

The City Of Minneapolis

How to Use the Retention Schedule

Introduction

The City of Minneapolis General Retention Schedule has been created to provide departments with uniform guidelines for the definition, retention and disposition of common records found throughout the City. Records provide comprehensive documentation of City transactions and affairs and they are the foundation for government accountability. Departments need to maintain adequate documentation of transactions and activities to meet internal administrative needs, for legal purposes and for program and government compliance requirements. A retention schedule is a document that lists records that are created and received by the City and identifies the length of time a record must be retained prior to its final disposition.

1.0 Retention Schedule Purpose

The purpose of a retention schedule is to:

- Provide a plan for managing governmental records as required under Minnesota Statutes 15.17, 138.225 and 138.161-.21.
- Provide departments with uniform guidelines for the definition, retention and disposition of common records found throughout the City.
- Ensure that departments retain City records as long as needed for administrative requirements and to meet legal, fiscal, historical and other state of Minnesota and federal requirements.
- Promote cost-effective management of records.
- Provide the legal authorization to dispose of obsolete records on a regularly scheduled basis after meeting stated retention periods.

2.0 Schedule Selection and Priority for Use

The City of Minneapolis has adopted a number of retention schedules that will help departments as they identify and schedule their records. The schedules include the City of Minneapolis General Retention Schedule, Department Specific Schedules and General Retention Schedule for Minnesota Cities.

Three schedules have approved for use by the City in order to address unique records that were not included in the original General Retention Schedule or for departments that have not yet completed a formal records management inventory and scheduling process.

2.1 The recommended order for use is:

- City of Minneapolis General Retention Schedule
- Department Specific Schedules
- General Retention Schedule for Minnesota Cities (see description of limitations)

2.2 The City of Minneapolis General Retention Schedule (first priority)

The *General Retention Schedule* has been divided by function and includes the following major sections: Administrative, Finance and Accounting, Health and Safety, Human Resources, Legal and Property and Equipment. Each of the major sections was developed by teams of employees who work with and are knowledgeable about records in each of the specific areas. Use of the General Retention Schedule helps to standardize the retention time periods assigned to similar records, standardize the names assigned to records and provide departments with the information necessary to comply with federal and state retention requirements for the management of these records.

The City of Minneapolis General Retention Schedule applies to all City departments. All departments will find the record series categories and retention periods listed in this document relevant in managing the records typically found throughout the City. It is understood that all departments may not have all types of the records listed in this schedule. **The schedule does not require records to be created if they do not exist or are not required for departments.**

2.3 Department Specific Schedules (second priority)

The *City of Minneapolis General Retention Schedule* does not include records that are specific to departments. Department specific schedules have been created for a number of City Departments that have requested additional records inventory and retention schedule assistance. The department specific schedules are organized by function and may include cross references to the City of Minneapolis General Retention Schedule when necessary. Department Specific Schedules include: Public Health and Community Service, Public Safety, Public Works and Community Planning and Economic Development (CPED).

2.4 General Retention Schedule for Minnesota Cities (third priority)

The *General Records Retention Schedule for Minnesota Cities* (no. 014-001) is available in [PDF](#) on the Minnesota Clerks and Finance Officers Association (MCF0A website). The schedule can be used as a third priority – if records are

not covered by the City of Minneapolis General Retention Schedule or by Department Specific Schedules. Departments must contact City of Minneapolis Records Management if the schedule will be utilized to transfer records to the City Records Center and/or when used to document the destruction of government records.

2.5. Use of the Schedule(s)

Retention Schedules can be used to facilitate the development of standardized filing systems and to simplify the process for breaking, shifting and transferring records to the City Records Center on an annual basis. Departments should review each record series to determine the event used to cut off or break their files to promote efficient disposition. For instance, many departments use the year-end to cut off or break files. At the end of each year, records created for that year are either shifted to less active filing space or are boxed and sent to the City Records Center for long term storage. In certain instances (as with Project Files, Grievances or Affirmative Action Complaint files), it is difficult, to cut off or break files annually. These files may need to be maintained in departments until they are no longer active or until a final action has taken place. To this end, department staff should consult the retention schedule to identify the event that should be used to mark files when they close, become inactive or develop methods to logically cut off files periodically.

3.0 Record versus Non-Record

The schedule applies to only those common materials that are considered records. While many of the documents that individuals maintain are records, some documents can be classified as non-record material. Before scheduling any material, the user must first determine whether the material is a record.

3.1 Record

A record is any material that meets the definition found in MN Statute 138.17:

The term "government records" means state and local records, including all cards, correspondence, discs, maps, memoranda, microfilms, papers, photographs, recordings, reports, tapes, writings, optical disks, and other data, information, or documentary material, regardless of physical form or characteristics, storage media or conditions of use, made or received by an officer or agency of the state and an officer or agency of a county, city, town, school district, municipal subdivision or corporation or other public authority or political

entity within the state pursuant to state law or in connection with the transaction of public business by an officer or agency;

Generally speaking, a record is any material that is used for, captures or is a part of the official business of the City and has administrative, fiscal, legal or historical value.

3.2 Non-Record

A document that does not meet the definition in 3.1 is considered a non-record. Non-record material is usually data and information that is not part of an official transaction, has no substantial value, and does not contribute to an understanding of City operations or decision-making processes.

Examples of non-records include:

- Extra copies of official record documents kept solely for ease of access and reference
- Information/reference copies of records sent to you for interest only
- Temporary drafts that were not circulated, reviewed or used to make decisions or complete transactions
- Electronic version of documents, transactions or reports, when the record is retained on paper or other media to provide evidence or for legal or audit purposes
- Stocks of publications
- Catalogs from vendors
- Blank forms
- Junk Mail
- Personal messages

4.0 Scope of the General Retention Schedule

The City of Minneapolis General Retention Schedule (schedule that applies to all departments) covers common record series that departments create and use for the following major sections: Administrative, Finance and Accounting, Health and Safety, Human Resources, Legal and Property and Equipment. To make the document as usable as possible, the information is presented by functional areas. Individual departments may use different terminology and may file record series differently but the function of the record should be similar to that stated on the retention schedule. For record retention and records storage purposes, the standardized record series name and number indicated on this schedule must be used.

4.1 Functional Areas Included in the General Retention Schedule

The schedule contains record series from the following major sections and functional areas:

Administrative

City Governance/Administration
Policies and Procedures
Correspondence and Subject
Analysis/Planning and Project Management
General Administrative
Records Management
Information Systems
Reference Materials

Legal

Legal Opinions
Contracts/Agreements
Litigation/Claims
Compliance – Government

Human Resources

Applicant Processing
Department Interview/Testing
Personnel File
Supervisor Management File
Litigation File – Department
Medical Records
I'9's
Classification
Training
Affirmative Action
Labor Relations
Civil Service
Benefits

Property and Equipment

Equipment, Maintenance and Use
Property

Health and Safety

Medical Records
Workplace Monitoring and
Inspection/Testing
Employee Monitoring/Testing
Occupational Injury and Illness Reporting
Accident Records – Vehicle and Equipment
Training
Workers' Compensation Claims
Reference

Finance and Accounting

Accounts Payable
Cash and Revenue
Journals/Ledgers and Adjustments
Reports
Financial System Documentation
Audits
Fixed Assets
Stores/Inventory/Equipment Rental
Project and Job Accounting
Grant Accounting
Payroll
Budget
Purchasing

The schedule also provides cross-references to other related functional areas when a particular record series may relate to more than one functional area.

4.2 E-mail Records

E-mail messages meet the State of Minnesota definition of a record. E-mail, in and of itself, does not constitute a specific record series because all e-mail does not have the same value or retention requirements. The function and content of the e-mail determine which record series and corresponding retention period apply to a message.

Two broad classifications have been established to better manage e-mail records:

- *Record of Value*: E-mail that is required for ongoing legal, fiscal, administrative, operational or research purposes.
- *Transitory Record*: E-mail that is of short-term interest with no documentary or evidential value.

The user must first determine if an e-mail message is a record of value or a transitory record. If the message is a transitory record, it may be deleted at any time. If the message is a record of value, the user must then determine the nature and content of the e-mail and assign the message to a record series. Additionally, users must move these messages off the mail system to another format such as a word processing or paper file for storage.

The designation of material as records and the requirement to manage and retain these records does not differ based on the media involved. Whether material is in paper, microfilm, cassette or electronic form, if it has been designated as a record, it must be retained. Furthermore, just like other media such as paper or film, the user must determine what kind of record the material is (based on its content and function) and assign the corresponding record series and retention period. See the *Administrative Section, Correspondence and Subject, E-mail Records* for more detail. More information can also be found in the *City of Minneapolis Electronic Communication Policy*.

The retention of voice mail records is similar to that of e-mail. See the *Administrative Section, Correspondence and Subject, Voice Mail Records* for more detail.

5.0 How to Read and Interpret the Schedule

The retention schedule contains information relevant to the record subject and description (record series), a record series code, a legal code (which links legal requirements to each series), official retention periods, copyholder retention period, identification of the office of record and data practices considerations. A brief explanation of the major areas of the retention schedule follows:

5.1 Record Series Code, Name and Description

<i>Example:</i>	SERIES CODE HRS-14-02	SUBJECT/DESCRIPTION HUMAN RESOURCES DEPARTMENT INTERVIEW/TESTING RECORDS INTERVIEW/TESTING DETAIL RECORDS The purpose of these records is 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
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to HRS-20-06 (Department Personnel File) for the selected candidate.

A record series is a grouping of similar or related records that are used or filed as a unit. The record series code is the unique code that identifies each record series. The record series name and code is essential for reference prior to transferring records to the City of Minneapolis Records Center. An existing records series name and code must be approved prior to destroying records or accepting records at the Records Center. Each record series on the schedule includes an explanation of the purpose of the series and the types of records that may be included in the series. The description may also include notations regarding exceptions or cross-references to records on this schedule or other general schedules.

5.2 Legal Code

Example: Legal Code
 EMP120

The legal code is for administrative use only. The legal code is used to identify the grouping of similar and related laws that have been selected/applied to each record series.

5.3 Official Retention (Legal, User and Total)

Example: OFFICIAL RETENTION
 LEGAL USER TOTAL

The Official Retention column of the retention schedule is used to indicate the legal, user and total retention period for the record. This area may also include information pertinent to retention events (or the start of the retention time clock) for the series. Additional explanation follows:

5.3.1 Official Retention - Legal column is used to indicate the legal time period (stated in years) selected for the record series based on legal requirements and considerations (including statutes of limitations). Legal requirements are legal periods that express retention requirements or provisions that must be followed to avoid fines, penalties or other legal consequences. Limitations of assessment and legal considerations and statutes of limitation are also included in this category.

5.3.2 Official Retention – User column is used to indicate the retention needs of users for the “office of record” (stated in years). The user retention periods are subjective in nature and usually indicate the time period necessary to maintain the records based on administrative needs. User

retention periods do not include legal concerns. The user portion of the official retention area is also used to indicate the retention time period recommended for the series by the State of Minnesota and/or Hennepin County.

5.3.3 Official Retention - Total column is the longest of the legal and user retention periods and is stated in years. The total retention period is the retention period that is to be used to determine the total time period necessary to maintain the record.

5.3.4 Retention Events or Codes are alphabetic abbreviations that are used in combination with the legal, user, and/or total retention. They reflect either the starting time or the event that triggers that start of the retention counting process (time clock). For instance, a retention event or code used in combination with a retention period may be ACT+3. ACT+ 3 should be interpreted to mean that the records must be maintained until they are no longer active and then they must be retained for an additional 3 years. The following alphabetic abbreviations are listed in their general order of precedent (longest to shortest retention periods).

PERM	maintain records permanently
IND	maintain records indefinitely (review once every 10 years)
ACT	maintain records while they are active (the time when active ceases may vary by record series – consult the retention schedule for footnotes and specific explanations)
SUP	maintain records until they are superseded
MAX	maintain records for a maximum – not to exceed time period
CY	maintain records for the current year (plus any additional time period specified)

5.4 Copyholder Retention

The term copyholder refers to the duplicate record holder or to those that are holding the working copies of the record. The duplicate copy of a record usually has secondary administrative value and is usually assigned a shorter retention period than the office of record. Duplicate copies should not be retained as long as the official record. MAX may be used in the Copyholder column of the schedule to indicate that the copyholder should maintain the record for no longer than (a maximum of) a specified time frame. Normally, the retention period for duplicate records will not exceed three years (MAX3).

5.5 Office of Record

Office of record refers to the group or department responsible for maintaining the official record. The official record is the most important version of the record. It is often (but not always), the original. The official record must be held for the total records retention period in order to meet all administrative, legal and audit/compliance requirements for the record. The office of record has the primary citywide responsibility for maintaining the records and is the department that is accountable for the compliance with the terms and conditions of the retention of the record.

5.6 Data Practices

Data practices refer to the federal laws and state statutes that regulate access to government data. For Minnesota, the Minnesota Government Data Practices Act, found in Chapter 13 of the Minnesota State Statutes, governs access to government data. This law presumes that most government data is public and shall be accessible by the public for examination and copying. Most information produced, compiled and held by the City is public information and most of the record series found in these schedules do not carry data practices restrictions.

There are certain classifications of government data that, by other state statutes or federal laws, are not public. For example, the following are specific types of information that are not public: home addresses, home telephone numbers and social security numbers. In addition, there are certain categories of data that are customarily not public: medical information, information of ongoing investigations or civil actions including in certain cases the name of the complainant, labor relations information, mediation information, assessor's data including appraisal data on individual parcels of real property, economic assistance data, security information and trade secret information. For the City, the most common category of records that have data practices restrictions are the human resources records. Because of this, the schedule for human resource records includes detailed data practices classifications for all personnel records. Always consult a Human Resources Generalist or the City Attorney's Office on questions about these records. If there is any doubt as to the public, private and/or confidential nature of any other record, contact the City Attorney's Office.

5.6.1 Data Practices Limitation Note:

The federal laws and state statutes that regulate access to government data are evolving and quickly changing. The General Retention Schedule contains general classifications and should not be relied on as the final opinion related to data practices questions. Always consult the City of Minneapolis Responsible Authority (City Clerks Office) or the City Attorney for definitive advice on any data practices related issue.

6.0 Records Destruction

Departments are required to follow this schedule for applicable records. Records may be delayed from destruction only under the following conditions:

- Records are or have been identified as needed for performance or compliance audits
- Records are needed for actual or imminent legal proceedings
- A request for records relevant to the Data Practices Act has been received and has not been completed

As outlined in Minnesota Statutes 15.17, 138.225 and 138.161-.21, all record destruction must be documented. If departments are maintaining and destroying records, departments must document the record series code, record series name and inclusive dates of the records destroyed. The record of destruction should be forwarded to the Records Management Department in the City Clerks Office. If the records are being maintained in the City Records Center, a destruction authorization form must be signed by the department to ensure that records that are subject to audit, litigation or an open record request will not be destroyed. The Records Management Department is responsible for maintaining a record of all record destruction in the City and for complying with the notification requirements to the State of Minnesota – Department of Administration. This requirement does not apply to non-record material. As noted throughout this schedule, non-record material is exempt from the destruction notification requirement.