration no longer offers assistance with records management issues or records retention schedules. The Department's Information Policy Analysis Division (www.ipad.state.mn.us) will assist with questions relating to privacy and other information policy laws.
- The Minnesota State Archives and the state's Records Disposition Panel can be contacted as follows: State Archives, Minnesota Historical Society, 345 Kellogg Boulevard West, Saint Paul, MN, 55102. 651.259.3260.
- The Association of Minnesota Counties can be contacted through its web site (www.mncounties.org/).

Schedule Updates:

- The Human Services / Public Welfare section of the schedule was updated by the Minnesota Department of Human Services in March 2002.
- A supplement to the schedule for Community Corrections was issued in January 1990.

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Community Corrections Supplement

General Records Retention Schedule for Counties

January 1990

APPROVAL

Dept. of Administration, Information Policy Office

Date

Andrea Abrams

1/3/90

Minnesota Historical Society

Date

Quinn Swanson 16 January 1990

State Auditor

Date

14 Thomas M. Gilchrist

1/24/90

Attorney General

Date

MJ Casserly

February 12, 1990

COMMUNITY CORRECTIONS

January 1990

CATEGORY DEFINITIONS

Records Series Description: A records series is a group of records filed together because they relate to a particular subject.

Enabling Authority: The statute or authorized power that states the record may be collected.

Data Class: This identifies records classified by the Government Data Practices Act or other state or federal law. The classification system includes: public, private, confidential, non-public or protected non-public. More than one classification may apply.

Citation for Classification: The statute or law which cites the data practices classification of the records series.

Retention/Statute: The retention cited is the minimum amount of time a record must be kept. The stated retention does not include the year the record originates. For example, if Record A is filed by calendar year and it has a retention of 3 years, the disposal date for 1985 records is January, 1989. Statutes listed here cite specific retention periods for the records series.

Archival: If a Y, meaning yes, appears in this column these records are eligible for transfer to the State Archives in the Minnesota Historical Society after the retention period has expired or when the agency no longer has need for them. Contact the Division of Library and Archives of the Minnesota Historical Society for information on how to transfer archival records (612-296-6980 or toll free 1-800-652-9747).

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| RECORDS SERIES DESCRIPTION | ENABLING AUTHORITY | DATA CLASS | CITATION FOR CLASSIFICATION | RETENTION/STATUTE | ARCH |
|--|--------------------------|------------------|-----------------------------|---|------|
| 1. ADMISSIONS, BOOKING, AND DISCHARGE RECORDS | | | | | |
| A. Booking Ledger | | Publ | MS 13.03 | Permanent | Y |
| B. Commitments | MS 243.49 MS 641.04 | Publ | MS 13.03 | Permanent | Y |
| C. Counselor's daily log - intake information and forms on client/inmate; intake interview | | Priv | MS 13.85 | 6 yrs. after last discharge | N |
| D. Daily admissions & discharge reports | | Publ | MS 13.03 | 6 yrs. | N |
| E. Daily admissions sheets | | Publ | MS 13.03 | 6 yrs. | N |
| F. Daily population reports | | Publ | MS 13.03 | 6 yrs. | N |
| G. Discharge list (booking) | | Publ | MS 13.03 | 6 yrs. | N |
| H. Client/inmate history card: Summary card showing all transactions involving individual client/inmate | MS 243 | Priv | MS 13.85 | Permanent | Y |
| I. Client/inmate sign-in sheets | | Publ | MS 13.03 | 6 yrs. | N |
| J. Client/inmate valuable receipts | MS 241.09, Subd. 2 | Priv Non-Publ | MS 13.37 | 6 yrs. after discharge of client/inmate | N |
| K. Master Log Book - admissions & discharges | MS 641.05 | Publ | MS 13.03 | Permanent | Y |
| L. Monthly population reports | MS 299C.05 MS 299C.06 | Publ | MS 13.03 | Permanent | Y |
| M. "Nature of Commitment" reports (statistical) | | Publ | MS 13.03 | 6 yrs., then transfer to the State Archives for selection and disposition | Y |

| RECORDS SERIES DESCRIPTION | ENABLING AUTHORITY | DATA CLASS | CITATION FOR CLASSIFICATION | RETENTION/STATUTE | ARCH |
|---|--------------------------|----------------------|-----------------------------|------------------------------------|------|
| N. Statistical reports - commitments | MS 299C.05 MS 299C.06 | Publ | MS 13.03 | Permanent | Y |
| O. Statistical reports - discharges | MS 299C.05 MS 299C.06 | Publ | MS 13.03 | Permanent | Y |
| 2. ADULT CASE FILES | | | | | |
| A. Chronological Case Recordings (D.O.C. CR-00028 & CR-00204) These forms contain notes on <u>all</u> case activity, e.g., problem areas; plans; any activity an agent engages in relevant to a particular client/inmate, visits, collateral contacts, telephone contacts | MS 609.12 | Publ Priv Conf | MS 13.03 MS 13.85 | 6 yrs. after date of last activity | N |
| B. Client/Inmate Summaries and Progress Reports Monthly summaries and progress reports from treatment centers, halfway houses, hospitals, etc. | MS 241.69 MS 242.18 | Priv Conf | MS 13.42 | 6 yrs. after date of last activity | N |
| C. Correspondence Includes letters from clients/inmates, victims, enemies, family members, friends, etc., as well as correspondence with D.O.C., courts, and other agencies | MS 609.12 | Publ Priv Conf | MS 13.03 MS 13.85 | 6 yrs. after date of last activity | N |
| D. Department of Corrections Reports These include the Uniform Case Report (D.O.C. CR-00522), violation reports, progress reports, preparoles, addenda to reports, and other miscellaneous required reports | MS 299C.05 MS 299C.06 | Priv Conf | MS 13.84 MS 13.85 | 6 yrs. after date of last activity | N |
| E. Medical Records These include psychological and psychiatric evaluations; physicians' and nurses' notes, clinic referrals, physical and emotional complaint sheets, lab results, lab worksheets, medical reports from private or other physicians, hospitals, and other institutions, therapeutic/treatment progress reports, diagnostic/prognostic reports, client/inmate summaries, M.M.P.I. results, etc. | MS 241.69 MS 242.18 | Priv | MS 13.42 | 6 yrs. after date of last activity | N |

| RECORDS SERIES DESCRIPTION | ENABLING AUTHORITY | DATA CLASS | CITATION FOR CLASSIFICATION | RETENTION/STATUTE | ARCH |
|--|-------------------------------------|----------------------|--|------------------------------------|------|
| F. Presentence Investigation Reports Include Confidential Information Attachment (D.O.C. CR-00215) | MS 609.115, esp. subd. 4 through 6 | Priv | MS 13.84 | 6 yrs. after date of last activity | N |
| G. Summary Information and Reports These include a variety of individual and summary-type records found in various combinations in each client's/inmate's case file. An individual folder might contain some or all of them depending on the case itself. Including: Monthly reports (D.O.C. CR-00214); Travel permits (D.O.C. CR-00002); Transfer of Case Assignment (D.O.C. CR-00235); Consent for Release of Confidential Information (D.O.C. CR-00236); Fine/restitution receipts, client risk classification form, Notice of Violation and Right to Hearing (D.O.C. CR-00530); Mug shots/rap sheets, N.C.I.C. & B.C.A. Record Checks, institution case summaries containing personal & family data, prior record, commitment offense, psychological/psychiatric evaluations, etc., Probation Agreements (D.O.C. CR-00233); Parole Agreements (D.O.C. CR-00108); Police reports, Probation Discharge Orders (D.O.C. CR-00216 & CR-00208); Revocation Orders (D.O.C. CR-00207); Bookslips (D.O.C. CR-00198); Modified Parole Agreements (D.O.C. CR-00525); Interstate Compact Reports (D.O.C. CR-00003); Short form - Probationer's Annual Progress Report (Continuance) (D.O.C. CR-00217); M.C.B. Discharge letters (D.O.C. CR-00217) | MS 609.12 | Publ Priv Conf | MS 13.03 MS 13.84 MS 13.85 MS 13.86 | 6 yrs. after date of last activity | N |
| 3. BREACH OF TRUST, DISCIPLINARY, AND ESCAPE RECORDS | | | | | |
| A. Breach of trust and escape slips | MS 689.485 | Priv Non-Publ | MS 13.37 MS 13.85 | 2 yrs. | N |
| B. Correctional officers' reports | MS 243.52 MS 641.09 MS 643.29 | Priv | MS 13.85 | 6 yrs. after last discharge | N |

| RECORDS SERIES DESCRIPTION | ENABLING AUTHORITY | DATA CLASS | CITATION FOR CLASSIFICATION | RETENTION/STATUTE | ARCH |
|---|-------------------------------------|------------------|-----------------------------|---|------|
| C. Disciplinary/Administrative hearing reports | MS 243.52 MS 641.09 MS 643.29 | Priv | MS 13.85 | 6 yrs. after last discharge | N |
| D. Disciplinary record book | MS 243.52 MS 641.09 MS 643.29 | Priv | MS 13.85 | 6 yrs. after last discharge | N |
| E. Client/inmate detainer slips | MS 609.485 | Priv Non-Publ | MS 13.37 MS 13.85 | 2 yrs. | N |
| 4. CORRECTIONS REPORTS | | | | | |
| A. Annual institutional reports, committee reports, and special services reports | | Publ | MS 13.03 | 7 yrs., then-transfer to the State Archives for selection and disposition | Y |
| B. Monthly, semi-annual reports | | Publ | MS 13.03 | 3 yrs. | N |
| 5. CORRESPONDENCE | | | | | |
| A. Correspondence subject files: Administrator, Director | | Publ Priv | MS 13.03 MS 13.85 | 3 yrs. then transfer to the State Archives for selection and disposition | Y |
| B. Correspondence with courts and other agencies regarding individual client/inmate | | Priv Conf | MS 13.84 | 6 yrs. after last discharge | N |
| C. Any other correspondence | | Publ Priv | MS 13.03 MS 13.85 | 3 yrs. | N |
| 6. FINANCIAL RECORDS | | | | | |
| A. Annual reports | | Publ | MS 13.03 | Retain permanently or transfer to the State Archives | Y |

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|---|--|------------------|------------------------------------|--|------|
| B. Budgets/budget records | | Publ | MS 13.03 | 2 years | N |
| C. Client/inmate cash record cards Client/inmate money sign-in sheets Client/inmate wages - weekly payroll records Client/inmate deposit slips - accounts and wages Client/inmate cash control sheets Client/inmate cash receipt books **General Records Retention Schedule for Counties may be used for other records. | MS 241.08 MS 241.09 | Priv Non-Publ | MS 13.37 MS 13.85 | Return personal records, such as deposit slips, to client/inmate at time of discharge; retain institutional financial records 6 yrs. | N |
| 7. JUVENILE CASE FILES | | | | | |
| A. Apprehension and Detention Orders/Cancellation of Apprehension and Detention Orders (D.O.C. CR-00237 and D.O.C. CR-00238) | MS 243.05 MS 401.02, Subd. 4 MS 629.13 MS 629.21 MS 629.22 | Publ | MS 13.03 | Until client/inmate reaches the age of 23 | N |
| B. Chronological Case Recordings These contain notes on <u>all</u> case activity, e.g. problem areas plans; any activity an agent engages in relevant to a particular client/inmate including record visits, collateral contacts, telephone contacts | MS 242.esp. MS 242.10 MS 242.19 MS 260.311 | Publ Priv | MS 13.03 MS 13.85 MS 260.161 | Until client/inmate reaches the age of 23 | N |
| C. Client Summaries and Progress Reports Monthly summaries, progress reports, termination reports, incident reports, etc. from group homes and halfway houses | MS 242.esp MS 242.191 | Priv Conf | MS 13.42 MS 13.85 MS 260.161 | Until client/inmate reaches the age of 23 | N |
| D. Correspondence Includes letters from clients/inmates, victims, enemies, family members, friends, etc., as well as correspondence with D.O.C., courts, and other agencies | | Publ Priv | MS 13.03 MS 13.84 MS 13.85 | Until client/inmate reaches the age of 23 | N |

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|--|--|--------------|------------------------------------|---|------|
| E. Department of Corrections Reports Includes Uniform Case Report, progress reports, violation reports, preparoles, replacement reports, social histories, initial family contacts, and other misc. reports on each client/inmate | MS 242,esp MS 242.10 MS 242.19 | Priv | MS 260.161 | Until client/inmate reaches the age of 23 | N |
| F. Discharge Records Including: institution discharge reports, individual release plans, staffing schedules, Notification of Limited Parole/Furlough Application, and other documents relating to a client's/inmate's release from incarceration | | Publ Priv | MS 13.03 MS 13.85 | Until client/inmate reaches the age of 23 | N |
| G. Medical Records These include psychological and psychiatric evaluations; physicians' and nurses' notes, clinic referrals, physical and emotional complaint sheets, lab results, lab worksheets, medical reports from private or other physicians, hospitals, and other institutions, therapeutic/treatment progress reports, diagnostic/prognostic reports, client/inmate summaries, M.M.P.I. results, etc. | MS 241.69 MS 242.18 | Priv | MS 13.42 | Until client/inmate reaches the age of 23 | N |
| H. Summary Information and Reports These are found in varying combinations in the individual juvenile's case file including: Hearing Officer Reports, Notice of Parole Violation and Right to Hearing/Acknowledgement Waiver (D.O.C. CR-00104); Review Panel findings on appeals, Parole Agreement (D.O.C. CR-00100); juvenile information sheet, school records, Consent for Release of Confidential Information (D.O.C. CR-00236); complaint reports, police reports, incident reports from institution, court orders and writs | MS 242,esp MS 242.10 MS 242.19 MS 260.311 | Publ Priv | MS 13.03 MS 13.85 MS 260.161 | Until client/inmate reaches the age of 23 | N |

| RECORDS SERIES DESCRIPTION | ENABLING AUTHORITY | DATA CLASS | CITATION FOR CLASSIFICATION | RETENTION/STATUTE | ARCH |
|---|--|--------------|-----------------------------|------------------------------------|------|
| 8. JUVENILE DIVERSION FILES | | | | | |
| A. Chronological Case Recordings These contain notes on all case activity: problem areas; plans; any activity agent an engages in relevant to a particular client/inmate including record visits, collateral contacts, telephone contacts | MS 242,esp MS 242.10 MS 242.19 MS 260.311 | Priv | MS 13.84 MS 13.85 | Until client/inmate reaches age 18 | N |
| B. Community Service Work Work assignments and release to all claims | | Priv | MS 13.84 MS 13.85 | Until client/inmate reaches age 18 | N |
| C. Correspondence Includes letters from clients/inmates, victims, enemies, family members, friends, etc., as well as correspondence with D.O.C., courts, and other agencies | | Publ Priv | MS 13.03 MS 13.84 | Until client/inmate reaches age 18 | N |
| D. Discharge Records Includes letter to client/inmate and parents/guardians | | Priv | MS 13.84 MS 13.85 | Until client/inmate reaches age 18 | N |
| E. Intake Records Includes social history material, prior record, school information, etc. | | Priv | MS 13.84 MS 13.85 | Until client/inmate reaches age 18 | N |
| F. Medical Records These include psychological and psychiatric evaluations; physicians' and nurses' notes, clinic referrals, physical and emotional complaint sheets, lab results, lab worksheets, medical reports from private or other physicians, hospitals, and other institutions, therapeutic/treatment progress reports, diagnostic/prognostic reports, client/inmate summaries, M.M.P.I. results, etc. | MS 241.69 MS 242.18 | Priv | MS 13.42 | Until client/inmate reaches age 18 | N |
| 9. LAND AND BUILDING WORK ORDERS | | | | | |
| A. Routine work done on buildings and grounds | | Publ | MS 13.03 | 2 yrs. | N |

| RECORDS SERIES DESCRIPTION | ENABLING AUTHORITY | DATA CLASS | CITATION FOR CLASSIFICATION | RETENTION/STATUTE | ARCH |
|--|--|--------------|-----------------------------|--|------|
| 10. MINUTES | | | | | |
| Includes governing boards, regional authorities, commissions, and committees, etc. | | | | | |
| A. Paper | | Publ | MS 13.03 | Retain permanently or transfer to the State Archives | Y |
| B. Audiotape or videotape | | Publ | MS 13.03 | Tapes may be reused or discarded after formal approval of written minutes. Tape recordings cannot be a permanent record. | N |
| 11. OFFICE ORDERS | | | | | |
| A. Verbal orders from a court or judge, given over the phone (usually because they are to be effected immediately) for example, if an client/inmate is to be paroled the same day, or if there is some other change in his/her status the orders are typed up as they are received. Paperwork from the court will usually arrive in a few days. Copies are placed in the client's/inmate's file. | MS 609.135 MS 609.14 MS 638.02 MS 638.06 MS 638.08 | Publ | MS 13.03 | 2 yrs.; (the copy in the client's/inmate's case file will be retained 6 yrs. after discharge) | N |
| 12. PROCEDURES | | | | | |
| A. Procedures manuals | | Publ | MS 13.03 | Until Superseded | N |
| 13. SEGREGATION/SEPARATION RECORDS | | | | | |
| A. Records of clients/inmates held in security area for disciplinary, medical, or administrative reasons | MS 243.52 MS 641.09 | Publ Priv | MS 13.03 MS 13.85 | 6 yrs. after last discharge | N |

| RECORDS SERIES DESCRIPTION | ENABLING AUTHORITY | DATA CLASS | CITATION FOR CLASSIFICATION | RETENTION/STATUTE | ARCH |
|--|--------------------|--------------------------|----------------------------------|--|------|
| 14. SPECIAL SERVICES | | | | | |
| A. Test results; reports of counselors, chemical dependency counselors, vocational counselors, psychologists; information on client's/inmate's participation in various programs offered | MS 241.69 | Priv | MS 13.85 | 6 yrs. after last discharge | N |
| 15. TRAINING RECORDS | | | | | |
| A. Documents events towards certification for staff in various areas | | Publ Priv Non-Publ | MS 13.03 MS 13.34 | 5 yrs. after termination | N |
| 16. VICTIM SERVICES | | | | | |
| A. Documents staff contacts with victims, public speaking engagements, prevention efforts, evaluations, and feedback. | | Publ Priv | MS 13.03 | 6 yrs. after last activity | N |
| 17. VOLUNTEER SERVICES | | | | | |
| A. Includes volunteer applications, cumulative service records for and disposition of volunteer services, and evaluation of volunteers. | | Publ Priv | MS 13.03 MS 13.43, Subd. 2 | 2 yrs. after individual volunteer service ceases | N |
| ***SEE OTHER SECTIONS OF THE GENERAL SCHEDULE FOR RECORDS NOT LISTED HERE | | | | | |