

HEALTH AND SAFETY - STATE APPROVED 5/16/2000 - UPDATED 2/25/2002

SERIES CODE	SERIES / DESCRIPTION	LEGAL CODE	OFFICIAL RETENTION			COPYHOLDER RETENTION	OFFICE OF RECORD	DATA PRACTICE	REMARKS
			LEGAL	USER	TOTAL				
HES-10	<p>Health and Safety</p> <p>Medical Records (See HRS-40)</p> <p>Section Overview</p> <p>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. Information is provided to City departments and/or the Civil Service Commission/Human Resources Department via reports, forms and/or work restriction notifications for injuries and illnesses that require absence from work (use of sick leave or medical leave of absence). The documents may also include 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 must 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> <p>Medical records maintained in the department for an employee should be filed with HRS-40 Medical Records for Employees also see Attachment 2 to this schedule).</p> <p>Retention Note: See OSHA standard 29 CFR 1910.1020 regarding employee access and retention of certain records where there has been exposure.</p>								

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HES-20	<p>Health and Safety Workplace Monitoring/Inspection/Testing Section Overview Records related to the monitoring, inspection and testing of the workplace for possible hazards and/or verification of compliance and notification requirements. The records also document the existence and measurement of possible hazards (including noise atmosphere tests) and the testing for existence of toxic substances and providing information about the potential effects of exposure to these substances.</p>								
HES-20-02	<p>Health and Safety Workplace Monitoring/Inspection/Testing Material Safety Data Sheets The purpose of these records is to provide information that identifies a hazardous product in detail, how it should be handled and what to do in case of overexposure. Records are also known as OSHA 20 forms.</p>	ENV100	IND	50	IND	MAXACT	DEPARTMENT	PUBLIC	
HES-20-04	<p>Health and Safety Workplace Monitoring/Inspection/Testing Environmental And Biological Monitoring Records Environmental Monitoring records are used to document monitoring and measuring of potential workplace hazards, toxic substances or harmful physical agents. Records may include: Records to document the analytical methodologies used, calculations and other background data relevant to the interpretation of the results. Biological Monitoring records document the results which directly assess the absorption of a toxic substance or harmful physical agent by body systems. Note: OSHA may also refer to these records as Employee Exposure Records.</p>	ENV100	IND	ACT+30	ACT+30 *	MAXACT	DEPARTMENT	PUBLIC	* Active ceases when employee separates.
HES-20-06	<p>Health and Safety Workplace Monitoring/Inspection/Testing Vehicle, Equipment & Apparatus Inspection Records The purpose of these records is to document the results of inspections held at various intervals for vehicles, equipment and apparatus which falls under Federal DOT, MNDOT, OSHA, and ANSI regulations and standards (except for fire safety inspections). The inspections provide assurance that the vehicles, equipment and apparatus are functionally sound, to assure both operator and public safety. The inspection records are filed in Public Works, Equipment Division and</p>	EMP712	3	6	6	MAXACT	DEPARTMENT	PUBLIC	

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	Fleet Services. Note: See Property and Equipment Schedule for Maintenance History Requirements.								
HES-30	Health and Safety Employee Monitoring/Testing Records Section Overview Employee Monitoring and Testing records have several purposes: To document the physical status of an employee prior to assignment to regulated area and to document the physical and psychological response of an employee following and exposure.								
HES-30-02	Health and Safety Employee Monitoring/Testing Records Employee Exposure Records The purpose of these records is to document the medical status of an employee before or after an exposure. The medical provider for the City maintains the detailed examination records. In most instances a physician will issue a statement of the employee's suitability for employment or the results will be summarized. If Employee Exposure Records are sent to the Department for an employee, all such results or certificates should be filed with HRS-40 (Medical Records for Employees).	EMP500	ACT+30	ACT+30	ACT+30 *	MAX1	DEPARTMENT	PRIVATE MS 13.43	* Active ceases when employee separates.
HES-30-04	Health and Safety Employee Monitoring/Testing Records Drug And Alcohol Tests - DOT (Negative Results) The purpose of this record is to document individual employee testing which produced negative results. Individual "Random Selection" DOT testing records are filed with the Department's Program Coordinator. Except as noted below, test records other than DOT Random Selection records are filed with HRS-40 (Medical Records for Employees). See Federal DOT regulations, 49 CFR 382.401 for additional information. Also see the City of Minneapolis Drug and Alcohol Testing Policy. Note: Select collective bargaining agreements allow for fitness for duty drug and alcohol tests and tests for safety sensitive positions in the case of the Police Department, these records are maintained by Internal Affairs.	EMP721	1	1	1	MAX1	DEPARTMENT PROGRAM COORD. / MEDICAL PROVIDER	PRIVATE MS 13.43	

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HES-30-06	<p>Health and Safety Employee Monitoring/Testing Records Drug And Alcohol Tests - DOT (Positive Results)</p> <p>The purpose of this record is to document individual employee testing which produced positive results. Individual "Random Selection" DOT testing records are filed with the Department's Program Coordinator. Except as noted below, test records other than DOT Random Selection records are filed with HRS-40 (Medical Records for Employees). See Federal DOT regulations, 49 CFR 382.401 for additional information. Also see the City of Minneapolis Drug and Alcohol Testing Policy.</p> <p>Note: Select collective bargaining agreements allow for fitness for duty drug and alcohol tests and tests for safety sensitive positions in the case of the Police Department, these records are maintained by Internal Affairs.</p>	EMP720	5	5	5	MAX1	DEPARTMENT PROGRAM COORD. / INTERNAL AFFAIRS	PRIVATE MS 13.43	
HES-30-08	<p>Health and Safety Employee Monitoring/Testing Records Audiometric Testing</p> <p>Records related to audiometric testing conducted for employees whose work environment may expose an employee to a noise level risk. The results of individual employee testing results should be filed with HRS-40 (Medical Records For Employees).</p>	EMP511	ACT	ACT+30	ACT+30 *	MAXACT	DEPARTMENT	PRIVATE MS 13.43	* Active ceases when employee separates
HES-30-10	<p>Health and Safety Employee Monitoring/Testing Records Respiratory Testing</p> <p>The purpose of this record is to document respiratory fit test results of employees who may be required to wear a respirator in the performance of their duties. Individual employee fit test records should be filed such that they can transfer when an employee transfers to another department. Results may be filed with HRS-40 (Medical Records For Employees).</p>	EMP712	3	ACT+30	ACT+30 *	MAXACT	DEPARTMENT	PRIVATE MS 13.43	* Active ceases when employee separates
HES-30-12	<p>Health and Safety Employee Monitoring/Testing Records Driver's License Review</p> <p>This record provides assurance to the City and departments that employees who drive City-owned or privately owned vehicles for City business are legally licensed to drive, and meet the requirements of City and Departmental policies.</p>	TRA100	ACT+3	6	ACT+6 *	MAX1	DEPARTMENT COORD.	PUBLIC/ PRIVATE MS 13.43	* Active ceases when no longer used, is updated or replaced.

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	Detail proof is maintained by Departmental Coordinators and is re-verified every six months. A general confirmation of department conformance is sent to Risk Management. When the driver's license review is also maintained in the Department Personnel File, the review will be maintained for the same retention period as the Personnel File (After separation plus 6 years)								
HES-40	<p>Health and Safety Occupational Injury And Illness Reporting Section Overview</p> <p>The purpose of these records is to document "recordable occupational injury and illness" of City of Minneapolis employees.</p>								
HES-40-02	<p>Health and Safety Occupational Injury And Illness Reporting First Report Of Injury</p> <p>The purpose of the First Report of Injury is to report all work related illness or injury to the City's Workers' Compensation Unit, so that they can meet State laws requiring such reports to the Minnesota Department of Labor and Industry, Workers' Compensation Division.</p> <p>Note: The First Report of Injury may be filed with/sent to HRS-40 (Medical Records for Employees), LEU-50-04 (Workers' Compensation Claims), (OSHA 200 and 101 Report), Risk Management and Civil Service. Retention of the series is based on the First Report of Injury retention requirements or each specific series code.</p>	SEE NOTE DETERMINE PROPER SERIES FILED WITH			DEPENDENT ON RETENTION OF SERIES FILED WITH	RISK MGMT	PRIVATE/ CONFIDENTIAL MS 176.231 MS 13.39 *	* See specifics under statute for City Attorney determination.	
HES-40-04	<p>Health and Safety Occupational Injury And Illness Reporting Supervisor Report Of Injury</p> <p>The Supervisor Report of Injury has several purposes: To document the nature of a work-related personal injury or illness; to document the disposition of departmental investigation into an unsafe condition or act to prevent its recurrence; to initiate the First Report of Injury record required by the City and State Workers' Compensation policies, regulations and laws.</p> <p>Note: The Supervisor Report of Injury may be filed with/sent</p>	SEE NOTE DETERMINE PROPER SERIES FILED WITH			DEPENDENT ON RETENTION OF SERIES FILED WITH	RISK MGMT	PRIVATE/ CONFIDENTIAL MS 176.231 MS 13.39 *	* See specifics under statute for City Attorney determination.	

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	to HRS-40 (Medical Records for Employees), HES-70 (Works' Compensation Claims), Risk Management and Civil Service.								
HES-40-06	<p>Health and Safety Occupational Injury And Illness Reporting Compliance Reports - OSHA</p> <p>The purpose of these records is to document the occupational injuries and illnesses of City employees. For OSHA reporting, use the Legal Section of the General Schedule LEU-80-10 (OSHA 101 Report), LEU-80-12 (OSHA 200 Report) and LEU-80-14 (OSHA 200S Report).</p>	USE LEG-40-12 THRU LEG-40-16							
HES-50	<p>Health and Safety Vehicle And Equipment Section Overview</p> <p>The vast majority of Vehicle and Equipment records are scheduled in the Property and Equipment section of the General Schedule. Vehicle and Equipment records associated with accident reports or records related to how to prevent accidents should be scheduled using the Health and Safety section of the General Schedule.</p>								
HES-50-02	<p>Health and Safety Vehicle And Equipment Accident Reports</p> <p>The purpose of this record is to comply with State law and City and Departmental policies regarding vehicle/equipment accidents. These reports will encompass a range of accidents, from minor property damage, to major personal injuries, and death. When accident reports are maintained with property and equipment the retention is as indicated.</p> <p>Note: Non-Worker's Compensation related accident reports may also be filed with other records. The accident report will be assigned a longer retention period based on the records that they are filed with. See HES-40-02 (First Report of Injury) and HES-40-04 (Supervisor Report of Injury), HRS-20-06-02 (Department Personnel File - Employment History) and appropriate Accident Review Boards. Departments may use these records to identify causes and prevent recurrences, and may use the record within policy guidelines for disciplinary purposes.</p>	SEE NOTE DETERMINE PROPER SERIES FILED WITH			DEPENDENT ON RETENTION OF SERIES FILED WITH		PUBLIC/PRIVATE		

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HES-60	<p>Health and Safety Training</p> <p>Section Overview</p> <p>The purpose of these records is to document safety related training sponsored by the City of Minneapolis. For information pertinent to the retention of Training records (including Safety Related training records, use HRS-60-02 (Application /Attendance Records – Department), HRS-60-06 (raining History), or HRS60-16 (Course Materials – Safety Related Training).</p>								
HES-70	<p>Health and Safety Workers' Compensation Claims</p> <p>Section Overview</p> <p>The purpose of these records is to document the claims filed as the result of an-the-job accidents and illnesses by City of Minneapolis employees. Records may include: Many of the records previously identified in this section of the schedule including Supervisor Report of Injury, First Report of Injury, Medical Records for Employees, Hazardous Exposure, etc. Note: Due to their nature, certain claims must be reported to the Occupational Safety and Health Administration (OSHA).</p>								
HES-70-02	<p>Health and Safety Workers' Compensation Claims</p> <p>Workers' Compensation Claims</p> <p>The purpose of these records is to document the claims filed as the result of an-the-job accidents and illnesses by City of Minneapolis employees. The records document the administration and payment process associated with each claim. Records may include: Supervisor Report of Injury, First Report of Injury, medical records for employees, hazardous exposure reports, settlement agreements, vocational rehabilitation evaluations, disability determinations, and other related records.</p> <p>Compliance Reporting Note: Certain claims due to their nature, must be reported to the Occupational Safety and Health Administration (OSHA).</p>	EMP500	IND	50	IND*	MAX3	RISK MGMT	CONFIDENTIAL MS 176.231	Records should be reviewed each year to determine if the retention can be assigned based on closure of the claim file. The indefinite status is necessary to account for the potential of hazardous exposures. The State of Minnesota indicates that a retention of 20 years after final payment is required.

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HES-99	<p>Health and Safety Reference Materials (USE ADM-30-32) Section Overview The purpose of these records is to provide information relevant to how to gain access to further information or additional references where information about materials can be found.</p>								

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