

HUMAN RESOURCES SCHEDULE - STATE APPROVED 5/16/2000 - UPDATED 11/16/2002

SERIES CODE	SERIES / DESCRIPTION	LEGAL CODE	OFFICIAL RETENTION			COPYHOLDER RETENTION	OFFICE OF RECORD	DATA PRACTICE	REMARKS
			LEGAL	USER	TOTAL				
HRS-10	<p>Human Resources Schedule Applicant Processing Section Overview</p> <p>The purpose of Applicant Processing records is to document information regarding an applicant's testing and screening process. The records also document the interview/selection process to hire/promote employees.</p>								
HRS-10-02	<p>Human Resources Schedule Applicant Processing Exam File (Also Known As Brown Folder)</p> <p>The purpose of the Exam File (maintained in the Brown Folders) is to document records that are created for the selection/testing process for each job posting. When an applicant is hired, the original application and attachments are removed from this file and placed in the HRS-20-04 (Service File). Records may include: Job announcements, applications, test results, confidential data forms, oral exam material, applicant flow data, copies of the eligible list and survey forms, etc. Note: Use HRS-10-08 Interview/Testing Detail Records maintained by departments.</p>	EMP900	3	3	3	MAX1	HUMAN RESOURCES	PUBLIC PRIVATE MS 13.43	
HRS-10-04	<p>Human Resources Schedule Applicant Processing Bureau Cards</p> <p>The purpose of the Bureau Card is to provide a summary of an applicant's test score and final rank.</p>	EMP900	3	6	6	MAX1	HUMAN RESOURCES	PUBLIC PRIVATE MS 13.43	
HRS-10-06	<p>Human Resources Schedule Applicant Processing Certification File</p> <p>The purpose of the Certifications File is to maintain a history of the certification process. Records may include: Copies of certifications, referral lists to departments and requisitions.</p>	EMP900	3	3	3	MAX1	HUMAN RESOURCES	PUBLIC PRIVATE MS 13.43	
HRS-10-08	<p>Human Resources Schedule Applicant Processing Interview/Testing Detail Records</p> <p>These records are used to document the selection and interview process after certification has occurred. The documents provide a summary of the results of interviews with candidates/employees. Key documents are usually transferred to HRS-20-06 (Department Personnel File) for the</p>	EMP900	3	3	3	MAX1	DEPARTMENT	PUBLIC PRIVATE MS 13.43	

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	selected candidate. The results of pre-employment medical exams for hired candidates should be filed with HRS-40 (Medical Records for Employees). This series should be used for records of candidate/employees that are not selected or if the detail interview/testing records for all candidates are maintained together. Records may include: Copy of the application and resume, certification, interview questions and notes from the interview and department administered test results.								
HRS-10-10	<p>Human Resources Schedule</p> <p>Applicant Processing</p> <p>Interview/Testing – Master Records</p> <p>These records are used to document the typical interview questions used by the department (general or by job titles), the "master" of written exams and answers to questions and other materials used during the interview/selection process.</p>	EMP900	3	AS+3	AS+3 *	MAX1	DEPARTMENT	PUBLIC PRIVATE MS 13.43	* Retain until superseded plus 3 years.

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HRS-20	<p>Human Resources Schedule</p> <p>Personnel Files</p> <p>Section Overview</p> <p>The purpose of Personnel Files is to maintain a history of an individual's employment with the City. The records are either legally required/mandated or are required for administrative purposes. Contrary to past years, personnel records are no longer maintained in one "official" location (the Service File). The Service File (HRS-20-04) is used to manage the certified personnel records that Human Resources and Civil Service are responsible for maintaining. The Department Personnel File (HRS-20-06) is used to manage the on going chronology of an employee's general employment history. It may also contain copies of the certified records maintained in the Service File. Duplication of the same record maintained in multiple locations is discouraged but may be essential in certain cases. Consult Attachment 1 to this document or the department HR Generalist to answer questions regarding the primary office responsible for maintaining a specific record (Office of Record).</p> <p>Note: Supervisors may be maintaining a management file that is used as a temporary collection point to document information about employee performance and alleged misconduct that is not final. Use HRS-30 (Supervisor Management File).</p> <p>Also Note: Medical records must be maintained in a separate locked cabinet in a location apart from HRS-20-04 (Service File) and HRS-20-06 (Department Personnel File). All medical records are Private/confidential and have longer and more stringent retention requirements than other department personnel records.</p>								
HRS-20-02	<p>Human Resources Schedule</p> <p>Personnel Files</p> <p>Employee History Record (Service Register)</p> <p>The Service Register is the mandated permanent summary record containing the history of all certified employees' significant employment transactions, such as hires, job changes, personnel actions, changes in status, and separations from City service, as required by City Charter or ordinance, Civil Service Rules, or which are subject to approval by the Civil Service Commission or Human Resources Director. The service register does not include payroll records except for a history of changes in base salary.</p>	EMP120	IND	PERM	PERM	MAXACT	HUMAN RESOURCES	PUBLIC PRIVATE MS 13.43	

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HRS-20-04	<p>Human Resources Schedule</p> <p>Personnel Files</p> <p>Service File</p> <p>The Service File is the Human Resources personnel file that is used to collect paper records documenting personnel transactions and events that occur during an employee's tenure as a certified/classified employee of the City, Park Board or Library Board. The documents maintained in this file include those for which the Civil Service Commission is responsible either by City Charter, City Ordinance, Civil Services Rules, statute or regulation, City or department policy, as well as those dictated by best practices for Human Resources records management. Documents maintained in this file may include forms, authorizations, memos, reports or letters related to the application and certification processes, hire, job or position changes, personnel actions, leaves of absence, layoffs, name changes, transfers, promotions, demotions, reclassifications, separations (retirements, resignations), suspensions, discharges, rehires, forms used to adjust dates and hours (Conversion Credit forms and Request for Date/Hours Adjustments) and probation documents. Payroll documents related to step increases and/or authorizations for exceptional pay steps or rates may also be included in the Service File and be maintained in a separate locked cabinet apart from personnel files. Use HRS-40 (Medical Records for Employees).</p> <p>Note: The City of Minneapolis is currently implementing a computerized Human Resources Information System, which integrates human resources, payroll and benefits administration processes. In time, the number and volume of formal paper documents generated and maintained in the Service File will be reduced substantially as some transaction forms will be replaced with data entry documents which may have a much shorter retention period.</p> <p>Also Note: See Attachment 1 to this schedule. Attachment 1 identifies the personal records commonly found in personnel files maintained in the department (see HRS-20-06 - all parts). It further identifies where the "office of record" (office responsible for maintenance of the record) has been assigned for most common personnel records found in the City.</p>	EMP300	ACT+5	ACT+6	ACT+6 *	MAXACT	HUMAN RESOURCES	PUBLIC PRIVATE MS 13.43	* Active ceases when employee separates.

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HRS-20-06	<p>Human Resources Schedule Personnel Files</p> <p>Department Personnel File</p> <p>The department personnel file consists of a variety of records related to an individual's employment with the City. The recommended arrangement of the file is based on groupings of records that have similar functions within the file. The "model" department personnel file is one file that is divided into the following sections:</p> <p>Employment History (use HRS-20-06-02), Employee Training (use HRS-20-06-04), Commendations/Awards/Letters (use HRS-20-06-06), Disciplinary Actions (use HRS-20-06-10), Performance Evaluations (use HRS-20-06-10), Also use HRS-20-04 (Service File) HRS-30 (Supervisor Management File) and HRS-40 (Medical Records for Employees).</p> <p>Note: See Attachment 1 to this schedule, which identifies the records commonly found in Department Personnel files. The Document identifies the office that is responsible for the maintenance and retention of each record (Office of Record).</p> <p>Also Note: Medical records must be maintained in a separate locked cabinet in a location apart from HRS-20-04 (Service File) and HRS-20-06 (Department Personnel File). All medical records are Private/confidential and have longer and more stringent retention requirements than other department personnel records.</p>	EMP300	ACT+5	ACT+6	ACT+6 *	MAX3	DEPARTMENT	PUBLIC/PRIVATE SEE ATTACHMENT 1	* Active ceases when employee separates.
HRS-20-06-02	<p>Human Resources Schedule Personnel Files</p> <p>Department Personnel File</p> <p>Employment History (Section 1)</p> <p>The purpose of this section is to document the chronology of an employee's general employment history. It is used to document activity in the following areas: Application and hire information, status changes, policy sign-offs, final agreements/actions and accident/incident reports. A brief explanation of each area follows:</p> <p>Application and Hire Information: The purpose of these</p>	EMP300	ACT+5	ACT+6	ACT+6 *	MAX3	DEPARTMENT	PUBLIC/PRIVATE SEE ATTACHMENT 1	* Active ceases when employee separates.

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	records is to document the hiring process, which includes initial hiring and application materials for new and promotional hires. Records may include: Resume, application, certification, etc.								
	Status Change: The purpose of these records is to document employment changes and actions that occur during an employee's tenure with the City. Examples of these documents include the following: Job Change forms, Personnel Action forms, Employee Information Updates, Requests for Date/Hours Adjustment, conversion Credit Forms, Transfer forms, Hire forms, Reclassification letters, Separation forms, Layoff documents and Request for Leave of Absence.								
	Policy Sign-Offs: The purpose of these records is to document the receipt of citywide and department policy documents. Records may include: Email Policy, Sexual Harassment Policy sign-off, etc.								
	Final Agreements and Actions: The purpose of these records is to document the final agreements and actions on grievances, arbitration decisions and settlements. Records may include: Final arbitration decisions and settlement agreements, etc.								
	Accident/Incident Reports: The purpose of these records is to document the occurrence of non-medical accidents/incidents that occur on City of Minneapolis time or with City property.								
	Note: The City is currently implementing a computerized Human Resource Information System that integrates human resource, payroll and benefits administration processes. In time, the number and volume of formal paper documents will be reduced and many will become data entry documents that may have a much shorter retention period than that of the Department Personnel File.								

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HRS-20-06-04	<p>Human Resources Schedule Personnel Files Department Personnel File Employee Training (Section 2) The purpose of this section is to maintain a training history of an employee and may include a record of required and non-required training completed both through the City and outside the City. Records may include: Diplomas, confirmation of completion of training, transcripts, training history logs, etc. Note: Employees are strongly encouraged to maintain their own file of specific classes that they have attended. Also see HRS-60 series for additional information regarding training.</p>	EMP300	ACT+5	ACT+6	ACT+6 *	MAX3	DEPARTMENT	PUBLIC/PRIVATE SEE ATTACHMENT 1	
HRS-20-06-06	<p>Human Resources Schedule Personnel Files Department Personnel File Commendations/Awards/Letters (Section 3) The purpose of this section is to document the recognition that an employee receives for his/her efforts. The recognition can be work and non-work related. Records may include: Awards, congratulatory notes, certificates of appreciation, etc.</p>	EMP300	ACT+5	ACT+6	ACT+6 *	MAX3	DEPARTMENT	PUBLIC/PRIVATE SEE ATTACHMENT 1	* Active ceases when employee separates.
HRS-20-06-08	<p>Human Resources Schedule Personnel Files Department Personnel File Disciplinary Actions (Section 4) The purpose of this section is to document all conduct (i.e. poor performance and misconduct) that results in final disciplinary action (i.e. written reprimands, suspensions, demotions and discharge). This section is also used to provide a historical record/chronology of an employee's disciplinary record. Records may include: Formal disciplinary action documents (final), appeals of disciplinary actions, final disposition and supporting data, etc. Also see HRS-30 (Supervisor Management File) for additional information relating to disciplinary records. Discipline that is pending or active (not final), should not be held in the Departmental Personnel File. This information should be maintained in the Supervisor Management File until finalized. Note: Departments should segregate all supporting/detail documents if litigation occurs or while disciplinary actions are</p>	EMP300	ACT+5	ACT+6	ACT+6 *	MAX3	DEPARTMENT	PUBLIC/PRIVATE SEE ATTACHMENT 1	* Active ceases when employee separates.

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	<p>grieved or appealed. Use HRS 35 (Department Litigation File), HRS-80-02 (Grievances) and HRS-85-02 (Commission Appeals) for information regarding storage and retention of associated detail records.</p> <p>Also Note: Some union contracts contain language that limits the amount of time certain disciplinary actions can be held or relied upon to form the basis for future disciplinary action. Additionally, if disciplinary actions are overturned, records may need to be removed from this section of the file. Consult the Department HR Generalist of City Attorney for specific instructions regarding removal.</p>								
HRS-20-06-10	<p>Human Resources Schedule Personnel Files</p> <p>Department Personnel File Performance Evaluation (Section 5)</p> <p>The purpose of this section is to document an employee's demonstrated professional skills and abilities during employment with the City. This section provides a historical and chronological record of the employee's work and how their supervisor evaluated them. Records may include: Performance evaluations, efficiency ratings, work plans, etc.</p>	EMP300	ACT+5	ACT+6	ACT+6 *	MAX3	DEPARTMENT	PUBLIC/PRIVATE SEE ATTACHMENT 1	* Active ceases when employee separates.
HRS-20-06-12	<p>Human Resources Schedule Personnel Files</p> <p>Department Personnel File Benefits (Use HRS-90)</p> <p>Records related to employee insurance and benefit plan enrollment, changes and distributions. See HRS-90 (Benefits) for additional information relating to benefit records.</p> <p>Note: Employee benefit records should not be included as a part of the department personnel file. Benefits maintain all official records affecting each employee's benefits. If benefit records are included in the Department Personnel File, they should be included in a removable section of the file. Employees are strongly encouraged to maintain their own file of benefits transactions for personal reference and use.</p>	USE HRS-90							
HRS-20-06-14	<p>Human Resources Schedule Personnel Files</p> <p>Department Personnel File</p>	USE FNN-80							

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	<p>Payroll (Use FNN-80) Records related to employee payroll that document changes to payroll, compensation, leave history and tax statements. Records may include: Employee job change forms (payroll master change form), wage and tax statements, and other HRIS input forms used to update the payroll information in HRIS. Also see FNN-80 (Payroll) for retention information. Note: It is recommended that employee payroll records not be maintained as a part of the department personnel file. If special needs of the department dictate that the records be housed with the department personnel file, a separate (removable) file should be used to maintain individual employee payroll records. Also Note: The HRIS implementation will reduce the number and volume of formal paper documents and may will become data entry documents that may have a much shorter retention period than that of the Department Personnel File.</p>								
HRS-20-06-16	<p>Human Resources Schedule Personnel Files Department Personnel File I-9's I-9's are forms used by the City of Minneapolis to comply with the requirements of the United States Department of Justice (Immigration and Naturalization Service). Their purpose is to obtain appropriate documentation from an employee to verify his/her legal status for employment in the United States. Note: I-9's must be segregated and maintained in a separate file from the copy of the I-9's that may be found in the Department Personnel File (HRS-20-06). Use the Legal Section of the General Schedule (LEU-80) for retention of Compliance Government records.</p>	LEG003	ACT+3	ACT+3	ACT+3 *	MAX1	DEPARTMENT	PUBLIC PRIVATE MS 13.43	* Active ceases when employee separates.
HRS-30	<p>Human Resources Schedule Supervisor Documentation Section Overview The purpose of Supervisor Documentation is to provide a supervisor's record of ongoing employee matters. Once an issue or concern is finalized, materials are shifted to the appropriate section of the Department Personnel File.</p>								

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HRS-30-02	<p>Human Resources Schedule Supervisor Documentation Supervisor Management File</p> <p>The purpose of these records (maintained by department supervisors) is to collect information and to document employee behavior concerning performance and alleged misconduct. The types of records that may be found in this series may include but are not limited to: journals documenting time and attendance, complaints against an employee that have not been resolved, memos concerning performance issues, memos reminding the employee about policies and procedures, in process performance evaluations, verbal reprimands, disciplinary actions (not final). Not final means that the disciplinary action is in the process of being grieved through the employee's collective bargaining agreement or appealed to the Minneapolis Civil Service Commission. The supervisor management file should be maintained in a secure place. When complete, a record of final disciplinary actions should be shifted to HRS-20-06-08 (Department Personnel File - Disciplinary Actions Section 4).</p> <p>Note: Police and Fire union contracts contain language that limits the amount of time certain disciplinary actions can be held or relied upon to form the basis for future disciplinary action. Additionally, if disciplinary actions are overturned, records may need to be removed from this section of the file. Use Police and Fire Operational Schedules for retention instructions regarding these records or consult the Department HR Generalist or City Attorney.</p> <p>Also Note: All medical and disability information including information on restrictions must be maintained in HRS-40 (Medical Records for Employees).</p>	EMP300	ACT+5	ACT+6	ACT+6 *	MAX3	DEPARTMENT	PUBLIC PRIVATE MS 13.43	* Active ceases when employee separates.
HRS-35	<p>Human Resources Schedule Department Legal Review Section Overview</p> <p>The purpose of Department Legal Review records is to document employee-related disputed or litigated matters.</p>								

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HRS-35-01	<p>Human Resources Schedule Department Legal Review Disputed Information These records include information from the service file and/or the department personnel file that the employer and employee agree to remove and/or destroy.</p>	CIT009	0	AC	AC *	ACT	DEPARTMENT	PUBLIC PRIVATE MS 13.43	* Maintain based on labor-management agreement
HRS-35-02	<p>Human Resources Schedule Department Legal Review Department Litigation File The purpose of this series is to document employee-related litigated matters. This file contains copies of what is maintained by the City Attorney. Because litigation records and supporting documentation may be attorney/client or otherwise privileged, these records are maintained separate from the Department Personnel File. Records may include EEOC and other litigation documents and correspondence with the City Attorney. For retention purposes, the departments should use copyholder retention for LEU-60-08.</p>	USE LEG-30-02							
HRS-40	<p>Human Resources Schedule Medical Records Section Overview The purpose of Medical Records is to provide documentation of job-related medical information. This includes medical information produced as a direct result of employment and outside medical information that impacts employment.</p>								
HRS-40-02	<p>Human Resources Schedule Medical Records Department Medical Records For Employees The purpose of these records is to document an employee's medical status for purposes of absence from or return to work, as well as to document information from routine health screen exams, pre-employment medical exams, fitness for duty and identification of medically recommended work restrictions. The records provide medical information for Human Resources management purposes. The occupation health medical provider(s) for the City maintain(s) the detailed medical records of the services they provide. However, some information is provided to City departments and/or the Civil</p>	EMP500	ACT+30	ACT+30	ACT+30 *	MAX3	DEPARTMENT HUMAN RESOURCES MEDICAL PROVIDER	PRIVATE MS 13.43 29 CFR1630.14	* Active ceases when employee separates.

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	<p>Service Commission/ Human Resources Department via reports, forms and/or work restrictions, injuries and illnesses requiring absence from work (use of sick leave or medical leave of absence.), fitness for duty exams, drug/alcohol tests, documents of results of occupational health screening. Related documents which may contain medical information or attachments with medical information include: Requests for medical leaves of absence, sick leave forms, leave of absence requests and return to work verification, Requests for injury on Duty Leave (Fire and Police Sworn only), Supervisors' Reports of injury, First Reports of Injury, and medical referral forms and letters. Use the HES (Health and Safety) section of this manual for additional information and descriptions of specific medical records and see Attachment 2 of this document.</p> <p>Note: Medical records <u>must</u> be maintained in a separate locked cabinet in a location apart from other personnel files. All medical/psychological records are private/confidential and have longer and more stringent retention requirements than other personnel records. Requests for psychological records should be reviewed with the Office of the City Attorney before release.</p>								
HRS-50	<p>Human Resources Schedule Classification Section Overview The purpose of job classification it to determine the appropriate grade level, title and minimum requirements for a position.</p>								
HRS-50-02	<p>Human Resources Schedule Classification Classification Studies The purpose of these records is to define and standardize the nature and character of the work for specific positions/classifications. Records may include: Current and previous job questionnaires, interviews, research of other jurisdictions, correspondence, appeals, classification factor worksheets and report of findings.</p>	BUS150	ACT+10	ACT+1	ACT+10 *	MAXACT	HUMAN RESOURCES	PUBLIC	* Active ceases when no longer used, or is eliminated or replaced.

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HRS-50-04	<p>Human Resources Schedule Classification</p> <p>Position Descriptions (Job Specifications)</p> <p>The purpose of these records is to provide a condensed description of the minimum requirements for each position in the City. The descriptions are derived from information obtained during the classification process. The position description includes general responsibilities, typical duties and minimum qualifications required (may also include physical demands of job).</p>	BUS150	ACT+10	ACT+1	ACT+10 *	MAXACT	HUMAN RESOURCES	PUBLIC	* Active ceases when no longer used, or is eliminated or replaced.
HRS-50-06	<p>Human Resources Schedule Classification</p> <p>Lines Of Promotion</p> <p>The purpose of these records is to document the organization of jobs by occupation groups. A hierarchical ranking is assigned to different jobs within the same grade. This information is currently being maintained in the HRIS system. The lines of promotion are used to determine order of layoff as required by Civil Service.</p>	EMP900	3	ACT+3	ACT+3 *	MAX1	HUMAN RESOURCES HRIS	PUBLIC	* Active ceases when no longer used, or is eliminated or replaced.
HRS-60	<p>Human Resources Schedule Training Section Overview</p> <p>The City of Minneapolis sponsors and supports training to employees to help ensure a work force with the skills and knowledge sufficient to compliance with mandated industry, state and federal training requirements and to offer employees opportunities for professional development. Individual departments may consent, encourage and/or subsidize employee attendance at training conducted by other education organization. Records related to the training not sponsored by the City are not covered in this schedule. Employees are strongly encouraged to maintain their own file of specific classes that they have attended.</p>								
HRS-60-02	<p>Human Resources Schedule Training Application/Attendance Records – Department</p> <p>The purpose of these records is to document an employee's application and/or attendance/completion of training courses including professional development training (required and non-required) and safety related training. Records may include: Application, authorizations and certificates of</p>	EMP300 EMP800	ACT+5	10	10	MAX1	DEPARTMENT	PUBLIC PRIVATE MS 13.43	

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	completion, etc. Because the records of attendance may provide evidence of training compliance dictated by industry, state and federal guidelines, the records should be organized to provide efficient access. These records may be used to create HRS-60-06 (Record of Training History for Employees). Departments are strongly encouraged to maintain these records as part of the Department Personnel File (and the associated retention for the Department Personnel File). Use HRS-20-06-04 (Department Personnel File - Employee Training section). Use FNN-10-08 (Employee Reimbursement Records) for the financial records associated with training, tuition and/or travel.								
HRS-60-04	<p>Human Resources Schedule Training</p> <p>Application/Attendance Records – Training Sponsor</p> <p>The purpose of these records is to document attendance and/or completion of training courses including professional development training, safety related training and/or mandatory training. Records may be paper based or electronic (database) to track attendance at specific training courses. In most cases the data has been organized by training class rather than by individual and therefore these records cannot be used to track an employee's training history. Because the records of attendance may provide evidence of training compliance dictated by industry, state and federal guidelines, the training sponsor is strongly encouraged to develop systems to provide each department with a n employee's yearly training history or provide a certificate of completion for each training class taken. It is the responsibility of the Training Sponsor to either maintain records that can authenticate completion of training for an employee or provide departments with an effective means to update and maintain training history records for employees.</p>	EMP300 EMP800	ACT+5	ACT+6	ACT+6 *	MAX1	TRAINING SPONSOR	PUBLIC PRIVATE MS 13.43	* Maintain until after transferred to a training history record (see HRS-60-06). If the records are not transferred to a history record, active ceases when employee separates.
HRS-60-06	<p>Human Resources Schedule Training</p> <p>Record Of Training History For Employees</p> <p>The purpose of these records is similar to Training Application/Attendance Records (Department and Training Sponsor). Attendance and completion certificates are used to create a training history log, which itemizes each employee's</p>	EMP300 EMP800	ACT+5	ACT+6	ACT+6 *	MAX1	DEPARTMENT	PUBLIC PRIVATE MS 13.43	* Active ceases when employee separates.

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	training history. A training history record is required for all safety related training. Training History should be maintained in the Department Personnel File and should transfer with the employee when they transfer to other City departments. The retention of this record is dictated by the same retention requirements as HRS-20-06 (Department Personnel File).								
HRS-60-08	<p>Human Resources Schedule Training</p> <p>Course Listings (Course Catalog)</p> <p>The purpose of these records is to provide a listing or catalog of course offerings from Human Resources, ITS and other agencies. Course listings may include information pertinent to course offerings, dates, fees, registration deadlines and sample registration forms. Each Training Sponsor is required to maintain a master record of the course listings they provide. All other copies of the publications are non-records (and need not be retained).</p>	EMP800	ACT+3	ACT+3	ACT+3 *	MAX1	TRAINING SPONSOR	PUBLIC	* Active ceases when no longer used or is eliminated or replaced.
HRS-60-10	<p>Human Resources Schedule Training</p> <p>Course Evaluations</p> <p>The purpose of these records is to document course attendee evaluations of training classes and instructors. Records may include: Completed course/instructor evaluation forms and Training Sponsor comments.</p>	EMP800	ACT+3	ACT+3	ACT+3 *	MAX1	TRAINING SPONSOR	PUBLIC	* Active ceases when completed
HRS-60-12	<p>Human Resources Schedule Training</p> <p>Course Materials – Professional Development (Required)</p> <p>The purpose of these records is to document the curriculum, content and administration of City of Minneapolis training that is required (i.e.; Diversity Training). The records may provide evidence during arbitration or litigation. They may also be used as evidence of compliance with federal and/or state statutes and regulations during investigations and/or litigation of allegations of discrimination. Use HRS-20-06-04 (Department Personnel File - Employee Training section) for records relating to the training history of individual employees.</p>	EMP800	ACT+3	ACT+6	ACT+6 *	MAX1	TRAINING SPONSOR	PUBLIC	* Active ceases when no longer used or is eliminated or replaced

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HRS-60-14	<p>Human Resources Schedule Training</p> <p>Course Materials – Professional Development (Non-Required)</p> <p>The purpose of these records is to document the curriculum, training materials, handouts, presenters and related materials for Professional Development, non-required courses sponsored by the City. The Training Sponsor is required to maintain a summary record or master record of course materials, including handouts, for the required retention period. All other copies of the course materials including handouts may be destroyed when no longer applicable.</p>	EMP800	ACT+3	ACT+3	ACT+3 *	AS	TRAINING SPONSOR	PUBLIC	* Active ceases when no longer used or is eliminated or replaced
HRS-60-16	<p>Human Resources Schedule Training</p> <p>Course Materials – Safety Related Training</p> <p>The purpose of these records is to document the curriculum, content and administration of safety and environmental training. Training programs include training that is mandated by Federal, State, City laws and rules and regulations to meet OSHA and Police/Fire training requirements. Most standards address course content versus specific retention requirements for course materials relating to Safety Related Training (however, see 29 CFR 1915.1001 as an exception). Course materials may be required to ascertain compliance with course content requirements. Prior to destruction of the records, departments must ensure that no legal actions have been initiated which might require access. Use HRS-20-06-04 (Department Personnel File - Employee Training section) for records relating to the training history of individual employees.</p>	EMP500 EMP800	IND	IND	IND	MAX1	TRAINING SPONSOR	PUBLIC	
HRS-60-18	<p>Human Resources Schedule Training</p> <p>Vendor Files</p> <p>The purpose of these records is to document information pertaining to training vendors who have provided training for the City. The records may include: Class outlines, resumes and instructional materials. For records related to procurement or payment of services use the Accounting and Finance General Schedule (Accounts Payable and Purchasing).</p>	NONE	0	6	6	MAX1	TRAINING SPONSOR	PUBLIC	

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HRS-70	Human Resources Schedule Affirmative Action Section Overview The City of Minneapolis is required to develop and administer Affirmative action programs to comply with various state and federal requirements. The purpose of the Affirmative Action records is to document the programs that ensure equal employment opportunities for and prevent discrimination of members of protected classes including racial and ethnic minorities, women, disabled persons, and Vietnam era veterans.								
HRS-70-02	Human Resources Schedule Affirmative Action Affirmative Action Plans Plans and procedures developed by Affirmative Action to establish affirmative action goals and support their achievement in compliance with state and federal requirements.	BUS150	ACT+10	ACT+20	ACT+20 *	MAXACT	AFFIRMATIVE ACTION	PUBLIC	* Active ceases when no longer used or is eliminated or replaced
HRS-70-04	Human Resources Schedule Affirmative Action Affirmative Action Complaint Files The purpose of these records is to document complaints, investigations and resolutions of affirmative action issues including: EEO, ADA, discrimination, sexual harassment, etc. Records may include: Summary of interviews, investigation notes, correspondence, applicable legal documents and resolutions, etc. Affirmative Action is the Office of Record for complaints filed with the Affirmative Action Management Division. The City Attorney is the Office of Record for litigation associated with EEO, ADA, discrimination and sexual harassment complaints (Use LEU-60-08). Note: Use HRS-35-02 (Department Litigation File) for information and retention of records associated with employee litigation.	LIT000	ACT+6	ACT+6	ACT+6 *	MAXACT	AFFIRMATIVE ACTION/CITY ATTORNEY	PUBLIC/PRIVATE CONFIDENTIAL MS 13.39 MS 13.43	* Active ceases closure, final ruling or agreement.
HRS-70-06	Human Resources Schedule Affirmative Action Confidential Data Forms Of Applicants Not Hired The purpose of these records is to collect information to provide a statistical profile of the current and past City workforce. The base information is used to document the	LEG000 CIT020	6	6	6	MAXACT	AFFIRMATIVE ACTION	PUBLIC/PRIVATE CONFIDENTIAL MS 13.39 MS 13.43	

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	make-up of the workforce for City, State, and Federal reporting. Records may include: Confidential Data Forms or HRIS summarized information.								
HRS-70-07	Human Resources Schedule Affirmative Action Confidential Data Forms Of Applicants Hired The purpose of these records is to collect information to provide a statistical profile of the current and past City workforce. The base information is used to document the make-up of the workforce for City, State, and Federal reporting. Records may include: Confidential Data Forms or HRIS summarized information.	LEG000 CIT020	ACT+6	6	ACT+6 *	MAX3	AFFIRMATIVE ACTION	PUBLIC/PRIVATE CONFIDENTIAL MS 13.39 MS 13.43	* Active ceases when employee separates.
HRS-70-08	Human Resources Schedule Affirmative Action Affirmative Action Departmental Tracking The purpose of these records is to track the compliance with Affirmative Action Goals (Hiring and Termination Logs) as well as reports regarding goal establishment, filling positions, etc.	LEG000	6	6	6	MAX3	AFFIRMATIVE ACTION	CONFIDENTIAL SECT. 709 (e) TITLE VII CIVIL RIGHTS	
HRS-70-10	Human Resources Schedule Affirmative Action Compliance Reports - Use LEU-80 The purpose of these records is to document the affirmative action policies, programs and activities of the City of Minneapolis Affirmative Action Program. Use LEU-80 (Compliance Government) in the Legal Section of the General Schedule for the scheduling of these records.	USE LEG-40							
HRS-80	Human Resources Schedule Labor Relations Section Overview Records related to the relations between the City of Minneapolis, labor unions and employees.								
HRS-80-02	Human Resources Schedule Labor Relations Grievance Files The purpose of these records is to maintain, track and document grievances made by employees. Records may	LIT000	ACT+6	ACT+6	ACT+6 *	SEE NOTE	LABOR RELATIONS CITY ATTORNEY	PUBLIC PRIVATE MS 13.43	* Active ceases when final agreement/settlement/resolution reached.

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	include: grievances, department responses, disciplinary actions, notices of intent to arbitrate, letters of agreement, arbitration decisions, etc. Labor Relations is the Office of Record for Grievances. The City Attorney is the Office of Record for litigation associated with Grievances (Use Case Files on the City General Schedule for Administrative records.) Note: All supporting/detail documents should be segregated from personnel files while disciplinary actions are grieved or appealed. The final result of the grievance may be included in HRS-20-06-08 (Disciplinary Actions section of the Department Personnel File). Also Note: Some union contracts contain language that limits the amount of time certain disciplinary actions can be held or relied upon to form the basis for future disciplinary action. Additionally if disciplinary actions are overturned, records may need to be removed from this section of the file. Consult the Department HR Generalist or City Attorney for specific instructions regarding removal.								
HRS-80-06	Human Resources Schedule Labor Relations Collective Bargaining Agreements/Workpapers And Negotiations The purpose of these records is to document the agreements between the City and labor unions establishing the terms and conditions of labor-management relations. These records are of continuing importance from an administrative context because they contain contract language and interpretations of contract language and policy issues. Also see Contracts - Collective Bargaining Agreements LEU-70-04 for the contract. Retention Note: Prior to destruction contact the State Archives for selection and disposition	CON010	ACT+6	IND	IND+6 *	MAXACT	LABOR RELATIONS	PUBLIC PRIVATE MS 13.43	* Indefinite means that records must be reviewed periodically to determine when no longer required and can be destroyed.
HRS-80-08	Human Resources Schedule Labor Relations Compliance Reports – Use LEU-80 The purpose of these records is to track the compliance of the City in meeting the Labor Relations reporting obligations for various City management and state oversight agencies. Use LEU-80-16 AND LEU-80-18 for the scheduling of these records.	USE LEG-40							

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HRS-83	<p>Human Resources Schedule Background Investigations Section Overview Records related to the background investigation of employees and/or applicants.</p>								
HRS-83-02	<p>Human Resources Schedule Background Investigations Criminal Background Investigations – Non-Sworn Personnel Criminal background investigation records document an investigation into an employee's or an applicant's criminal background to determine suitability for hiring, promotion, or assignment into a job title or function. The records may include: Informed Consent Form, investigative information or results, clearance certifications, tracer letters, correspondence, etc. These records should be kept separate from an employee's personnel file. Note: See Minnesota Statute 181.960, subd. 4(2).</p>	EMP350	7	ACT	7	MAXACT	HUMAN RESOURCES	PUBLIC/PRIVATE MS 13.87	
HRS-85	<p>Human Resources Schedule Civil Service Commission Section Overview The Civil Services Commission establishes and implements rules to govern the personal practices directed by City Charter.</p>								
HRS-85-02	<p>Human Resources Schedule Civil Service Commission Commission Appeal Files The purpose of these records is to document appeals to the Civil Service Commission. The majority of appeals are related to disciplinary actions such as suspensions, demotions or discharge. The records may include: Copies of the Department Personnel File, Supervisor Management File, Services File, exhibits, transcripts, Commission findings of fact and decisions. Civil Service is the Office of Record for Appeals. The City Attorney is the office of Record for litigation associated with Appeals (Use Case Files on the City General Schedule for Administrative Records.) Note: All supporting/detail documents should be segregated from Personnel Files while disciplinary actions are pending or</p>	LIT000	ACT+6	ACT+6	ACT+6 *	SEE NOTE	CIVIL SERVICE CITY ATTORNEY	PUBLIC PRIVATE MS 13.43	* Active ceases when final agreement/settlement is reached.

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	<p>appealed. The final result of the appeal may be included in HRS-20-06-08 the Disciplinary Actions section of the Department Personnel File.</p> <p>Also Note: Some union contracts contain language that limits the amount of time certain disciplinary actions can be held or relied upon to form the basis for future disciplinary actions. Additionally, if disciplinary actions are overturned, records may need to be removed from this section of the file. Consult the Department HR Generalist or City Attorney for specific instructions regarding removal.</p>								
HRS-90	<p>Human Resources Schedule Benefits Section Overview The purpose of these records is to maintain, track and report on employee participation in the available City run or sponsored benefit programs.</p>								
HRS-90-02	<p>Human Resources Schedule Benefits Employee Benefit Election File The purpose of these records is to document the election of benefits including initial enrollment, status changes, vacation/sick leave accrual adjustments, pension/life enrollments and employee separation. This file provides a chronological history of an employee's benefits activity. Records may include: Elections for medical, dental, basic life, optional life, beneficiaries and spending accounts, change forms, open enrollment forms, COBRA forms, separation elections, life insurance claims (including death claim) and associated correspondence.</p>	EMP110	ACT+6	ACT+6	ACT+6 *	MAXACT	BENEFITS	PUBLIC PRIVATE MS 13.43	* Active ceases when employee separates.
HRS-90-04	<p>Human Resources Schedule Benefits Spending Account Claim File The purpose of these records is to provide the detail of each claim applied against an employee's MinneFlex plan balance. Records may include: Enrollment elections and change forms, spending account reimbursement request forms and back-up documentation.</p>	EMP100	6	3	6	MAX1	BENEFITS	PUBLIC PRIVATE MS 13.43	

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HRS-90-06	<p>Human Resources Schedule Benefits</p> <p>Spending Account Reconciliation Reports</p> <p>The purpose of these records is to report the yearly expenses applied against an employee's MinneFlex plan balance. Records may include: Spending account reconciliation report. Use FNN-80-06 (Payroll Worksheets/Deduction Register) and FNN-80-08 (Payroll Register) for the retention of payroll summary reports.</p>	EMP100	6	3	6	MAX1	BENEFITS	PUBLIC	
HRS-90-08	<p>Human Resources Schedule Benefits</p> <p>Deferred Compensation File</p> <p>The purpose of these records is to document the enrollment, changes in contribution, plan provider and withdrawal/distribution selection. Records may include: Enrollment and change forms, disbursement elections, hardship withdrawals, etc. Note: Employees are responsible for maintaining their own copy of contributions, investment options and earnings.</p>	EMP110	ACT+6	ACT+6	ACT+6 *	MAXACT	BENEFITS	PUBLIC/PRIVATE	* Active ceases when employee separates.
HRS-90-10	<p>Human Resources Schedule Benefits</p> <p>Deferred Compensation Reports</p> <p>The purpose of these records is to report the information pertinent to contributions, earnings and investment options for the deferred compensation plans. Records may include: Copies of Aetna and other plan provider reports. Use FNN-80-06 (Payroll Worksheets/ Deduction Register) and FNN-80-08 (Payroll Register) for the retention of payroll summary reports.</p>	EMP120	IND	IND	IND *	MAX1	BENEFITS	PUBLIC	* Indefinite means that records must be reviewed periodically to determine when no longer required and can be destroyed.
HRS-90-12	<p>Human Resources Schedule Benefits</p> <p>Employee Benefits Reports</p> <p>The purpose of these records is to document the yearly City and employee contributions to the medical/dental/life benefit insurance plans. Records may include dental provider claim/bills, basic life premium statements, optional life report/premium statements, medical/dental/life insurance addendums and check requests/deposits. Use FNN-80-06 (Payroll Worksheets/Deduction Register) and FNN-80-08</p>	EMP120	IND	ACT	IND *	MAX1	BENEFITS	PUBLIC	* Indefinite means that records must be reviewed periodically to determine when no longer required and can be destroyed.

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	(Payroll Register) for the retention of payroll summary reports								
HRS-90-14	<p>Human Resources Schedule Benefits Leave Accrual (Annual) Report Payroll leave accrual is a report that provides the detailed accounting of accumulated vacation, floating holidays, sick and comp time. Bi-weekly reports may be used as a proof to verify that the entry made was correct. An annual report of accumulations of reports is required for historical reference and is used to calculate the leave use averages for trade tables for use in contract negotiations.</p>	EMP120	IND	ACT	IND *	MAX1	BENEFITS	PUBLIC	* Indefinite means that records must be reviewed periodically to determine when no longer required and can be destroyed.
HRS-90-16	<p>Human Resources Schedule Benefits Compliance Reports – Use LEU-80-06 The purpose of these records is to document the yearly pre-tax premiums for benefit plans administered to all city agencies. Records may include: IRS Form 5500 under ERISA filed for each plan and the detail records that support each filing. Use Compliance Government in the Legal Section of the General Schedule LEU-80.</p>	USE LEG-40-04							
HRS-95	<p>Human Resources Schedule Policies And Procedures (Use ADM-30-28) Section Overview The purpose of these records is to document HR policies and procedures derived from Civil Service Rules, Council actions, management directives, union contracts and Federal and State Requirements and the procedures/steps required to implement them.</p>								
HRS-95-02	<p>Human Resources Schedule Policies And Procedures (Use ADM-30-28) Civil Service Rules – Use ADM-20-10 The purpose of these records is to document the rules associated with the Human Resource practices for classified positions in the City established by the Civil Service Commission. Records may include the Civil Service Rules and Charter Provisions Manual.</p>	USE ADM-20-10							

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HRS-95-04	<p>Human Resources Schedule Policies And Procedures (Use ADM-30-28) HR Policies/Procedures - Council Approved - Use ADM-30-30</p> <p>The purpose of these records is to document citywide and council approved policies and procedures for HR practices. Examples of Council Approved Policies include: Residency Requirements, Sexual Harassment Training, Internet E-mail and Web Site Policy, etc.</p>	USE ADM-30-30							
HRS-95-06	<p>Human Resources Schedule Policies And Procedures (Use ADM-30-28) HR Policies/Procedures-Department Specific - Use ADM-30-32</p> <p>The purpose of these records is to document the HR policies and procedures maintained by the department, which are department specific. Records may include policies on internal transfers, vacation scheduling, shift assignments, specific job function procedures, etc.</p>	USE ADM-30-32							

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