

Carlton County

Policy Manual



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Carlton County, Minnesota

Automated External Defibrillator (AED) Policy

Adopted: November 10, 2015

Revised: May 12, 2020

Automated External Defibrillator (AED) Policy

Purpose

Statistics from the American Heart Association show that approximately 350,000 adult Americans die each year from sudden cardiac arrest. Many of these deaths are the result of out-of-hospital sudden cardiac arrest brought on by ventricular fibrillation (VF). VF is a dangerous arrhythmia in which the heart quivers chaotically instead of beating in a normal rhythm resulting in death. The only effective treatment for ventricular fibrillation is the delivery of an electric shock by a defibrillator. An Automated External Defibrillator (AED) is a simple, easy-to-use device that analyzes the heart's rhythm and if necessary tells the user to deliver a lifesaving shock. Early defibrillation (within 3-5 minutes of the cardiac arrest) is critical to survival. Every minute defibrillation is delayed, survival rates plunge 10 percent. Studies have shown that early defibrillation, along with Cardio-Pulmonary Resuscitation (CPR), can increase the chance of survival two to three fold. The solution to sudden cardiac arrest is the deployment of AEDs in key locations where people congregate.

Policy

Carlton County recognizes the importance of AEDs in increasing the chances of survival for anyone experiencing sudden cardiac arrest and, as such, subscribes to the following AED policy. An AED is located at each building owned or rented by Carlton County and staffed by County employees. It is expected that all employees will be aware of where AEDs are located at their assigned work location and will view an AED training video through the County's annual safety training program, unless more specific department training is required.

Scope

An AED will be used in conjunction with CPR in cases of sudden cardiac arrest at any Carlton County building, in accordance with accepted protocols, including those developed by the American Red Cross and American Heart Association. Use of the AED and CPR will continue as appropriate during the course of emergency care, until the victim resumes pulse and respiration and/or local Emergency Medical Services (EMS) arrive at the scene and assume responsibility for emergency care of the victim. An AED must only be applied to victims who are unconscious, without signs of life.

Responsibilities

- A. AED Program Coordinator: the County Coordinator or their designee.
 - a. Make the safety training video available to all employees;
 - b. Coordinate equipment and accessory maintenance, including recordkeeping of said maintenance;
 - c. Maintain list of all Carlton County AEDs (make, model, and serial number), physical locations, and Department Coordinators;
 - d. Review and revise the AED Policy annually as needed in conjunction with the Policy Committee;
 - e. Serve as the liaison between the County and the AED manufacturer(s);
 - f. Participate in post-incident critical incident stress debriefing.
- B. Department AED Coordinator: Property Management Supervisor or their designee.
 - a. Conduct daily, weekly, and/or monthly equipment maintenance per manufacturer's recommendations and/or at direction of Program Coordinator;
 - b. Maintain a list of installation and expiration dates of AED batteries, AED pads, and batteries for AED cabinet door alarms;
 - c. Send all maintenance and training records to the AED Program Coordinator.

Locations/Equipment

- A. Per manufacturer's recommendations, AEDs located in Carlton County buildings are placed in easily accessible and identifiable locations. The list of AED locations (Appendix A) will be updated annually as part of the AED Policy review.
- B. AED cabinets at all buildings contain laminated instructions on use of the AED along with troubleshooting suggestions. AED cabinets at all buildings other than the Courthouse also contain tape, a razor, a CPR mask, gauze, gloves and trauma scissors.

Training

- A. All Carlton County employees will be required to watch an AED training video, unless more specific department training is required.
- B. Drills may be conducted annually in accordance with the Carlton County Emergency Response Plan for AEDs located inside Carlton County buildings.

Maintenance

- A. Monthly equipment check: Once each calendar month, the Department AED Coordinator will conduct and document an equipment check including the following elements:
 - a. Emergency kit supplies;
 - b. AED battery life;
 - c. AED operation and status.
- B. Annual equipment check: Once each calendar year, the AED Program Coordinator will conduct and document an equipment check including the following elements:
 - a. Check expiration date of batteries and electrodes;
 - b. Check AED status;
 - c. Perform AED self-diagnostic check.
- C. Post-incident check: Once an AED has been used, the AED Program Coordinator will evaluate the AED prior to it being returned to service.

Reporting

When an incident has occurred at any Carlton County facility that required the use of an AED, the AED Incident Report Form (Appendix B) must be completed and submitted to the AED Program Coordinator within 24 hours of the incident.

Debriefing

- A. A review of each medical event requiring use of an AED will be conducted by the AED Program Coordinator. All key participants in the medical event will be encouraged to participate in the review as it will include actions that went well during the medical event and opportunities for improvement.
- B. When an incident has occurred at a Carlton County building that required the use of an AED, critical incident stress debriefing services will be offered through the county's Employee Assistance Program (EAP). Although this is a voluntary program, staff will be encouraged to participate.

Appendix A: AED Locations

AED	BUILDING	LOCATION
Phillips HeartStart	Courthouse 1 st Floor	Right wall next to elevator
Phillips HeartStart	Courthouse 2 nd Floor	Right wall next to elevator
Phillips HeartStart	Courthouse 3 rd Floor	Right wall next to elevator
Phillips HeartStart	Courthouse 4 th Floor	Right wall next to elevator
Phillips HeartStart	Community Services 1 st Floor	Hallway outside WIC office
Phillips HeartStart	Community Services 2 nd Floor	West wall at top of public stairs
Phillips HeartStart	Law Enforcement Center 2 nd Floor	Lobby next to elevator
Phillips HeartStart	Transportation/Land	East wall in main lobby
Phillips HeartStart	Transportation/Land Garage	Hallway near employee breakroom
Phillips HeartStart	Airport	Front lobby
Phillips HeartStart	Extension	Right wall next to front door
Phillips HeartStart	Transfer Station	Cashier Office
Phillips HeartStart	Barnum Shop	Lunch room near door
Phillips HeartStart	Moose Lake Family Services	North wall in Room #3

AED Incident Report

Name of Patient:		Incident Date and time:		Ambulance called: Yes No	
Incident Location:		CPR/AED Operator/ Assistances & Witnesses:			
Estimated Time from Patient's collapse until CPR: _____minutes					
Was incident witnessed? Yes No by Whom: _____					
Estimated time from CPR initiated until AED pads applied: _____minutes		CPR started by: _____		Time: _____	
		Any known illnesses of patient:			
Did patient start breathing? Yes No			Did patient gain consciousness? Yes No		
Other Treatments:		Medical Patches Removed? Yes No			
		Given to Medics? Yes No			
Shock Given? Yes No			Additional Shocks Given? Yes No		
Briefly describe the incident:					
Additional Information:					
Coordinator Review:			Date:		Review with Responders:
					Date:

COMMENTS ON BACK



Carlton County, Minnesota Animals in County Buildings

Adopted: August 13, 2019

Revised:

Animals in County Buildings Policy

I. POLICY

In compliance with state and federal anti-discrimination laws, including the Americans with Disabilities Act, and the Minnesota Human Rights Act, individuals with disabilities may be accompanied by a service animal in all county facilities accessible to members of the public or participants in services, programs, and activities. Animals accompanying law enforcement officers as part of their work assignments are also allowed access to county facilities. All other animals are strictly prohibited from county facilities.

II. SCOPE OF COVERAGE

This policy applies to all County Buildings.

III. DEFINITIONS

A. Service Animal – Any dog that is individually trained to do work or perform tasks for the benefit of an individual with a disability, including a physical, sensory, psychiatric, intellectual, or other mental disability.” 28 C.F.R. §35.104; Minn. Stat. §363A.19(c). All other species of animal, whether wild or domestic, trained or untrained, do not qualify as service animals with the exception of a miniature horse in certain circumstances.

- i. A miniature horse is a horse in height from 24 inches to 34 inches measured to the shoulders and generally weighing between 70 and 100 pounds. A miniature horse may qualify as a service animal if: (1) the miniature horse has been individually trained to do work or perform tasks for the benefit of the individual with a disability; (2) the public facility can accommodate the miniature horse accounting for its type, size and weight; (3) the handler maintains sufficient control of the miniature horse; (4) the miniature horse is housebroken; and (5) the presence of the miniature horse does not compromise legitimate safety requirements that are necessary for safe operations. 28 C.F.R. §36.302.

B. Therapy animal or Emotional Support Animal – An animal whose sole function is to provide emotional support, comfort, therapy, companionship, therapeutic benefits or to promote emotional well-being. A therapy animal is not a service animal. 28 C.F.R. Part 35, App. A.

C. Companion Animal – An animal of any species trained or untrained that provides companionship to a human. A companion animal is not a service animal.

IV. ENFORCEMENT

Department heads are responsible for enforcement of this policy and training staff on the enforcement of this policy.

When it is not obvious what service an animal provides, only limited inquiries are allowed. Staff may ask two questions:

- (1) Is the animal a service animal required because of a disability?
- (2) What work or task has the animal been trained to perform?

Staff cannot ask about the person's disability, require medical documentation, require a special identification card or training documentation for the animal, or ask that the animal demonstrate its ability to perform the work or task. Staff cannot require individuals with a service animal to use a specific entrance.

A person with a disability who uses a service animal cannot be required to pay a fee or surcharge, even if people accompanied by companion animals are required to pay fees, or to comply with other requirements generally not applicable to people without companion animals. In cases where the County normally charges individuals for the damage they cause, an individual with a disability may be charged for damage caused by his or her service animal.

A person with a disability must always keep a service animal under control. A service animal shall have a harness, leash or other tether, unless the handler is unable because of a disability to use a harness or the use of a harness would interfere with the service animal's safe and effective performance of its work.

If the use of a harness is not feasible for one of these reasons, the handler must maintain control of the animal through voice command, signals, or other effective means.

A person with a disability cannot be asked to remove a service animal from the premises unless:

- (1) the animal is out of control and the handler does not take effective action to control it; or
- (2) the animal is not housebroken.

When there is a legitimate reason to ask that a service animal be removed, staff must offer the person with the disability the opportunity to obtain services without the animal's presence. In such a situation, staff should work with their supervisor, or Facilities Management, to remove the service animal.

A service animal in training is treated for purposes of this policy the same as a service animal.

CARLTON COUNTY BUDGET POLICY

Budget Adoption Process

The Carlton County Board of Commissioners formally adopts a county budget annually after the required public hearings and provides the authorization for departmental revenues and expenditures. The adoption of the proposed and final budget is done by the full Board of Commissioners. The budgets are approved at a fund level and department level.

Budgeted Funds

Carlton County is required under Minn. Stat. Ch. 383C to adopt an annual budget for the General, Special Revenue, and Debt Service Funds. The County also adopts a budget for major projects in its Capital Projects Fund. The Capital Projects Fund budget appropriation continues in force until the purpose for which it was adopted has been accomplished or abandoned. These budget periods may span several years and are not consistent with annual financial reporting; therefore, comparisons between the annual results of operation and budget in this fund are not relevant.

Carlton County prepares a budget for the General Revenue Fund, the Road and Bridge Special Revenue Fund, the Human Services Special Revenue Fund, the Forfeited Tax Special Revenue Fund, the Economic Development Fund, Debt Service Funds and Major Capital Project Funds. The County does not prepare a budget for Fiduciary Funds.

Budget Account Basis

The County Auditor/Treasurer as the responsible authority for all financial accounting and reporting shall ensure that budgets are prepared on a basis consistent with generally accepted accounting principles.

Unspent budget dollars will not be carried forward into the new budget year unless legally restricted or specifically committed or assigned by the County Board

Budget Level for Legal Control

Budget control is designated at the Departmental level. The use of budget dollars within a Department other than salaries and related benefits for personnel are at the discretion of the Department head, as long as reporting requirements are met for federal, state, or other funding sources used. Department heads may request additional personnel during the budgeting process, but County Board approval is required for the addition of new personnel.

Budget Adjustments

As circumstances and priorities change during a calendar year, adjustments to the budget may become necessary. Once the budget has been adopted by the County Board, any amendments and adjustments shall be made to the Revised Budget, leaving the Original Adopted Budget in its original approved form. Department Heads will complete the Budget Amendment Request Form (Appendix A) to request adjustments to the department's budget and shall submit this form to the County Auditor/Treasurer's Office. The request shall include the accounts, dollar amounts, percent change, and a narrative explaining the proposed adjustments.

Adjustments that affect the net department budget, all salary budget adjustments, and budget adjustments greater than 25% of the original approved budget line-item shall be forwarded to the Finance Committee for review. The Finance Committee will bring the request to the County Board for consideration. The approved adjustments will only be made monthly to the Revised Budget after the County Board session. The adjustment requests from the Budget Amendment Request Forms that do not need Board approval will be made monthly at the

same time. A copy of the Budget Amendment Request Form will be saved in the County Auditor/Treasurer's Office budget file.

After the adjustments have been made to the budget, the Revised Budget will be included on the monthly reports sent to the department heads.

Budget Monitoring

The County Auditor/Treasurer, County Engineer, and Public Health and Human Services Director shall monitor the County Budget for their respective funds and provide monthly reports to the County Board. County Department Heads and Supervisors are responsible for on-going monitoring of their respective budgets. Any anomalies should be reported to accounting staff immediately.

Finance Committee

The County Board shall establish a Finance Committee to meet at least monthly and as needed to assist in preparation of the annual County budget and to review budget adjustments and amendments.

Budget Committee

The Budget Committee shall be comprised of the entire Board and Finance Committee. They shall meet as necessary to develop and implement the annual budget.

Resolution No:

Carlton County Board adopted: August 28, 2017

Last Revision/Review:

Carlton County
Budget Amendment Request Form (Appendix A)

#

Dept Head:
 Email:
 Phone:

Today's Date:
 Budget Year:

Please submit form to the County Auditor/Treasurer's Office.

Adjustments that affect the net department budget, all salary budget adjustments, and budget adjustments greater than 25% of the original approved budget line-item shall be forwarded to the Finance Committee for review. After review, the Finance Committee will bring the request to the County Board for consideration.

	GL Account Number	GL Account Description	Original Budget	Revised Budget	\$ Increase (Decrease)	% Increase (Decrease)
Addition:					\$ -	
					-	
					-	
					-	
					-	
					-	
					-	
					-	
					-	
					-	
Subtraction:					\$ -	
					-	
					-	
					-	
					-	
					-	
					-	
					-	
					-	
					-	
Net Change:			\$ -	\$ -	\$ -	

Explanation:

Required to go to Finance Committee and Board (Yes or No):
 Finance Committee Date:
 Finance Committee Recommendation to Approve (Yes or No):
 Board Date:
 Board Approved (Yes or No):

County Board approved 4/10/18



Carlton County, Minnesota Cellular Phone Policy

Adopted: August 12, 2014

Revised: August 13, 2014

Cellular Phone Policy

Carlton County recognizes the need for designated employees to have access to cellular phones or other cellular equipment in order to perform the duties of their position. County employees should not be burdened with the entire cost of using their personal equipment to conduct County business. Carlton County recognizes the fact that employees may, at times, need to use county owned equipment for personal reasons. Therefore, the County has established the following programs which will allow county employees to use personal or County supplied equipment for business purposes, while remaining compliant with Federal, State, and local regulations. Each Carlton County Department Head will be responsible, in conjunction with the Carlton County Information Technologies (IT) Department and Carlton County Human Resources Office, for enforcement of this policy.

This policy, any cellular phone or other cellular equipment detailed in this policy, and any data contained on applicable equipment are governed by applicable State and Federal law as well as Carlton County Data Practices policy.

DEFINITIONS

Cellular phone: A wireless communication device available commercially and to the general public without licensure, in combination with cellular phone service.

Cellular phone allowance: An amount paid to the employee, to be applied toward the cost of a personal cellular phone, or other cellular equipment, and cellular phone service.

Personal use: Personal communications, not related to County business.

Other cellular equipment: Includes any personal wireless communication device that combines a cellular phone with other features, e.g., electronic organizer with keyboard, wireless email, text messaging, or web-browsing, in combination with cellular phone service.

Employee: Any Carlton County employee.

Business Necessity: Business necessity for cellular phone service for an employee may include:

- Mitigation of safety risks for the employee;
- Meeting customer or client service expectations;
- Need for immediate communication with department staff or others;
- Need for prompt retrieval of voice mail messages;
- Need for telephone service in locations where the employee must work, but where landline telephone service is not available;
- Need to respond to email while out of the office;
- Need for two-way communications;
- Position is designated as a department head, supervisor, or an elected official;
- Position with job duties in public safety;
- Position whose job duties are in homeland security, and include receiving and responding to homeland security-related public safety or public health notices from government agencies 24 hours/day;
- Position with job duties requiring a cell phone or cellular device as deemed necessary by the employee's department head.

PROGRAM OPTIONS

A department head shall have the options listed below available to them for any employee, in whose official position profile it is indicated that a cellular phone is necessary for work purposes.

Option 1: County Provided Phone

A County-owned cellular phone or other cellular equipment may be provided to the employee. This plan would be for County business use only; minimal or cost free personal use is allowed under this program, and there is no monthly cost to an employee who is assigned a County phone. As with desktop phones, employees are expected to limit personal use to employee break times, lunch time, or time outside of work hours. Employees shall follow applicable County Internet Policy.

A County employee who has been provided a County-owned cellular phone must return the County issued cellular phone and equipment to the County upon termination of employment or immediately upon the request of a county employee or agent who is authorized to so request.

Option 2: County Stipend

A cellular phone stipend may be offered to County employees identified by their department head and the HR Department as having a business necessity for access to cellular phone service. The stipend and reimbursement start date will be determined by the department head but will be no earlier than the date the Cellular Phone Policy resolution is passed by the County Board.

A County employee who has been provided with a cellular phone allowance must:

- Provide proof of purchase or use of cellular phone for County business when requested by the department head or other authorized personnel.
- Replace or repair stolen, lost, or damaged cellular phone, or other cellular equipment , at the employee's expense.
- Pay all costs for equipment and service in excess of any allowance paid pursuant to this policy.
- Bring their cellular phone to the IT Department to have a data wipe of County-related data performed prior to trade-in of device or termination of employment, consistent with any applicable exit interview process.

Cellular phone allowance options would be determined by the following criteria consistent with the designation in the employee's position profile:

- A. Personal safety or on-call usage - \$10/month reimbursement.
- B. Demonstrated daily business necessity for cellular phone and text services - \$20/month reimbursement.
- C. Demonstrated business necessity for cellular phone service and ability to respond to email while out of the office, to include e-mail, data, and web service - \$30/month reimbursement.
- D. OR as detailed in a specific grant program, whichever is greater.

EMPLOYEE RESPONSIBILITIES

A County employee covered by this policy must:

- Have the phone or equipment available for use during the employee's business hours and on-call times, as established by the department head.
- Comply with all applicable laws regarding the use of cellular phones and equipment while operating a motor vehicle.
- Provide adequate security to prevent unauthorized persons from gaining access to private data stored in the memory of the device.

PROCEDURES

It is the duty of each department head to identify the positions in the department which require cellular phone service, and determine the level of service required, consistent with the position profile for each position. The cost to implement the departmental cellular plan may not exceed the department's adopted phone budget.

COUNTY OWNED EQUIPMENT

Technology related equipment, including phones, smartphones, wireless hotspots, tablets, laptops, computers, cables, maintenance plans, and warranty plans on equipment purchased with Carlton County funds, are owned by Carlton County and should be documented by the IT Department. The IT Department shall be consulted prior to the making of any information technology based purchases. The IT Department may be requested to support certain technology equipment. A standard may be required by the IT Department in order to provide some support or knowledge of purchased technology devices. If any information technology related equipment is purchased with County funds, the equipment shall be documented, inventoried, and recorded for insurance purposes.

COUNTY SERVER ACCESS

Connection of any wireless device, County-owned or personal, to the County server network is prohibited unless specifically authorized by the IT Department in conjunction with the Department Head. In addition, the IT Department reserves the right to terminate, without notice, any access to the network that puts the County's systems, data, users, or clients at risk. Requirements for connectivity are provided as follows:

1. **Security.** Employees will provide adequate security for wireless devices to prevent unauthorized users from accessing client/work-related telephone numbers stored in the device's memory. The wireless device user agrees to immediately report to their department head and the IT Department any incident or suspected incidents of unauthorized access and/or disclosure of County resources, databases, networks, etc. Loss of a wireless device must be immediately reported to the employee's department head and the IT Department.
2. **Passwords.** Wireless devices connecting to the County's server network require a password with an idle time of ten (10) minutes or less.
3. **Content Protection.** Employees accessing County data are subject to the Minnesota Government Data Practices Act, HIPAA, and any other related laws concerning data practices and HIPAA compliance. Violations of this policy will subject the user to disciplinary action in accordance with the Personnel Policy. Department heads will be responsible for enforcement within their own departments.



Carlton County

Cell Phone Allowance Authorization Form

(For Employee-owned Cell Phone Usage)

Effective Date:
Revised Date:
Version: 1.0

Employee Name: _____ Employee Number: _____

Department: _____ Position: _____

Cell Phone Number: _____ Service provider: _____

Allowance is intended to provide reimbursement, as indicated below, toward the cost of monthly service and associated taxes. By my signature, I attest that I have read and agree to comply with the Carlton County Cell Phone Policy. I will provide proof of purchase of cell phone service upon request within 30 days of request. I understand that Carlton County has the authority and ability to remotely disconnect county access and/or delete any county data from reimbursed device.

Employee Signature

Date

Cell phone allowance is authorized as indicated:

- Allowance payment @ \$10.00 per month (Personal safety or on-call usage)
- Allowance payment @ \$20.00 per month (Cellular phone service -Talk or Talk/Text)
- Allowance payment @ \$30.00 per month (Smartphone service- Talk, Text, and Data)
- As indicated on grant _____ @ \$_____/month
through grant end date of _____
Month/Year
- Activate Deactivate allowance payment as of : _____
Month/Year

Charge to Department Account Number: _____

Department Head Signature

Date

**** Return this completed form to the County Auditor/Treasurer's Office ****

Carlton County Construction and Renovation Project Change Order Approval Policy and Procedures

Purpose

Carlton County recognizes that during any construction or renovation project unanticipated conditions or extenuating circumstances may develop that may change the scope of work that may increase the contract price or adjust the amount of time required to complete the work. The purpose of this policy is to prescribe procedures for approving changes to design requirements or the scope of construction which cause an adjustment to the Contract Amount or Contract Time of a project while under construction.

Policy

Facilities and projects under construction or renovation shall require a Change Order to change design requirements or scope of construction which require an adjustment of the Contract Amount or Contract Time.

Change Orders shall be requested:

1. For changes in project requirements initiated by Carlton County.
2. When essential design/work has been inadvertently omitted.
3. To correct errors in plans and specifications.
4. To correct design/work when concealed conditions in existing facilities are exposed and found to differ from construction documents or available information.
5. When unavoidable events or weather cause delays and the need for additional time for completion of work.

Approval of Change Orders

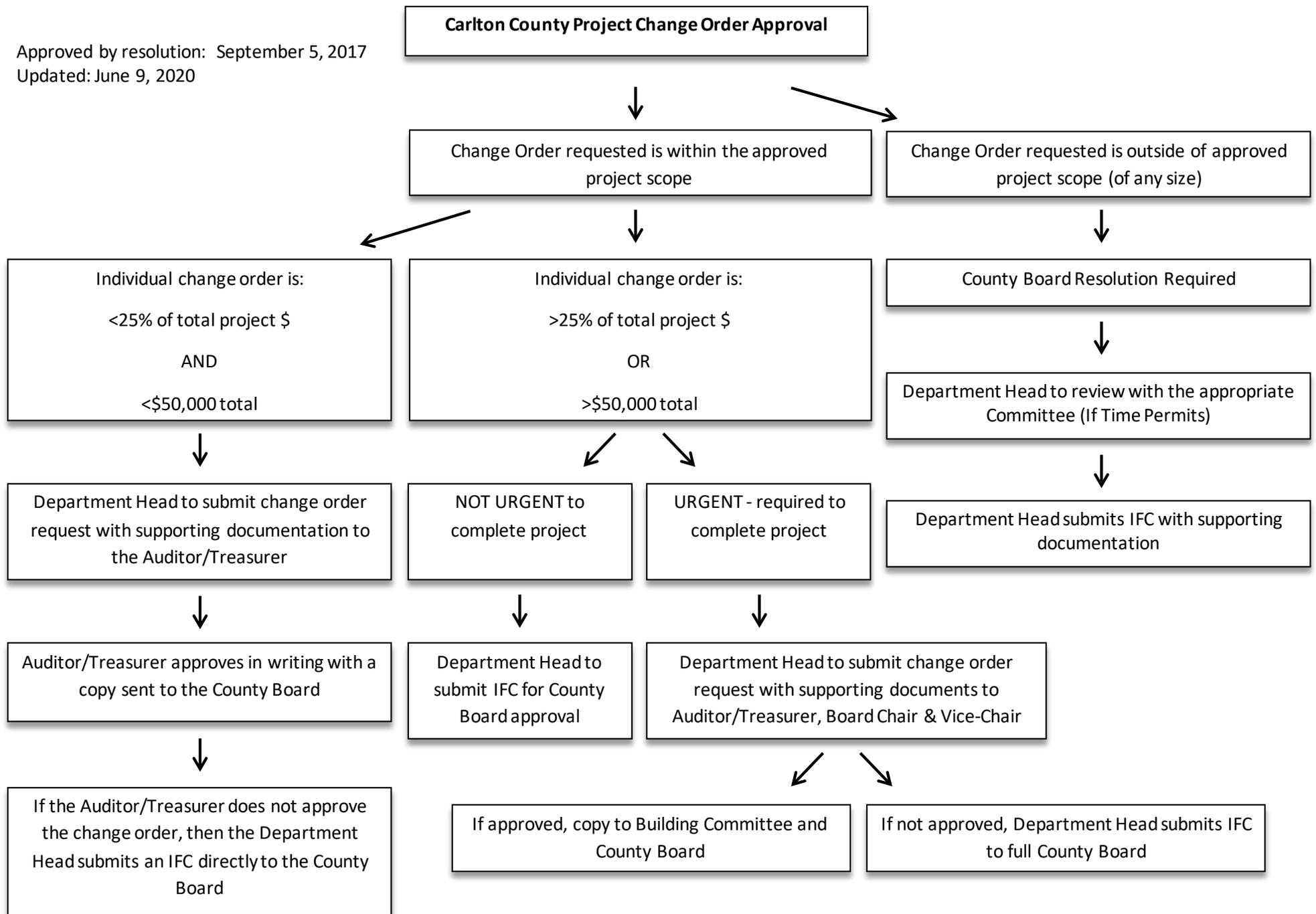
1. When the individual change order is under \$50,000 and less than 25% of total project cost
 - Department Head or designee will submit the change order request with supporting documentation to County Auditor/Treasurer.
 - County Auditor/Treasurer may approve the change order request in writing with copy sent to Building Committee and County Board.
 - If approval is not given, the Department Head may submit an Item for Consideration (IFC) with the change order request and supporting documentation to the County Board.
2. When the individual change order is over \$50,000 or greater than 25% of total project cost:
 - If the request is not urgent

- Department Head or designee will submit an IFC with the change order request and supporting documentation to the County Board.
 - If the request is urgent or immediately required to timely complete the project
 - Department Head or designee will submit the change order request with supporting documentation to County Auditor/Treasurer, County Board Chairperson and Vice-Chairperson.
 - County Auditor/Treasurer, Board Chairperson and Vice-Chairperson may approve the request in writing with copy sent to the Building Committee and County Board.
 - If approval is not given, the Department Head may submit an IFC with the change order request and supporting documentation to the full County Board.
- 3. When the change order request is outside the approved project scope:
 - A County Board resolution authorizing the change order is required.
 - Department Head or designee will submit the change order request with supporting documentation to the appropriate committee if time permits.
 - If time does not permit, committee approval may be bypassed.
 - Department Head submits an IFC with the change order request and supporting documentation to the County Board.

Additionally:

1. County Board shall require revision of Contractor's Bond
2. The construction budget and contingency budget shall be adjusted following approval of change orders.
3. Change Orders shall be administered in accordance with procedures outlined in the bidding and contract documents.
4. The Architect or Contractor is responsible for the preparation of Change Orders.
5. Change Orders must be in written form and shall be prepared on an approved form.
6. All approved Change Orders will be submitted to the Board at scheduled meetings with the current status and balance of all project construction budgets and contingency budgets.

Approved by resolution: September 5, 2017
Updated: June 9, 2020



**Urgent is defined as real surprises, life/safety issues immediately impacting work environment: ask Auditor/Treasurer or seek Board approval if it appears to be necessary or prudent.



Carlton County, Minnesota Conflict of Interest Policy

Adopted: October 10, 2017

Revised:

CONFLICT OF INTEREST POLICY

Purpose:

It is the intent of Carlton County to preserve the public's trust and confidence. A consideration vital to such trust and confidence is the issue of conflict of interest. The goal of the Carlton County conflict of interest policy is to recognize and eliminate those situations of conflict, potential conflict or the appearance of conflict of interest.

Outside Employment:

Any outside employment may not conflict with an employee's/official's job duties. A conflict occurs when the employee/official has the opportunity to affect the outcome of County decisions which may directly or indirectly benefit them through their outside employment.

Government Data Use:

The appropriate and proper use of government data to assure the security and the personal privacy of all citizens is of utmost importance. Carlton County officials/employees are prohibited from using privileged government data obtained through their position to further their own private interests.

Financial Interests:

An official/employee shall not use his or her position to influence the purchase of services or products, when they or their immediate family members defined as spouse, child, sibling, parent or grandparent, have a financial interest, direct or indirect, in the supplier, contractor or provider.

Service on Boards and Commissions:

County employees are encouraged to serve their communities through advising roles on boards or commissions. However, certain County employees and elected officials with the power to enter into contracts may serve only in an ex-officio capacity on the governing boards of agencies or companies which provide services or products to the County, when their position in the County allows them to influence the contracts with the agency or company.

Acceptance of Gifts or Favors:

County officials/employees shall not accept nor solicit gifts, gratuities or other favors, as referenced in MN Statutes 471.895 and 10A.071 (limited to \$5 or less trinket or memento), from persons, agencies, businesses, contractors or organizations which the official/employee knows contracts for supplies, services or products to the County.

Use of County Time, Property and Information:

Officials/employees of the County shall not use County time, supplies, property or equipment for anything other than official County business, except as provided by County resolution or collective bargaining agreement.

Administration of Conflict of Interest Policy:

It is the responsibility of each official/employee to identify the potential for conflict of interest and to avoid such situations. Employees should be specifically aware of situations addressed in Minnesota Statutes 382.18, 471.87, 282.016, and 15.054. The official/employee shall bring the issue of a potential conflict of interest to the attention of the County Attorney, County Coordinator, or the employee's immediate supervisor upon identification of the conflict. Should the matter not be resolved between the employee and immediate supervisor the issue shall be brought to the department head for resolution in consultation with the County Coordinator and the County Attorney. The record keeping duties for administration of the conflict of interest policy shall be the responsibility of the Human Resources department. The Human Resources department will provide each new employee at the time of hire a copy of this policy. The Human Resources department will periodically, but at least annually, distribute a copy of this policy along with instructions for reporting potential conflicts of interest.

Departmental Codes:

Individual departments may establish more restrictive policies, provided they are consistent with the intent of this general policy.

Internal Audit Function:

As necessary, an employee of the Auditor/Treasurer's Office may be appointed to fulfill the internal auditor function and shall report any issue of a potential conflict of interest to the County Auditor/Treasurer unless the issue involves a conflict with the County Auditor/Treasurer, in which case the matter shall be brought to the attention of the Coordinator and the Human Resources Manager.

Violation:

The violation of any of the provisions of the conflict of interest policy may be grounds for disciplinary action. Officials/employees may still be subject to civil or criminal penalties in accordance with law.



Carlton County, Minnesota *County Issued Credit Card Policy*

Adopted: May 12, 2015

Revised:

County Issued Credit Card Policy

Purpose

Carlton County is committed to cost-effective and efficient procedures for the payment of necessary, appropriate and authorized purchases, including the use of county issued credit cards. County issued credit cards provide a convenient method of obtaining low-cost items, including travel and training costs and items purchased by telephone, online or in-store.

Policy

It is the policy of Carlton County to provide county issued credit cards and allow credit card purchases in conformance with this policy and county procedures.

Scope

Department heads and any employee authorized by the department head may be allowed a county issued credit card with the approval of the County Auditor/Treasurer.

The county issued credit card will only be used when:

- The items and/or services to be purchased are for the official use of Carlton County.
- The types of items and/or services to be purchased are those established by the department head and approved by the Auditor/Treasurer's office as having authorized governmental purposes.
- The cost of the proposed purchase does not exceed the small value purchase transaction limit established by the department head and approved by the Auditor/Treasurer's Office, or is authorized in advance.

In addition,

- Use of the county issued credit card will be as directed by the department head and the provisions of the county issued credit card procedure.
- No person other than the cardholder may use a county issued credit card, unless so directed by the cardholder. Any purchases made with a county issued credit card will be considered to have been made by the cardholder and will be the cardholder's responsibility.
- The cardholder will be responsible for the safekeeping of the county issued credit card and, if the card is lost, will report its loss immediately to the credit card company, their department head and the Auditor/Treasurer's Office.
- Disputed charges will be referred to the Auditor/Treasurer's Office.
- Use of the county issued credit card for personal purchases is not allowed. In the case of inadvertent use, the cardholder will reverse the charges or reimburse the county immediately.
- Use of the county issued credit card to purchase goods and services for other than the official use of Carlton County is fraudulent and is subject to disciplinary action as well as legal action to recover losses incurred by such use.
- The cardholder's personal credit will not be affected by any use of the county issued credit card.

PROCEDURE

For the credit card process to operate efficiently, a timely response to each element of the procedure is required. Failure to do so will result in past due transactions appearing on the statements and cards being rejected because of limits being exceeded. Employee absences should be anticipated and arrangements put in place so that the process flow will not be delayed.

Receipt of county issued credit card

1. The department head will determine purchasing authority and complete a Request & Agreement Form for each employee who is to receive a county issued credit card.
2. The Auditor/Treasurer's Office will review the Request & Agreement Form and initiate the process authorizing a county issued credit card.
3. The employee will sign the Request & Agreement Form agreeing to the conditions of use and acknowledging receipt of the county issued credit card policy and procedure.
4. New county issued credit cards will be ordered as needed.

Use of county issued credit card

- The cardholder will follow county policy and procedure for all credit card purchases.
- Credit card charges follow the same rules as any other county expenditure. The expenditure must be a proper county expense, and it must have proper documentation. Cardholders must have ITEMIZED receipts and records for each purchase on their card, including in-store orders, telephone orders, electronic orders and mail orders.
- Cardholders will be responsible for the cost of any purchase that does not have an itemized receipt or is not for official county use.
- If a county issued credit card is used improperly, or the procedure is not followed, the employee will no longer be allowed a county issued credit card.

Payment of county issued credit card charges

1. The department head will ensure that sufficient funds are available to pay for every purchase.
2. The Auditor/Treasurer will ensure payment of monthly charges resulting from use of county issued credit cards.
3. Cardholders will receive a statement on a monthly basis. Within five days of receiving the statement the cardholder shall:
 - Verify the charges on the statement are accurate.
 - Attach an ITEMIZED receipt to the statement for each transaction listed (purchase, refund, correction, etc.).
 - Indicate on the receipt a description of the expense AND the department and budget line to be charged. (In some departments, the department head or supervisor may prefer to do this.)
 - For travel, training, meals, lodging or similar expenses, include the following information for ALL related expenditures:
 - who and/or what the expenditure is for ("meals", "travel")
 - why you are being reimbursed ("MACO Conference", "K-9 training")
 - when the expenditures occurred
 - where the expenditures occurred
 - for out-of-state travel, include board approval date
 - Sign and date the statement.
 - Take the statement and itemized receipts to the person who normally signs off on your payment vouchers for their approval.
 - This process MUST be completed within five days of receiving the statement. If you will be out of the office during this time, please contact the Auditor/Treasurer's office.

4. Department heads/supervisors within three days of receiving the cardholder's statement shall:
 - Add and/or correct the coding and descriptions on the ITEMIZED receipts you received from the cardholder, just as you would a voucher.
 - Add your signature, title and date to the statement.
 - Send statement and itemized receipts to the Auditor/Treasurer's office or Human Services.



Carlton County

Credit Card Request & Agreement Form

Effective Date:
Revised Date:
Version: 1.0

Employee Name: _____ Employee Number: _____

Department: _____ Position: _____

Requested credit card limit: _____

Department Head Signature

Date

Cardholder's Agreement

I understand that the use of county issued credit cards is subject to the County Issued Credit Card Policy. I have received copies of those documents and will abide by them. I understand that failure to follow policy and procedure may result in the revocation of my use privileges, and/or in either my purchases being reported as income to me or my purchases be considered personal, therefore requiring me to reimburse Carlton County.

I will use the county issued credit card as directed by my department head under the provisions of the County Issued Credit Card Policy. I am aware of my county issued credit card limits and will abide by those limits.

I understand that county issued credit cards may be used only for official county purchases and that use for personal purchases is not allowed. I understand that use of the county issued credit card for any reason other than official county purposes is fraudulent and in such case I am subject to disciplinary action, as well as to legal action to recover losses.

I agree that if I should violate the terms of the county issued credit card policy and procedure and use the county issued credit card for personal use or gain that I will reimburse Carlton County for all incurred charges and any fees related to the collection of those charges.

I will not permit another person to use my county issued credit card, unless under my direction. Any such purchase made with my card will be considered to have been made by me and will be my responsibility.

I will be responsible for the safekeeping of the county issued credit card and, if lost, will report its loss immediately to the credit card company, my department head and the auditor/treasurer's office.

I understand that in the event of termination of my employment with Carlton County, I must immediately return the county issued credit card to my department head.

I understand that my personal credit will not be affected by any use of the county issued credit card.

I have read, understand, and agree to the conditions above:

Cardholder's Signature

Cardholder's Name (Please Print)

**** Return this completed form to the County Auditor/Treasurer's Office ****



Carlton County, Minnesota

Credit Card and Electronic Payment Acceptance Policy

Adopted: May 8, 2018

Revised:

Credit Card and Electronic Payment Acceptance Policy

This policy is designed to allow acceptance of credit cards and other electronic payment forms for property taxes and county charges and fees.

MN Statutes 276.02 enables the county board by resolution to authorize the county treasurer and/or other designees to accept payments of real property taxes by credit card, provided that a fee is charged for its use. Further, MN Statutes 471.38 – 471.382 expand the acceptance of payments of taxes and other fees by credit cards and other electronic methods.

The following guidelines are established to administer the acceptance of electronic payments.

1. The Carlton County Board hereby authorizes the acceptance of payment of real property taxes and other charges and fees for the amounts due Carlton County by credit card and other electronic methods as they become practical to implement.
2. The Carlton County Board authorizes the Auditor/Treasurer to enter into agreement with third party vendors as appropriate to implement electronic payment systems. All contracts are subject to review by the County Attorney's office, and approval of the County Board, dependent on budget authority.
3. All county departments accepting electronic payments shall coordinate and centralize the applicable system and processes through the Auditor/Treasurer in order to maintain appropriate internal controls for all receipts and disbursements of the county. Third party vendor reporting must provide sufficient detail to enable efficient and accurate posting processes.
4. The County or third party vendor may impose a convenience fee to each transaction. The transaction fee will be paid by the customer in addition to the tax, fee, charge or cost being charged. The convenience fee must be commensurate with the costs assessed by the card issuer or third party vendor. The convenience fee must be disclosed to the customer before the transaction is processed.
5. The same standards and principles used to determine timely payment for manual payment methods shall apply to payments made by electronic methods. For real property taxes, an electronic payment with a processing date on or before the due date shall be considered timely.
6. Credit card, charge card, debit card, or other methods of electronic funds transfer account numbers are nonpublic data not on individuals as defined in MN Statutes 13.02, sub. 9, or private data on individuals as defined in MN Statutes 13.02, sub. 12.
7. If a transaction involving the use of an electronic payment method is subsequently voided or reversed, the Auditor/Treasurer may impose a fee using the same standards and principles as used for manual payments where a dishonored transaction occurs. Any obligation for which the electronic transfer was to satisfy, shall be reinstated as if the transaction had not occurred.



Carlton County, Minnesota Drug and Alcohol Free Workplace Policy

Adopted: August 14, 2018

Revised:

Drug and Alcohol Free Workplace Policy

I. POLICY

Carlton County (hereafter referred to as “the County”) has a strong commitment to the health, safety and welfare of its employees, their families, and its citizens. The County recognizes that alcohol abuse and drug use pose a significant threat to job performance and the safety and security of operations. The County’s commitment to maintaining a safe and secure workplace requires a clear policy and supportive programs relating to the detection, treatment and prevention of substance abuse by employees.

The purpose of this policy is to maintain a drug- and alcohol-free workplace environment and to provide the standards and procedures for drug and alcohol testing of employees and job applicants in compliance with the requirements of Minnesota Statutes §181.950 through §181.957 as well as the requirements of the Federal Drug Free Workplace Act of 1988 41 U.S.C. 701-707.

II. SCOPE OF COVERAGE

This policy applies to all County employees (including interns and volunteers) while on duty or on County property or anytime an employee is scheduled on-call. It also applies to all applicable job applicants who have received a contingent offer of employment by the County. Employees who are required to hold a Commercial Driver’s License are also subject to the provisions of the Department of Transportation Federal Highway Administration Drug and Alcohol Testing Policy.

III. DEFINITIONS

- A. Alcohol – Ethyl Alcohol.
- B. Confirmatory test; confirmatory retest – a drug or alcohol test that uses a method of analysis allowed under one of the programs listed in Minnesota Statute §181.953, subdivision 1.
- C. Controlled substance - a drug, substance, or immediate precursor in Schedules I through V of Minnesota Statute § 152.02. The term shall not include distilled spirits, wine, malt beverages, intoxicating liquors or tobacco.
- D. Drug – a controlled substance as defined in Minnesota Statute §152.01, subdivision 4; and/or if required by law, the federal Drug-Free Workplace Act of 1988.
- E. Drug and alcohol testing – analysis of a body component sample according to the standards established under one of the programs listed in Minnesota Statute §181.953, subdivision 1, for the purpose of measuring the presence or absence of drugs, alcohol, or their metabolites in the sample tested.
- F. Employee - a public employee or a person who performs services for compensation, in whatever form, for an employer. Also includes interns and volunteers.
- G. Employer – the Carlton County Board of Commissioners or its designee(s)
- H. Initial screening test – a drug or alcohol test which uses a method of analysis under one of the programs listed in Minnesota Statute §181.953, subdivision 1.
- I. Job applicant – a person who applies to become an employee of the County, including a person who has received a job offer made contingent on the person passing drug and/or alcohol testing.
- J. Premises – all property and locations in which the County is operating or has established a presence.

- K. Positive test result – a finding of the presence of drugs, alcohol, or their metabolites in the sample tested in levels at or above the threshold detection levels contained in the standards of one of the programs listed in Minnesota Statute §181.953, subdivision 1.
- L. Random selection basis – a mechanism for selection of employees that (1) results in an equal probability that any employee from a group of employees subject to the selection mechanism will be selected and (2) does not give an employer discretion to waive the selection of an employee selected under the mechanism.
- M. Reasonable suspicion – a basis for forming a belief based on specific facts and rational inferences drawn from those facts.
- N. Under the influence – having the presence of a drug at or above the level of a positive test result as defined in Appendix A and having the presence of ethyl alcohol in excess of .04%.

IV. GENERAL WORK EXPECTATIONS

All employees are accountable for maintaining a drug and alcohol free workplace by adhering to the following during working hours, while on the County's premises or wherever the County's work is being performed:

- A. No employee shall report to work under the influence of drugs or alcohol.
- B. No employee shall operate, use or drive any equipment, machinery or vehicle of the County under the influence of drugs or alcohol.
- C. No employee shall operate, use or drive any equipment, machinery or vehicle of the County while under the influence of prescription drugs that adversely affect their alertness, reaction, response, judgment, decision-making, or safety. An employee must immediately notify his/her supervisor that he/she is not in an appropriate mental or physical condition to operate, use or drive County equipment or his/her personal vehicle while on county business.
- D. No employee shall unlawfully manufacture, distribute, dispense, possess, transfer, or use a controlled substance in the workplace or wherever the County's work is being performed. During work hours, including rest and lunch breaks, or while on the County's premises, no employee shall use, sell, manufacture, possess or transfer alcoholic beverages, with the following exceptions:
 - 1. Consumption, possession, sale or purchase of alcohol when authorized by a Commissioner under separate statutory or executive agency authority;
 - 2. Possession of alcohol while in an employee's personal vehicle on the County's premises in compliance with applicable statutory requirements.
- E. The required transportation or possession of illegal drugs, alcohol or controlled substances as a result of performing official County duties is not considered a violation of this policy.
- F. Supervisors or department heads shall notify the appropriate law enforcement agency when they have reasonable suspicion to believe that an employee may have illegal drugs in his/her possession during working hours, or on County premises, or while operating the County's vehicle, machinery or equipment. Where appropriate, the supervisor or department head shall also notify licensing boards.
- G. Any employee convicted of manufacturing, using, selling, distributing or possessing a controlled substance in the workplace shall notify the County via the Human Resources office within five (5) days of the conviction. The county will take appropriate action within thirty (30) days of notification. An employee who receives a statutory stay of adjudication under Minnesota Statute 152.18 shall notify the County within five (5) days of sentencing. Appropriate action may include (a) personnel action against the employee, up to and including termination, or (b) requiring the employee to participate satisfactorily in substance abuse assistance or rehabilitation programming approved for such purposes by a federal, state or local health, law enforcement or other appropriate agency.

V. DRUG AND ALCOHOL TESTING

As part of the County's commitment to an alcohol and drug-free workplace, the County reserves the right to require that applicants and employees submit to drug and/or alcohol testing in accordance with the provisions of Minnesota Statute. Each employee will be given a copy of this policy in compliance with the notice required under Minnesota Statute. A copy will also be provided to all applicants who are requested to undergo testing. Any employee desiring information concerning drug or alcohol abuse counseling and/or rehabilitation is encouraged to contact the County's Employee Assistance Program (EAP).

A. Circumstances for Drug and Alcohol Testing

1. Job Applicants. The County may request or require that all applicants for a particular position be tested for drugs and/or alcohol after receiving a conditional offer of employment. If the applicants tests positive for drugs or alcohol after a confirmatory test, the conditional offer may be withdrawn.
2. Random Testing. The County will also test drivers on a random basis in compliance with the regulations issued by the United States Department of Transportation. Once the random selection has been made, the County will not waive the selection of any employees identified through the random process.
3. Reasonable Suspicion Testing. The County may request or require an employee to undergo drug and/or alcohol testing if the County has a reasonable suspicion that the employee:
 - i. is under the influence of drugs or alcohol; or
 - ii. has violated the County's written work rules prohibiting drug and alcohol use, possession, sale or transfer while the employee is on the County's premises, performing County functions, or operating the County's vehicle, machinery or equipment (other than in connection with the employee's official duties); or
 - iii. has sustained a personal injury or caused another employee to sustain personal injury; or
 - iv. has caused a work-related accident, or was operating or helping to operate machinery, equipment or a vehicle involved in a work-related accident.

**Nothing in the policy shall be construed as requiring the County to test any employee for the presence of drugs or alcohol. The County reserves the right to discipline or discharge an employee for violation of workplace rules and policies based on evidence other than the results of a drug and/or alcohol test.*

B. Refusal to Undergo Testing

1. Right to Refuse. Employees and job applicants have the right to refuse to undergo drug and alcohol testing. If an employee or job applicant refuses testing, no test shall be given.
2. Consequences of Refusal. If an employee refuses to undergo drug or alcohol testing requested or required by the County, or if an employee's behavior prevents meaningful completion of drug or alcohol testing, the employee shall not be permitted to perform safety sensitive functions, may be restricted from operating County vehicles, and the employee may be subject to discipline up to and including termination of employment. If a job applicant refuses to undergo drug and alcohol testing as requested or required by the County, the County may withdraw its conditional job offer.
3. Refusal on Religious Grounds. No employee who refuses to undergo drug or alcohol testing of a blood sample upon religious grounds shall be deemed to have refused unless the employee also refuses to undergo drug or alcohol testing of a urine sample.

C. Timing of Testing

1. In the case of job applicant testing, the requirement will generally be to have the test completed within 72 hours of being given notice.
2. For all other testing circumstances, the County reserves the right to require the completion of the test in the timeframe it feels necessary. This will be based on case-by-case circumstances and/or safety. This required timing will be communicated to the employee at the time they are instructed to participate in testing.

D. Conducting the Testing

1. No testing may be completed without approval from the Human Resources Director or designee.
2. Notification Form. Before requiring an employee or job applicant to undergo drug or alcohol testing, the County shall provide the individual with a form on which to (1) acknowledge that he/she has seen a copy of the County's Drug and Alcohol Free Workplace Policy, (2) indicate any over-the-counter or prescription medications that he/she is currently taking or has recently (within the last month) taken, and any other information relevant to the reliability of, or explanation for, a positive test result, and (3) indicate consent to undergo the drug and alcohol testing.
3. Test Sample. The test sample shall be obtained in a private setting and the procedures for taking the sample shall ensure privacy to employees to the extent practicable, consistent with preventing tampering with the sample. All test samples shall be obtained by or under the direct supervision of a health care professional at a medical facility of the County's selection.
4. Transport. The supervisor or department head shall make arrangements for the transportation of any employee subject to testing to an appropriate testing site.
5. Identification of Samples. Each sample shall be sealed into a suitable container free of any contamination that could affect test results, be immediately labeled with the subject's employee identification number, be initialed by the subject, and be signed and dated by the person witnessing the sample.
6. Chain of Custody. The selected medical facility shall ensure that a written record of the chain of custody of the sample is maintained, and ensure the proper handling of the sample in compliance with the provisions of Minnesota Statute §181.953, subdivision 5.
7. Laboratory. The County shall use the services of a testing laboratory that meets the criteria of Minnesota Statute §181.953, subdivision 1. However, no test shall be conducted by a laboratory owned and operated by the County.
8. Methods of Analysis. The testing laboratory shall use methods of analysis and procedures to ensure reliable drug and alcohol testing results, including for both initial screening and confirmatory tests. The testing laboratory shall perform each test analysis in accordance with the standards established by Minnesota Statute §181.953, subdivision 1.
9. Retention and Storage. All samples that produced a positive result shall be retained and properly stored by the testing laboratory for a minimum of six (6) months.
10. Test Report. The testing laboratory shall prepare a written report indicating the drugs, alcohol or their metabolites tested for, the type(s) of test(s) conducted, and whether the test produced negative or positive test results. The testing laboratory shall disclose that report to the County within three (3) working days after obtaining the final result.

E. Test Results

The laboratory will conduct both an initial test and a confirmatory test if the initial test is positive. A negative result on either the initial or confirmatory test will be deemed a negative test result

(i.e., no drugs or alcohol detected). A positive result on both the initial and confirmatory test will be deemed a positive test result (i.e., drugs or alcohol detected).

1. Negative Test Result. An employee or applicant who tests negative for drugs or alcohol will be given written notice of the test results within three (3) working days of the County receiving the test results from the testing laboratory.
 2. Positive Test Result. An employee or applicant who tests positive for drugs or alcohol will be given written notice of the test results within three (3) working days of the County receiving the test results from the testing laboratory. Pursuant to Minnesota Statute §181.953, subdivision 6b, the employee or applicant will also be given written notice of their right to provide any information to explain the positive result, including any over-the-counter or prescription medication the employee or applicant may have taken. An employee or applicant who wishes to submit any explanatory information must do so within three (3) working days after being notified of the positive test result.
 3. Retest. An employee or applicant who has a positive test result may also request a retest of the original sample by the same or different certified laboratory as set forth in Minnesota Statute §181.953, subdivision 1, at his or her own expense. An employee or applicant who wishes to conduct a retest must notify the County in writing of their intention to conduct such a retest within five (5) working days after being notified of the positive test result. If the results of the retest are negative, the test will be considered a negative test result.
 4. Right to Test Result. An employee or job applicant has the right to request and receive from the County a copy of the test result report on his/her drug or alcohol test.
 5. Costs. All costs related to drug and alcohol testing will be paid by the County, with the exception of any retest requested by an employee or applicant following a positive test result.
- F. Disciplinary Action in Response to a Positive Test Result
1. Interim Action/Discipline. The County reserves the right to temporarily suspend the tested employee or transfer that employee to another position at the same rate of pay pending the outcome of the confirmatory test. An employee who has been suspended without pay must be reinstated with back pay if the outcome of the confirmatory test or requested confirmatory retest is negative.
 2. Applicants. The County reserves the right to withdraw the conditional job offer of any job applicant with a positive confirmatory test result, without the opportunity to complete evaluation or treatment.
 3. Employees – First Positive Test Result - Termination. The County will not discharge an employee for the first positive test result. Instead the employee will be given the opportunity to participate in an appropriate drug or alcohol counseling or rehabilitation program as determined by a certified chemical use counselor or physician trained in the diagnosis and treatment of chemical dependency chosen by the County. The employee will be responsible for paying all costs associated with any evaluation and subsequent treatment themselves or pursuant to coverage under an employee benefit plan. An employee who refuses or fails to participate in, cooperate with or successfully complete the evaluation or recommended treatment program as evidenced by withdrawal from the program before its completion may be terminated. An employee who successfully completes treatment may be subject to unannounced, follow-up testing for a period of up to two (2) years. If a positive test results on a confirmatory test after successful completion of a treatment program, the employee may also be terminated.

4. Employees – First Positive Test Result – Discipline. The County reserves the right to take any other disciplinary action up to but not including termination of employment it may deem warranted following a first positive test result.
5. Employees – Subsequent Positive Test Result. The County reserves the right to take any disciplinary action up to and including termination of employment following any second or subsequent positive test result without referral to or the opportunity to complete additional chemical dependency counseling or rehabilitation.
6. Federal Grant Employees. An employee engaged in the performance of work on federal grants or contracts is required to notify their department head of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction.

G. Privacy of Test Results

1. Test results and other information acquired as a result of the testing program are private data on individuals as defined in Chapter 13 and will not be disclosed by the County or the testing laboratory to another employer, third party individuals, government agencies or private organizations without written consent of the employee or job applicant being tested.
2. Evidence of a positive test result may be used in an arbitration proceeding pursuant to a collective bargaining agreement, an administrative hearing or a judicial proceeding, provided the information is relevant to the hearing or proceeding. Such evidence may also be disclosed to any federal agency or other unit of the United States government as required under federal law, regulation or order, or in accordance with compliance requirements of a federal government contract. Evidence of a positive test result may also be disclosed to a substance abuse treatment facility for the purpose of evaluation or treatment of the employee.
3. The County will provide an employee with access to information in the employee's file relating to positive test result reports and other information acquired in the testing process as well as conclusions drawn from or actions taken based upon such information.

VI. APPEALS PROCEDURE

Employees may appeal decisions made by the County under this policy through the grievance procedure outlined in their collective bargaining agreement or personnel policy, as applicable.

VII. EMPLOYEE NOTIFICATION OF POLICY

The County will post notice that this policy providing for drug and alcohol testing has been adopted in a conspicuous location on the County's premises. The County will provide a copy of this policy to every employee currently employed by the County upon adoption of the policy. New employees of the County will receive a copy of this policy with their orientation materials. Every job applicant subject to drug and alcohol testing will be given a copy of this policy prior to any testing. Copies of this policy are also available in the Human Resources office during regular business hours.

VIII. NON-DISCRIMINATION

The County's policy on work-related substance abuse is non-discriminatory in intent and application. However, in accordance with Minnesota Statutes, Chapter 363A, disability does not include any condition resulting from alcohol or drug abuse which prevents a person from performing the essential functions of the job or creates a direct threat to property or the safety of individuals. Furthermore, in accordance with the Americans with Disabilities Act, an individual who is currently engaging in the illegal use of drugs is not an "individual with disability" when the employer acts on the basis of such use.

IX. CONSEQUENCE OF VIOLATIONS

Violations of this policy may constitute just cause for discipline up to and including termination of employment. Nothing in this policy shall be construed as prohibiting the County from referring any violation or suspected violation of criminal law to law enforcement officials for criminal prosecution. Each situation will be evaluated on a case-by-case basis depending upon the severity and circumstances involved.

X. CONTACT

Questions regarding this policy should be directed to the Human Resources Director.

Drug and Alcohol Free Workplace Policy Acknowledgement

I have received a copy of the Drug and Alcohol Free Workplace Policy of Carlton County and have read it in its entirety. I understand that I am subject to the provisions of this policy.

The County’s policy was provided to me:

- ___ upon adoption of the policy (current employee).
- ___ upon hire (new employee).
- ___ after receipt of a conditional job offer, before any testing if the job offer is contingent upon passing drug and alcohol testing (job applicant).

Signature of Employee/Applicant

Printed Name

Date

**CARLTON COUNTY
NOTIFICATION AND CONSENT FORM FOR DRUG AND ALCOHOL TESTING**

I have been given and have seen a copy of the Drug and Alcohol Free Workplace Policy of the County and consent to be tested.

I hereby consent to undergo drug and alcohol testing pursuant to said policy, and I authorize Carlton County to collect a urine and/or blood sample in such a manner that the authorized testing laboratory deems appropriate for drug and alcohol testing purposes. In addition, I authorize the County to receive the results of the test from the designated laboratory analyzing the sample(s).

I understand that the results of the testing may affect my employment status with the County.

I understand that in order to ensure accuracy in this screening, I have the right to indicate any and all of the prescription drugs or over-the-counter medication I have taken within the last thirty (30) days, as well as any other information relevant to the reliability of, or explanation for, a positive test result. I, therefore, voluntarily provide that I am currently taking, or have taken within the last thirty (30) days, the following drugs/medications (write NONE if applicable):

Print Name: _____

Signature: _____

Date: _____

Witness: _____

Date: _____

**CARLTON COUNTY
DRUG AND ALCOHOL TESTING REFUSAL**

I refuse to submit to a drug or alcohol test.

I have been given and have seen a copy of the Drug and Alcohol Free Workplace Policy of the County and understand that a refusal to submit to testing may disqualify me from consideration for employment or, if an employee, subject me to discipline up to and including termination of employment.

Print Name: _____

Signature: _____

Date: _____

Witness: _____

Date: _____

APPENDIX A – DRUG TESTING THRESHOLD LEVELS

DRUG TYPE AND CUT-OFF LIMIT. Cut-off limits are established by the Department of Health and Human Services in their mandatory Guidelines for Federal Workplace Drug Testing Programs. This list of drugs and cut-off limits is subject to change by the Department of Health and Human Services as advances in technology or other considerations warrant identification of these and additional substances at other concentrations. Such changes shall be deemed to have been incorporated into the Policy upon announcement by the Department of Health and Human Services of such changes.

Employees may be tested for the following drugs and/or their metabolites at the following cut-off limits:

Initial Drug Test Level

	(ng/mL)
Marijuana metabolites	50
Cocaine metabolites	300
Opiate metabolites	2,000
Phencyclidine	25
Amphetamines	1,000
Barbiturates	300
Methaqualone	300
Benzodiazepines	300
Methadone	300
Propoxyphene	300

Confirmatory Drug Test Level

	(ng/mL)
Marijuana metabolite \1\	15
Cocaine metabolite \2\	150
Opiates	
Morphine	2,000
Codeine	2,000
6-Acetylmorphine \3\	10
Phencyclidine	25
Amphetamines	
Amphetamine.....	500
Methamphetamine \4\	500
Barbiturates	300
Methaqualone	100
Benzodiazepines	300
Methadone	300
Propoxyphene	300
Alcohol, Ethyl *	0.04%

\1\ Delta-9-tetrahydrocannabinol-9-carboxylic acid
 \2\ Benzoylcegonine
 \3\ Test for 6-AM when the morphine concentration is greater than or equal to 2,000 ng/mL.
 \4\ Specimen must also contain amphetamine at a concentration greater than or equal to 200 ng/mL.

*Any report in excess of .04% shall be considered above the impairment level.

CARLTON COUNTY
DATA PRACTICES POLICY
January 27, 2020



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CARLTON COUNTY – DATA PRACTICES POLICY

The Minnesota Government Data Practices Act (“Data Practices Act”) requires Carlton County (“the County”) to have a document describing Private and Confidential Data on Individuals maintained by the County. This policy includes County Data Not on Individuals as well as data that identifies Individuals. Data on Individuals is categorized as Public, Confidential or Private. This policy describes who has access to Confidential or Private data and identifies in Appendix I. the County data that fits into those categories, (to the extent an appropriate classification can be determined in advance of an actual document request). Appendix II includes the forms the County uses to collect data from individuals. This County policy also specifies procedures for handling requests for copies of data from the County, including who has access to the data, how quickly the County must respond, and the charges for providing copies of data.

I. CATEGORIES OF COUNTY DATA

The Data Practices Act classifies all information that the County collects, creates, receives, maintains or disseminates into several categories: Data on Individuals (including Public, Private and Confidential Data) and Data Not on Individuals (including Public, Nonpublic and Protected Nonpublic Data). The following describes the data in each category.

A. Data on Individuals

Data on Individuals is defined as all government data in which any individual is or can be identified as the subject of that data, unless the appearance of the name or other identifying data can be clearly demonstrated to be only incidental to the data, and the data is not accessed by the name or other identifying data of any individual. This data is divided into three categories: Public Data on Individuals, Private Data on Individuals and Confidential Data on Individuals.

1. Public Data on Individuals

Public Data on Individuals is accessible to the public unless there is a specific federal law, state statute or temporary classification that makes the data not public.

2. Private Data on Individuals

Private Data on Individuals is not accessible to the public, according to state statute or federal law, but is accessible to the individual subject of the data. Appendix I, A. lists Private Data on Individuals maintained by the County. This data shall only be given to:

- a. The subject of the data or a minor’s parent/guardian, as limited by any applicable state statute or federal law.
- b. Persons or entities given written consent from the data subject.
- c. County employees or agents whose work assignments reasonably require access.

- d. Other persons or entities authorized by law.

3. Confidential Data on Individuals

Confidential Data on Individuals is not accessible to the public or to the individual who is the subject of the data, according to state statute or federal law. Appendix I, A. lists the County's Confidential Data on Individuals. This data shall only be given to:

- a. County employees or agents whose work assignments reasonably require access.
- b. Other persons or entities authorized by law.

B. Data Not on Individuals

Data Not on Individuals is all government data that is not Data on Individuals. This data is divided into three categories: Public Data Not on Individuals, Nonpublic Data Not on Individuals and Protected Nonpublic Data Not on Individuals.

1. Public Data Not on Individuals

Public Data Not on Individuals is accessible to the public. This data would include all government data that is not Data on Individuals that is collected, created, received, maintained or disseminated by the County unless classified by statute, temporary classification or federal law as Nonpublic or Protected Nonpublic.

2. Nonpublic Data Not on Individuals

Nonpublic Data Not on Individuals is data that is not accessible to the public but is available to the subject of the data, if any, and to:

- a. Persons given written consent from the data subject.
- b. County employees or agents whose work assignments reasonably require access.
- c. Other persons or entities authorized by law.

Examples of Nonpublic Data Not on Individuals include security information, trade secrets, certain labor relations information, and sealed bids, including the number of bids received prior to opening.

3. Protected Nonpublic Data Not on Individuals

Protected Nonpublic Data Not on Individuals is data that is not available to the public or to the subject of the data, if any. This data is only available to:

- a. Persons given written consent from the data subject.

- b. County employees or agents whose work assignments reasonably require access.
- c. Other persons or entities authorized by law.

Examples of Protected Nonpublic Data Not on Individuals include the estimated or appraised value of individual parcels of real property made by the County until certain events occur and information from an active investigation related to a civil lawsuit.

C. Data Collected by Private Persons for the County

Each new County contract with a private person or entity to perform any of the County's functions shall make it clear that: 1) all of the data created, collected, received, stored, used, maintained, or disseminated by the private person in performing those functions is subject to the requirements of this policy; and 2) the private person must comply with those requirements as if it were a government entity. The private person does not, however, have a duty to provide the public access to public data if that data is available from the County, unless otherwise required to do so in their contract.

II. WHO HAS ACCESS TO COUNTY DATA?

A. The Public

Public Data on Individuals and Public Data Not on Individuals is available to anyone upon request. Data that is classified in another category (see Section I) is only available to the specific persons listed for that category.

B. Governmental Entities

Public data necessary for the administration of programs may be given to another state agency or unit of government. Any other data may only be given to another unit of government if authorized by federal or state law. There is no charge for public information provided in the usual course of business. However, governmental entities will be charged according to Section VII. of this policy for all other requests.

1. Data classified as Not Public (which includes Confidential, Private, Nonpublic and Protected Nonpublic Data), may be provided to the legislative auditor for inspection.
2. Private or Confidential Data on employees may be provided to a law enforcement agency for the purpose of reporting a crime or assisting in a criminal investigation where an employee allegedly committed the crime.

C. Identification or Justification

Unless specifically authorized by statute, the County may not require a person to identify himself or herself, state a reason for, or justify a request to gain access to public data. A person may be asked to provide certain identifying and clarifying information for

the sole purpose of facilitating access to such data.

III. WHAT OTHER RIGHTS DO INDIVIDUALS HAVE?

A. Data given to Individuals

Upon request to the responsible authority or designee, individuals shall be informed:

1. If the individual is the subject of data stored by the County.
2. If the data is classified as Public, Private or Confidential.

B. Explanation of Data

Upon request, an individual who is the subject of Public or Private Data on Individuals shall receive an explanation of the content and meaning of that data, subject to the limitation set forth in Minn. Stat. § 13.04, subd. 3.

C. Summary Data

The County must prepare summary data based on Private or Confidential data for any person who requests it in writing if the person requesting the data pays the costs for the County to prepare it. Summary Data is defined as statistics or reports derived from Data on Individuals in which particular individuals cannot be identified. The Summary Data is then public. The County does not have to prepare Summary Data of public information. Upon receiving a request for Summary Data, the County shall:

1. provide it as soon as reasonably possible; or
2. provide the requesting party with a written schedule of when the data will be provided that explains the reasons for the delays; or
3. deny the request in a written statement, explaining why providing the data would jeopardize the protection of Private or Confidential data.

D. Accuracy or Completeness

An individual subject of data may contest the accuracy or completeness of Public or Private Data. To do so, an individual must notify the County's Responsible Authority in writing and describe the nature of the disagreement. The Responsible Authority shall, within 30 days, either: 1) correct the data found to be inaccurate or incomplete and attempt to notify past recipients of inaccurate or incomplete data, including recipients named by the individual; or 2) notify the individual that the County believes the data to be correct. Data in dispute shall be disclosed only if the individual's statement of disagreement is included with the disclosed data. The determination of the Responsible Authority may be appealed pursuant to the Data Practices Act.

E. Information Requested from Individuals (Tennessee Warning)

An individual asked to supply Private or Confidential Data concerning himself or herself

shall be informed of: a) the purpose and intended use of the requested data within the County; b) whether the individual may refuse or is legally required to supply the requested data; c) any known consequence arising from supplying or refusing to supply Private or Confidential Data; and d) the identity of other persons or entities authorized by state or federal law to receive the data. This requirement shall not apply when an individual is asked to supply investigative data, pursuant to the Data Practices Act, to a law enforcement officer.

IV. WHAT DATA MUST BE PROVIDED?

A. General Rule

All government data collected, created, received, maintained or disseminated by the County shall be treated as public data under the Data Practices Act unless classified otherwise by state or federal law or temporary classification. The County does not have to put public data into a form in which it does not already exist.

B. Electronic Form

If the County maintains Public Data in a computer storage medium, a copy of any public data contained in that medium shall be provided to any person making a data request, in electronic form, if the County can reasonably make the copy or have the copy made. The County is not required to provide the data in an electronic format or program that is different from the format or program in which the County maintains the data. The actual cost of providing this copy may be charged.

C. Contractor Data

If the County contracts with a private party to perform any of its government functions, all data the private party collects, receives, stores, uses, maintains, or disseminates in performance of said contract is public data, unless classified as nonpublic, private, or confidential data by statute. The contractor shall provide public access of such data in accordance with the Data Practices Act, unless the County is also in possession of such data. All contracts with a private party to perform a government function shall inform the contractor of the duty to comply with the Data Practices Act and the penalties of noncompliance.

V. WHEN MUST COPIES OF DATA BE PROVIDED?

A. Public Data

Copies of public data must be provided to the requesting party **at the time of the request or as soon as reasonably possible.**

B. Private or Public Data Requested by the Individual Subject

Copies of Public or Private Data on Individuals must be provided to the individual subject of that data at the time of the request if possible or **within 10 days** of the date of the request, excluding Saturdays, Sundays and legal holidays.

VI. PROCEDURES FOR PROVIDING DATA

- A. Determine if the County has the data being requested.
- B. Determine if the person making the request has the right to the information:
 - 1. Yes, if it is Public. (Refer to Section II. of this policy.)
 - 2. If it is Not Public, only give to the person entitled to have access according to Sections I. and II.
 - 3. If it is Not Public and the person requesting the data is not entitled to have access to the data, inform the person of that determination and cite the specific law on which that determination is based.
 - 4. Direct any questions to the County's Responsible Authority, the County's Data Practices Compliance Official, or the designees listed in Section VIII.
- C. Require that the request be made in writing if:
 - 1. The request is for Private, Confidential, Nonpublic or Protected Nonpublic data;
 - 2. The request is a large request for public data; or
 - 3. It is your department's policy to require written requests for public data.

The Responsible Authority or designee shall maintain a form for submission of written requests for County Data.

- D. Respond in a timely manner as defined in Section V. Inform the person making the request that their request was received and indicate approximately how long it will take to provide the data.
- E. Allow the person to inspect any available public data to which they have access. Inspection includes, but is not limited to, the visual inspection of paper and similar types of government data. Inspection does not include the County printing copies, unless printing a copy is the only method to provide for inspection of the data. In the case of data stored in electronic form and made available by the County in electronic form on a remote access basis to the public, inspection includes remote access to the data by the public and the ability to print copies of or download the data on the public's own computer equipment. The Data Practices Act does not prohibit the County from charging a reasonable fee for remote access to data under a specific statutory grant of authority. A fee may be charged for remote access to data where either the data or the access is enhanced at the request of the person seeking access.

When providing data for inspection, the Responsible Authority or designee shall take adequate measures to maintain the integrity of the data to prevent destruction, loss, or theft of data.

- F. Charge for the copies according to Section VII.

- G. If a request for data contains a request for data that were created or are maintained by another County department, the Responsible Authority or designee shall ensure that the Responsible Authority or designee in that department is aware of that request before any data is provided.

VII. CHARGES FOR PROVIDING COPIES OF DATA

A. 100 or Fewer Pages

When 100 or fewer pages of black and white, letter or legal size paper copies are requested, and the requestor is not the data subject, the County charges \$.25 per page for black and white copies of data, \$.50 for a two-sided copy, and \$1.00 per page for color copies. When 100 or fewer pages are requested, the County charges only a per-page fee.

B. When the Requestor is the Data Subject

When the requestor is the data subject, the County does not charge for labor costs for searching for and retrieving the data or for time spent separating public and private data. Excluding the cost of searching and retrieving the data, the County will charge the actual cost of providing copies of this data. The actual cost may include the following, where applicable: (a) \$.10 per page for copying, (b) the cost to convert the data from computerized or microfilm form, (c) the cost of preparing summary data from Private and Confidential information, and (d) postage.

C. All Other Circumstances

In all other circumstances, including requests to provide data via electronic media, the internet, or via facsimile, the County may charge the actual cost of providing the data. The actual cost may include the cost of (a) the paper, (b) the labor cost (County staff hourly rate of salary plus benefits) to search for and retrieve the data and make, certify, compile and electronically transmit the data or the copies but not the cost of separating public from not public data, (c) the costs to convert the data from computerized or microfilm form, (d) the cost of preparing summary data from Private and Confidential information, and (e) postage. The Responsible Authority shall have discretion to determine what the actual costs to the County are.

If County consultant time is spent to locate and gather the requested data, the actual cost billed to the County may be charged. The actual cost may include the cost of (a) the paper, (b) the labor (Consultant hourly rate billed to the County) to search for and retrieve the data and make, certify, and electronically transmit the data or the copies but not the cost of separating public from not public data, (c) the costs to convert the data from computerized or microfilm form, (d) the cost of preparing summary data from Private and Confidential information, and (e) postage.

D. Commercial Value

If a request involves a copy (or copies) of public data that has commercial value and is a substantial and discrete portion of or an entire formula, pattern, compilation, program,

device, method, technique, process, data base, or system that was developed with a significant expenditure of funds by the County, the County may charge a reasonable fee for the data in addition to the copy costs. Such fee must be clearly demonstrated to relate to the actual development costs of the data. Upon request, the County should provide sufficient documentation to explain and justify this fee.

E. Free of Charge

1. Inspection of public data by individuals who have access to data. "Inspection" is defined in Section VI.E.
2. Public data given to another government agency or responsible authority in the usual course of business.
3. Reports, books, brochures or other information provided for free distribution to the public and copies of this policy. A charge may be assessed if an individual request exceeds normal distribution.

F. Procedures for Charging Data Request

1. Payment should be in the form of a check or cash and collected prior to the release of the copies.
2. Checks should be made payable to Carlton County and should be forwarded to the County Treasurer, unless specifically requested otherwise.
3. The following information must be given to the County Treasurer: the date, the name of the County employee, County department, the number of copies provided, and the total fee.
4. Where appropriate, the Responsible Authority may estimate the total cost of compliance with the Data request. The Responsible Authority may require partial payment of 50% of the estimated total cost before processing the request.

VIII. SECURITY OF DATA

A. Breach of Security of Data

1. **“Breach of Security of Data” means unauthorized acquisition of data maintained by the County that compromises the security and classification of the data. Good faith acquisition of or access to government data by an employee, contractor, or agent of a government entity for the purposes of the entity is not a breach of security of the data, if the government data is not provided to or viewable by an unauthorized person or accessed for a purpose not described in the procedures required by Minn.Stat. § 13.05, subd. 5.**
2. **“Unauthorized Acquisition” means that a person has obtained, accessed, or viewed government data without the informed consent of the individuals who are the subjects of the data or statutory authority and with the intent to use the data for nongovernmental purposes.**
3. **“Unauthorized Person” means any person who accesses government data without a work assignment that reasonably requires access, or regardless of the person’s work assignment, for a purpose not described in the procedures required in Minn. Stat. § 13.05, subd, 5.**

B. Notice to Individuals and Investigation

1. **The Responsible Authority shall investigate all breaches of the security of data following discovery or notification of the breach in accordance with County policy and/or collective bargaining unit agreements on investigations.**
2. **The Responsible Authority shall provide written notification, by first class mail, to any individual who is the subject of the data and whose private or confidential data was, or is reasonably believed to have been acquired by an unauthorized person.**
3. **In compliance with the above provisions, the Responsible Authority shall prepare a report of the facts and results of the investigation upon completion of investigation and final disposition of any disciplinary action, including the exhaustion of all rights of appeal under any applicable collective bargaining agreement. If the breach involves unauthorized access to or acquisition of data by an employee, contractor, or agent of the County, the report must at minimum include:**
 - a. **A description of the type of data that were accessed or acquired;**
 - b. **The number of individuals whose data was improperly accessed or acquired,**

- c. **If there has been final disposition of disciplinary action for purposes of Minn. Stat. § 13.43, the name of each employee determined to be responsible for the unauthorized access or acquisition, and**
- d. **The final disposition of any disciplinary action taken against each employee in response.**

4. **The notification required by this section may be delayed if law enforcement determines that notification will impede an active criminal investigation.**

C. Penalties

State law provides that anyone who willfully violates Minn. Stat. § 13, or whose conduct constitutes the knowing acquisition of not public data is guilty of a misdemeanor. A decision to refer a violation for criminal prosecution shall not preclude the County from appropriate disciplinary action per the County personal policy or the appropriate collective bargaining agreement.

IX. RESPONSIBLE AUTHORITIES AND DESIGNEES

A. Responsible Authority and Data Practices Compliance Official

The County's Responsible Authority to establish procedures and administer data requests related to the Minnesota Government Data Practices Act is the elected official in the offices of those departments in which an elected official is the department head, or those who are designated as such specifically by Minnesota Statute. The Responsible Authorities are listed in Appendix III, which may be updated at the discretion of the County Coordinator based on personnel changes.

County Auditor

County Attorney

County Sheriff

Veteran's Services Officer

For all other county departments, the responsible authority is the County Coordinator.

B. Designees

The County Coordinator has identified designees for all County departments, which are listed in Appendix IV. Appendix IV may be updated at the discretion of the County Coordinator based on personnel changes.

C. Access Procedures

A short summary of the procedures to follow to inspect or get copies of data is available upon request.

X. POLICY UPDATES.

- A. The Responsible Authority shall update this policy no later than August 1 of each year, in accordance with Minnesota Statutes, Chapter 13, Section 13.025, subdivision 2.
- B. If the statute is amended or the policy and the statute conflict please follow the statute and contact the Data Practices Compliance Official about necessary changes to this policy.

APPENDIX I. CLASSIFICATIONS OF AND INVENTORY OF DATA

A. PERSONNEL DATA

<u>Topic</u>	<u>Description</u>	<u>Classification</u>	<u>Statute</u>
Complainants	A person making a complaint has access to a statement given by them in connection with a complaint or charge against an employee.	Available to complainant	13.43, subd. 2(d)
Labor Organization	<p>Personnel data may be given to labor organizations under the authority of 13.43, subd. 6 if necessary:</p> <ul style="list-style-type: none"> (a) To conduct elections (b) To notify employees of fair share fee assessments (c) To implement Public Employment Labor Relation Act <p>Personnel data shall be given to labor organizations and to the Bureau of Mediation Services to the extent the dissemination is ordered or authorized by the commissioner of the Bureau of Mediation Services.</p>	May be available to labor organizations or Bureau of Mediation Services	13.43, subd. 6
Names of Finalists	Names of finalists shall be Private data except when certified as eligible for appointment to a vacancy or when they are considered a finalist selected to be interviewed by the County.	Private	13.43, subd. 3
Private Data on Employees	<p>Except as listed in 13.43, subd. 2, all personnel data is Private and can only be released with informed consent or court order. All other information that the County collects with respect to employees is Private. This information includes but is not limited to:</p> <ul style="list-style-type: none"> (a) Employees' home addresses and telephone numbers, including city and county of residence (b) Social security numbers (c) Insurance status (d) Medical records when part of personnel data (e) Physical limitations (f) Psychological evaluations 	Private	13.43, subd. 4

	<ul style="list-style-type: none"> (g) Sick leave forms containing doctor's reports (h) Marital status (i) Racial and ethnic data (j) References (k) Reference check data as it appears on the employment application (l) Oral interviewer file prior to an applicant's oral exam (m) Exit interview responses (n) Opinion questionnaire responses by potential employees (o) Names of job applicants until certified as eligible for appointment to vacancy (p) College transcripts, except for name of institution, degree granted and date (q) Data collected for disciplinary proceedings prior to final disposition (r) Adult criminal history data (s) Data pertaining to employee's dependents (t) Identity of employee who named fellow employee in an organized self-evaluation suggestion 		
<p>Public Data on Employees</p>	<p>The following information on current and former employees, volunteers and independent contractors is public</p> <ul style="list-style-type: none"> (a) Name (b) Employee identification number (which must not be the employee's social security number) (c) Actual gross salary and salary range (d) Contract fees (e) Actual gross pension (f) Value and nature of employer-paid fringe benefits (g) Basis for and amount of any added remuneration, including expense reimbursement, in addition to salary reimbursement (h) Job title and bargaining unit 	<p>Public</p>	<p>13.43, subd. 2(a)</p>

	<ul style="list-style-type: none"> (i) Job description (j) Education and training background (k) Previous work experience (l) Date of first and last employment (m) Existence and status of any complaints or charges against employee, regardless of whether disciplinary action resulted (n) Final disposition of disciplinary action (o) Specific reasons for final disposition of disciplinary action and data documenting the basis for the action (excluding data that would identify confidential sources who are employees of the County) (p) Terms of any agreement settling a dispute arising out of the employment relationship and reasons for agreement if it involves payment over \$10,000 (q) Work location, including email address (r) Work telephone number (s) Badge number (t) Honors and awards received (u) Payroll time sheets or other data used to account for the employee's work time for payroll purposes (except data that would reveal the reasons for the use of sick or other medical leave or other not public data.) 		
<p>Public Data on Job Applicants</p>	<p>The following is public information on current and former applicants for employment.</p> <ul style="list-style-type: none"> (a) Veteran status (b) Relevant test scores (c) Rank on eligible list (d) Job history (e) Education and training (f) Work availability 	<p>Public</p>	<p>13.43, subd. 3</p>
<p>Undercover Police Officers</p>	<p>The information listed above as public data on employees is Private concerning undercover police officers at least as long as they remain in that</p>	<p>Private as long as they remain in that assignment.</p>	<p>13.43, subd. 5</p>

	assignment.		
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B. LABOR RELATIONS DATA

<u>Topic</u>	<u>Description</u>	<u>Classification</u>	<u>Statute</u>
Disclosure of Identity of Employee Reporting Violation of Law	Identity of employee who reports a violation or suspected violation of law.	Private (unless disclosure of identity is required for prosecution, in which case employee identity may be disclosed but the employee shall be informed prior to the disclosure.	181.932, subd. 2
Employee Drug and Alcohol Testing Results	Test result reports and any other information acquired in employee drug and alcohol tests.	Private	181.954, subd 2
Labor Relations Information	Labor relations information relating to a specific labor organization.	Protected Nonpublic	13.37 & 13.02, subd. 13
Labor Relations Information	Management position on economic and non-economic items that have not been presented during the collective bargaining process or interest arbitration, including information specifically collected or created to prepare the management position.	Private/ Nonpublic	13.37, subd. 2
Positive Drug and Alcohol Test Results	Positive test results may be (1) used in an arbitration proceeding pursuant to a collective bargaining agreement; (2) disclosed to a federal agency according to federal law or federal contract, or (3) disclosed to a substance abuse treatment facility.	Private	181.954, subd. 3

C. COUNTY ATTORNEY'S DATA

<u>Topic</u>	<u>Description</u>	<u>Classification</u>	<u>Statute</u>
Civil Legal Action Data	Data collected as part of an active investigation for purposes of commencing or defending a pending civil legal action, or which are retained in anticipation of a pending civil legal action.	Confidential/ Protected Nonpublic	13.39, subd. 2
County Attorney's Information	Information that is attorney work-product or covered by the attorney-client privilege, or otherwise protected from disclosure through 13.393.	Confidential/ Protected Nonpublic	13.393
Pleadings	Pleadings, as defined by court rule, served by or on a government entity.	Public (to the same extent that data would be public if filed with court)	13.03, subd. 12

D. INTERNAL AUDIT DATA

<u>Topic</u>	<u>Description</u>	<u>Classification</u>	<u>Statute</u>
Internal Audit Information	Data, notes and preliminary drafts of reports created, collected and maintained by the internal auditors or persons performing audits on behalf of the County.	Confidential/ Protected Nonpublic (Becomes Public when final report has been published or the audit or investigation is no longer being pursued actively)	13.392, subd. 1
Internal Audit Information	Data on an individual supplying information for an audit or investigation that could reasonably be used to determine the individual's identity.	Private Data on individuals (if the information supplied was needed for an audit or investigation and would not have been provided to the internal audit office or person performing audits without an assurance to the individual that the individual's identity would remain private.)	13.392, subd. 2

E. PROPERTY DATA

<u>Topic</u>	<u>Description</u>	<u>Classification</u>	<u>Statute</u>
Appraisals	Estimated or appraised values of individual parcels of real property made by County personnel or independent appraisers on the County's behalf for purpose of selling or acquiring land through purchase or condemnation.	Confidential/ Protected Nonpublic (becomes public when (1) the negotiating parties exchange appraisals; (2) the data are submitted to a court appointed condemnation commissioner; (3) the data are presented in court in condemnation proceedings; (4) the negotiating parties enter into an agreement for the purchase and sale of the property; or (5) the data are submitted to the owner under § 117.036.)	13.44, subd. 3
Building Code Violations	Code violation records are public except as provided under §13.39, subd. 2; §13.44 and §13.82, subd. 5	Public	13.44 subd. 2
Income Property Assessment Data	Data collected by political subdivisions from individuals or business entities concerning income properties: (a) detailed income and expense figures; (b) average vacancy factors; (c) verified net rentable areas or net usable areas, whichever is appropriate; (d) anticipated income and expenses; (e) projected vacancy factors; and (f) lease information.	Private/Nonpublic	13.51, subd. 2
Property Complaint Data	Identities of individuals who register complaints concerning violations of state laws or local ordinances concerning the use of real property.	Confidential	13.44, subd. 1

Certain Benefit Data	All other benefit data, other than the names and addresses and the amount or value of benefits received. "Benefit data" is data on individuals collected or created because an individual was an applicant or recipient of benefits under a housing rehabilitation program administered by the County.	Private (Names, addresses and amount of value received is public)	13.462
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F. PUBLIC BIDDING AND CONTRACT DATA

<u>Topic</u>	<u>Description</u>	<u>Classification</u>	<u>Statute</u>
Bid Data	Data submitted by a business in response to a request for bids.	Private/ Nonpublic (Name of the bidder and dollar amount specified in the response become public when opened. The remaining data, with the exception of trade secret data, becomes public upon completion of the selection process.)	13.591, subd. 3(a)
Evaluation Data	Data created or maintained by the County as part of the process of evaluating bids or responses to RFP or RFQ.	Nonpublic (becomes Public upon completion of selection or evaluation process, with exception of trade secret data.) <u>Data may be shared between employees of different government entities.</u>	13.591, subd. 4
Federal Contracts	All data collected or maintained by the County, to the extent a federal agency requires the County to treat data as not public as a condition of the contract between the County and the federal agency.	Private/ Nonpublic	13.35
Request for Proposal Data (& RFQ)	Data submitted by a business in response to a request for proposal.	Private/ Nonpublic (names of responders become public when responses are	13.591, subd. 3(b)

		opened; other data becomes public upon completion of evaluation process.) Completion of the evaluation process means that the contract has been negotiated with the selected vendor.	
Sealed Bids	Sealed bids including the number of bids received prior to the bid opening.	Private/ Nonpublic	13.37, subd. 2

G. FAMILY, WELFARE, AND BENEFIT DATA

<u>Topic</u>	<u>Description</u>	<u>Classification</u>	<u>Statute</u>
Welfare Data	Data collected, maintained, used, or disseminated by the welfare system	Private Data on Individuals, not to be disclosed except in accordance with 13.46, subd. 2	13.46, subd. 2
Investigative Data	Data on persons, including data on vendors of services, licensees, and applicants that is collected, maintained, used, or disseminated by the welfare system in an investigation, authorized by statute, and relating to the enforcement of rules or law	Confidential Data on Individuals and/or protected nonpublic data not on individuals	13.46, subd 3
Medical and Mental Health Data	Data relating to the medical, psychiatric, or mental health of any individual, including diagnosis, progress charts, treatment received, case histories, and opinions of health care providers, that are maintained, used, or disseminated by any agency to the welfare system	Private Data on Individuals, available to subject of data unless provider requests it be withheld pursuant to 144.291 to 144.298	13.46, subd. 5, subd. 7
Benefit Data	Data on individuals collected or created because an individual seeks information about becoming, is, or was an applicant for or a recipient of benefits or services provided under various housing, home ownership, rehabilitation and community action	Names and addresses of applicants for and recipients of benefits, aid, or assistance through programs administered by a government entity that are intended to assist with the purchase,	13.462, subd. 2 and 3

	agency, Head Start, and food assistance programs administered by government entities. Benefit data does not include welfare data which shall be administered in accordance with section <u>13.46</u> .	rehabilitation, or other purposes related to housing or other real property are classified as public data on individuals. All other data is private data on individuals	
Foster Care Data	Names of persons interviewed; foster care placement plans obtained from other public and private agencies; and all information gathered during interviews with study participants.	Confidential Data	13.467, subd. 1

H. TAXATION AND ASSESSMENT DATA

<u>Topic</u>	<u>Description</u>	<u>Classification</u>	<u>Statute</u>
Certificate of Value	Property Tax Certificates of Value filed with the County Auditor	Names of grantors and grantees are public. Identification Numbers of grantors and grantees are private data on individuals or nonpublic data not on individuals,	272.115, subd. 1
Income Property Assessment Data	Data collected by political subdivisions concerning income properties: (a) detailed income and expense figures; (b) average vacancy factors; (c) verified net rentable areas or net usable areas, whichever is appropriate; (d) anticipated income and expenses; projected vacancy factors; and (f) lease information.	Private/Nonpublic	13.51, subd. 2
Homestead Tax Applications	Data collected for determining eligibility for a homestead or other classification or benefit	Social security numbers, copies of state or federal tax returns, and state or federal tax return information is private and/or nonpublic; all other data is public	273.1245

I. ELECTED AND APPOINTED OFFICIAL DATA

<u>Topic</u>	<u>Description</u>	<u>Classification</u>	<u>Statute</u>
Financial Disclosure Statements	Statements filed by elected and appointed officials that are filed with the County	Public	13.601, subd. 1
Correspondence	Correspondence between elected officials and individuals	Private data on individuals that may be made public by either the sender or the recipient	13.601, subd. 2
Application for Appointment	Data about applicants for appointment to a public body collected by a government entity as a result of the applicant's application for appointment to the public body	Private data on individuals except for name, city of residence, education or training, employment history, volunteer history, awards and honors, prior government service, veteran status, and once appointed: residential address, telephone number or email address, first and last dates of service on public body, existence and status of any complaints or charges against appointee, and report of final investigation,	13.601, subd. 3

J. MISCELLANEOUS DATA

<u>Topic</u>	<u>Description</u>	<u>Classification</u>	<u>Statute</u>
DBE Business Information	A DBE's confidential business information, including applications for DBE certification and supporting documentation.	This information must not be released to any third party without the written consent of the DBE. However, the County must give this information to US DOT in any certification appeal pending under 49 CFR §	49 CFR § 26.109(a)(2)

		26.89 in which the disadvantaged status of the individual is in question.	
DBE Certification Information	DBE certification information	When the County provides supplementary information to US DOT in a certification appeals process, the County is required to make this information available to the DBE and to any third party complainant involved consistent with Federal and state laws concerning data.	49 CFR § 26.89(f)
DBE Personal Financial Information	The personal net worth statement and supporting documentation required by the County DBE Program.	May be provided to a third party only with the written consent of the individual to whom the information pertains. However, if there is a certification appeal in which the disadvantaged status of an individual is at issue, this financial information would have to be provided to the US DOT.	49 CFR §26.67 (a)(2)(iv)
Electronic Access Data	Data created, collected, or maintained about a person's access to the County's computer for the purpose of: (1) gaining access to data or information; (2) transferring data or information; or (3) using government services.	Private/ Nonpublic	13.15
Examination Data	Testing or examination materials or scoring keys to determine individual qualifications or to administer licensing or academic examinations.	Nonpublic	13.34
Insurance Information	Information on an individual's health insurance claims shall not be released without that person's consent, except that it may be disclosed to the County officers or employees to the extent necessary to administer the health benefit program.	Private	471.617, subd. 5
Security Information	Security information the disclosure of which would be likely to substantially jeopardize the security of individuals,	Private/ Nonpublic	13.37, subd. 1(a) 49 CFR § 1520.7

	property or information against theft, tampering, illegal disclosure, physical injury or other improper use.		
Social Security Numbers	Social security numbers, in whole or in part, in any type of document, except to the extent that access to the Social Security number is specifically authorized by law.	Private	13.355, subd. 1
Trade Secrets	A formula, pattern, compilation, program, device, method, technique or process (1) that was supplied by the affected individual or organization, (2) that is the subject of efforts by the individual or organization that are reasonable under the circumstances to maintain its secrecy, and (3) that derives independent economic value, actual, or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use.	Private/ Nonpublic	13.37, subd. 1(b)
Public Employee Retirement Association Data	Data on individual beneficiaries and survivors of Public Employment Retirement Association members: home address, date of birth, direct deposit account number, and tax withholding data.	Private	13.63, subd. 3
Absentee Voter Names	Names of Voters who have submitted an absentee ballot return envelope to the county auditor	Nonpublic until the close of voting on election	203B.12
Health Care Contract Data	Data created, collected, received, stored, used, maintained or disseminated by health plan companies, managed care organizations, county-based purchasing plans, third-party administrators providers, or other vendors, or their parent or subsidiary,	Data is subject to the same provisions as if maintained by the County	13.387

	while contracting with the county for health-related services		
Military Discharge Data	DD Forms 214 and 215, or other forms which document an individual's discharge from the armed services and are filed at a government entity	Private Data on Individuals, release subject to exceptions in 196.08	196.08
Veteran's Services Application Data	Data on clients' applications for County Veteran Services	Private Data on Individuals	197.603, subd. 2

K. LAW ENFORCEMENT DATA

Topic	Description	Classification	Statute
911 Database	Names, addresses, phone numbers provided to 911 system for a database for identifying the location or identity of a caller.	Private, court order required for release	403.07, subd. 4
Arrest Data	Certain data that documents any actions taken to cite, arrest, incarcerate or otherwise substantially deprive an adult individual of liberty.	Public in the originating agency	13.82, subd. 2
Arrest Warrant Data	Arrest warrant until defendant has been taken into custody, served with warrant or appeared in court. May be made Public if it serves public good.	Confidential	13.82, subd. 19
Audio Recording of a 911 Call	Audio recording of 911 call for the purpose of requesting service from a law enforcement, fire or medical agency. Written transcript is available (public data), but it cannot identify a protected person under 13.82(17).	Private with respect to individual making call, except a written transcript is public unless it reveals identity of person protected under 13.82, subd. 17	13.82, subd. 4
Automated License Plate Readers	Data from an electronic device mounted on a law enforcement vehicle, or stationary location that is capable of recording data on or taking a photograph of a vehicle or its license plate, and comparing said data with law enforcement databases	Private/Nonpublic, unless data is subject to Minn. Stat. 13.82, subd. 2,3, or 6 or are active criminal investigative data	13.824
Booking Photos	Photographs or electronically produced image taken by law enforcement for identification purposes in connection with the arrest of a person. May withhold temporarily if adversely affects active investigation.	Public	13.82, subd. 26

Child Abuse Data – Inactive	Inactive investigative data that relates to alleged abuse or neglect of a child by a person responsible for the child’s care.	Private	13.82, subd. 9
Child Abuse Identity (Victim)	Active or inactive investigative data that identifies a victim of child abuse.	Private	13.82, subd. 8
Child Abuse Identity (Reporter)	Active or inactive investigative data that identifies a reporter of child abuse unless disclosure is compelled under 626.556, subd. 11.	Confidential	13.82, subd. 8
Child Abuse Victim Videotape	Videotape in which a child victim or alleged victim is alleging, explaining, denying, or describing an act of physical or sexual abuse	Confidential absent court order	13.821
Child Abuse Case Consultation Data	Data acquired by a child abuse case consultation committee in its official case consultation duties	Confidential	626.558, subd. 3(b)
Corrections and Detention Data	Data on individuals created, collected, used or maintained because of their lawful confinement or detainment in state reformatories, prisons and correctional facilities, municipal or county jails, lockups, workhouses, work farms and all other correctional and detention facilities	Private or confidential except for summary or arrest data	13.85, subd. 2 and 3
Crime Victims Data	Prosecuting authority is responsible for release of investigative data to victim or victim’s legal representative with some exceptions.	Exception	13.82, subd. 13
Crime Victim Ombudsman Requests	Crime victim ombudsman shall be given access to police reports including those pertaining to juveniles and their petitions.	Exception	611A.74, subd. 3(b)
Criminal Alert Network	Data that identify individuals or businesses as members of the criminal alert network, including names, addresses, telephone and fax numbers.	Private/ Nonpublic	299A.61, subd. 2
Criminal History Data	Criminal history data compiled by the BCA and disseminated through the criminal justice information system.	Private	13.87, subd. 1(b)
Criminal History Data	Data on court disposition and sentence information, controlling agency and confinement information.	Public for 15 years following discharge	13.87, subd. 1(b)

Criminal Investigation Data – Inactive	Inactive investigative data.	Public (unless release of the data would jeopardize another ongoing investigation or would reveal the identity of a protected individual under 13.82(17)).	13.82, subd. 7
Criminal Investigative Data – Active	Investigative data collected or created by the County in order to prepare a case against a person, whether known or unknown, for the commission of a crime or other offense for which the County has primary investigative or prosecutorial responsibility.	Confidential/Nonpublic (except for data defined in 13.82, subd. 2, 3 and 6); Images and recordings, including photographs, video, and audio recordings which are clearly offensive to common sensibilities may be classified as private/nonpublic (13.82, subd. 7).	13.82, subd. 7
Criminal Records	No use, distribution or dissemination of certain criminal records in connection with application for public employment or license application.	Exception	364.04
Crime Victim Data	Investigative data concerning a victim of a crime	Releasable to the victim with exceptions	13.82, subd. 13
Deliberative Processes	Information, reports, or memos that have been adopted as the final opinion or justification for a decision of an agency.	Public	13.82, subd. 25
Deliberative Processes	Deliberative processes or investigative techniques of law enforcement agencies.	Confidential/ Protected Nonpublic	13.82, subd. 25
Domestic Abuse Data	Data collected, created, received or maintained by the police department pursuant to the Domestic Abuse Act, §518B.01.	Confidential (until a temporary court order is executed or served.)	13.80
Exchange of Information	Law enforcement agencies may exchange information that is pertinent and necessary to the requesting agency in initiating, furthering, or completing an investigation, except public personnel data.	Exception	13.82, subd. 24
Firearms Data	Data pertaining to the purchase or transfer of firearms and applications for permits to carry firearms collected by the County	Private	13.87, subd. 2

Inactive Financial Transaction Investigative Data	Investigative data that become inactive under subdivision 7 that are a person's financial account number or transaction numbers	Private or Nonpublic	13.82, subd. 30
Investigative Detention Data	Government data created, collected, used or maintained by the state correctional facilities, municipal or county jails, lockups, workhouses, work farms and other correctional and detention facilities which: (a) if revealed, would disclose the identity of an informant who provided information about suspected illegal activities, and (b) if revealed, is likely to subject the informant to physical reprisals by others.	Confidential , except by court order or to a party in a court proceeding as require by the Rules of Criminal Procedure	13.86
Juvenile/ Attorney	Attorneys representing a juvenile may have access to their records, local social services agency files, and reports which form the basis of any recommendation made to the court. An attorney does not have access to the identity of a person who made a report.	Exception	260B.171, subd. 6
Juvenile Court Records	Juvenile court records and any related appeals can be released only in specific circumstances, by court order, statute or to particular persons (see exceptions below).	Private	260B.171, subd. 1
Juvenile Criminal Traffic Reports	Criminal traffic reports may be inspected by a person who has sustained physical harm or economic loss as a result of the criminal traffic offense. Some restrictions do apply.	Exception	260B.171, subd. 5(d)
Juvenile – Diversion and Social Services	Diversion programs and local social service agencies may have access to juvenile records.	Exception	260B.171, subd. 5(f) & 260B.171, subd. 5(g)
Juvenile Photos	Authorized photographs may be used for institution management purposes, case supervision by parole agents, and to assist law enforcement agencies to	Private	260B.171, subd. 5(c)

	apprehend juvenile offenders.		
Juvenile Police Records	Peace officer's juvenile records must be separate from adults and may not be released except under specific criteria.	Private	260B.171, subd. 5(a)
Juvenile School Reporting	Law enforcement required to notify schools for particular incidents.	Exception	260B.171, subd. 5(e)
Maltreatment of a Minor	Material received on the reporting of child maltreatment is available only to specific agencies.	Private/Nonpublic	626.556, subd. 11
Maltreatment of a Minor – Reporter	Identification of the reporter of child maltreatment.	Confidential	626.556, subd. 11
Medical Examiner Data	Data relating to deceased individuals and the manner and circumstances of their death which is created, collected, used, or maintained by the County coroner in fulfillment of official duties	Public, with exceptions; active investigation data is private	13.83
Missing Children's Bulletin	Information included in the missing children's bulletin, distributed by the BCA.	Public	299C.54, subd. 4
Name Change	Data on court records relating to name changes under Minn. Stat. 259.10, subd. 2 is confidential when investigation is active and private when inactive.	Confidential/ Private	13.82, subd. 12
Ombudsmen Requests	Crime victim ombudsman shall be given access to police reports, including those pertaining to juveniles and their petitions.	Exception	611A.74, subd. 3(b)
Pawn Shop and Scrap Metal Dealer Customer Data	Data that would reveal the identity of persons who are customers of a licensed pawnbroker, secondhand goods dealer, or a scrap metal dealer	Private Data	13.82, subd. 25
Order for Protection and No Contact Order Data	Data from orders for protection or no contact orders and data entered by law enforcement to assist in the enforcement of those orders	Private Data	299C.46, subd, 6(c)
Pawn Shop and Scrap Metal Dealer Property Data	Data describing the property in a regulated transaction with a licensed pawnbroker, secondhand goods dealer, or a scrap metal dealer	Public Data	13.82, subd. 25
Portable	Audio and Video data from a device	Private/Nonpublic, but	13.825, subd. 1-3

Recording System Data	worn by a peace officer while recording activities and interactions with others, or for collection of digital multimedia evidence as part of an investigation.	some exceptions; accessible by data subject	
Property Complaint Data	Names of individuals who register complaints concerning violations of law/ ordinance concerning use of real property.	Confidential	13.44, subd. 1
Property Data	Data that uniquely describes stolen, lost, confiscated or recovered property.	Private/Nonpublic	13.82, subd. 20
Protected Persons	Law enforcement agencies shall withhold public access to data on individuals to protect the identity of certain individuals.	Private	13.82, subd. 17 & 611A.021
Public Access	Law enforcement is not required to make actual physical data available to the public if it is not administratively feasible to segregate Public from Confidential. Need to make Public Data, however, available in reasonable time.	Exception	13.82, subd. 16
Public Benefit Data	Data classified as Confidential or Protected Nonpublic may be made accessible if access will aid law enforcement process, promote public safety or dispel widespread rumor or unrest.	Exception	13.82, subd. 15
Reparations / Restitution Data	Claims and supporting documents filed by crime victims seeking reparations	Considered investigative data and subject to 13.39 until reparations are paid, denied, withdrawn, or abandoned	611A.57
Request for Service Data	Certain data that documents a request by the public for law enforcement services.	Nature of the request for service, name and address of person making request, time and date of the request, and response initiated or ICR # is public	13.82, subd. 3
Response or Incident Data	Certain data which documents a response to a request for service, including traffic accidents, or which describes actions taken by the agency on its own initiative.	Public	13.82, subd. 6
Reward Program Data	Program data that would reveal identity of an informant or affect the integrity of the fund. Financial records on individuals are confidential. Records not related to individuals are protected	Confidential/Protected Nonpublic	13.82, subd. 21

	Nonpublic.		
Sexual Assault Communication Data	All information transmitted in confidence between a victim of sexual assault and a counselor and all other information received by a counselor in providing assistance to a victim	Private	13.822
Sexual or Predatory Offender Information	Information defined by statute to be relevant and necessary to protect the public and to counteract the offender's dangerousness must be disclosed by law enforcement agency in the area where the predatory offender resides, expects to reside, is employed, or is regularly found.	Nonpublic, except for purposes to protect the public as below: Level 1, except to other law enforcement, victims or witnesses; Level 2, except to agencies and groups that the offender is likely to encounter, for purposes of securing institutions and individuals; Level 3, except to members of the community whom offender is likely to encounter	244.052, subd. 4;
Sexual Offender Registration	Registration data of sex offenders available for law enforcement purposes only.	Private; See 243.166, subd. 7a for exceptions.	243.166, subd. 7
Surveillance Technology	Data documenting the existence of all technology maintained by law enforcement to electronically capture audio, video, photographic, or other record activities of the general public, or of an individual or group of individuals for purposes of investigation, incident response, monitoring or maintaining public order and safety or other law enforcement function	Public	13.82, subd. 31
Traffic Accident Reports	Accident reports submitted to the commissioner of public safety. Authorized people may receive the report.	Confidential	169.09, subd. 13
Undercover Law Enforcement Officer	All personnel data relating to an individual employed as an undercover officer until not an undercover officer.	Private	13.43, subd. 5
Victim Identity Minors	Data contained in records or reports relating to petitions, complaints or indictments issued pursuant to a criminal sexual conduct violation which specifically identifies a victim who is a minor. (Only applies to the minor's	Not Public, Accessible only by Court Order	609.3471

	information, not the report.)		
Vulnerable Adult	Active or inactive investigative data that identifies a victim or reporter of vulnerable adult maltreatment.	Private	13.82, subd. 10
Vulnerable Adult Maltreatment Data – Inactive Case	Investigative data that becomes inactive and relates to the alleged maltreatment by a caregiver or facility.	Private	13.82, subd. 11
Withholding Data Response or Incident	Law enforcement may temporarily withhold response or incident data from public access upon a belief that release of response or incident data will lead to endangerment of public safety or of an individual or if release of response or incident data will cause the perpetrator to flee, evade detection or destroy evidence. Law enforcement must provide statement explaining why.	Exception	13.82, subd. 14

APPENDIX II. FORMS USED TO COLLECT PRIVATE OR CONFIDENTIAL DATA

The Data Practices Compliance Official maintains the following forms:

1. Tennessean Warning
2. Informed Consent Form (from Government)
3. Informed Consent Form (from Individual)
4. Informed Consent Form (different use)
5. Minnesota Standard Consent Form to Release Health Information
6. Data Request Form

APPENDIX III. COUNTY RESPONSIBLE AUTHORITIES

The following personnel are Responsible Authorities for their respective departments, by statute or appointment. The County Coordinator may routinely update this list upon changes of personnel.

Lauri A. Ketola, County Attorney

Kelly Lake, County Sheriff

Duane Brownie, Veteran's Services

For all other county departments, the responsible authority is the County Coordinator:

Dennis Genereau, County Coordinator

Mr. Genereau has designated Assistant County Attorney, Alexander W. Saumer as the County's Data Practices Compliance Official. The Data Practices Compliance Official is the person to whom questions or concerns may be directed concerning obtaining access to data or other data practices problems. Mr. Saumer may be reached at 218-384-9166

APPENDIX IV. COUNTY DEPARTMENT DESIGNEES

The following personnel are Responsible Authorities for their respective departments, by statute or appointment. The County Coordinator may routinely update this list upon changes of personnel.

Human Resources

Dennis Genereau Jr.
PO Box 510
Carlton, MN 55718-0510
218-384-9140
dennis.genereau@co.carlton.mn.us

County Attorney

Lauri A. Ketola
PO Box 300
Carlton, MN 55718-0300
218-384-9166
Thom.pertler@co.carlton.mn.us

Auditor/Treasurer

Dennis Genereau Jr.
PO Box 510
Carlton, MN 55718-0130
218-384-9140
dennis.genereau@co.carlton.mn.us

Assessor

Kyle Holmes
PO Box 440
Carlton, MN 55718-0440
218-384-9149
Marci.Moreland@co.carlton.mn.us

Public Health and Human Services

Dave Lee
30 10th Street N
Cloquet, MN 55720
218-879-4511
dave.lee@co.carlton.mn.us

Facilities

Dennis Genereau Jr.
PO Box 510
Carlton, MN 55718-0510
218-384-9140
dennis.genereau@co.carlton.mn.us

Public Affairs

Dennis Genereau Jr.
PO Box 510
Carlton, MN 55718-0510
218-384-9140
dennis.genereau@co.carlton.mn.us

Sheriff's Department

Kelly Lake
PO Box 530
Carlton, MN 55718-
218-384-3236
kelly.lake@co.carlton.mn.us

Transportation

JinYeene Neumann
1630 County Rd 61
Carlton, MN 55718
218-384-9154
jinyeene.neumann@co.carlton.mn.us

Economic Development

Mary Finnegan
PO Box 607
Carlton, MN 55718-0607
218-384-2597
Mary.Finnegan@co.carlton.mn.us

Motor Vehicles/Licensing

Dennis Genereau Jr.
PO Box 130
Carlton, MN 55718-0130
218-384-9127
paul.gassert@co.carlton.mn.us

Land/ GIS Mapping

Greg Bernu
1630 County Rd. 61
Carlton, MN 55718
218-384-9179
greg.bernu@co.carlton.mn.us

Information Technology

Peter Gould
PO Box 130
Carlton, MN 55718-0130
218-384-9135
peter.gould@co.carlton.mn.us

Recorder

Kris Basilici
PO Box 70
Carlton, MN 55718
218-384-9156
kris.basilici@co.carlton.mn.us

Zoning

Heather Cunningham
PO Box 220
Carlton, MN 55718-0220
218-384-9174
heather.cunningham@co.carlton.mn.us

Coroner

Kris Basilici PO Box 70
Carlton, MN 55718
218-384-9156
kris.basilici@co.carlton.mn.us

Extension Services

Dennis Genereau Jr.
PO Box 130
Carlton, MN 55718-0130
218-384-9127
paul.gassert@co.carlton.mn.us

Veteran's Services

Duane Brownie
30 10th Street N
Cloquet, MN 55720
218-499-6838
duane.brownie@co.carlton.mn.us

County Board

Dennis Genereau Jr.
PO Box 510
Carlton, MN 55718-0510
218-384-9140
dennis.genereau@co.carlton.mn.us

APPENDIX V. PUBLIC ACCESS POLICY

This document (see following pages) is required by Minnesota Statutes § 13.03, subdivision 2(b):



Carlton County

Data Request Form

Effective Date:

Revised Date:

Version: 1.0

Requesting Party: _____ Date: _____

Are you the subject of the data you are requesting: _____

Email: _____ Address: _____

Telephone Number: _____ Preferred Contact method: _____

You do not have to provide any of the above contact information. However, if you want us to mail/email you copies of the data, we will need some type of contact information. In addition, if we do not understand your request and need to get clarification from you, we will not be able to begin processing your request until you contact us.

I am requesting access to data in the following way :

Inspection

Copies

Both Inspection and copies

Please describe the data you are requesting:

**** Return this completed form to the County Department Designee listed in Appendix IV of the Carlton County Data Practices Policy ****

**** Pursuant to Minnesota law this data request may be subject to charges as outlined in section VII of the Carlton County Data Practices Policy ****



Carlton County, Minnesota Data Retention Policy

Adopted: May 14, 2019

Revised:

Carlton County Data Retention Policy

Purpose:

Carlton County is committed to uniform retention of data collected by County Departments according to recognized best practices. Pursuant to Minnesota Statute 138.17 Subd. 7 Carlton County implements this policy to provide certainty to County Departments and to the public regarding how long data collected by the County will be retained and at what point data collected by the County may be destroyed.

Policy:

Carlton County hereby adopts the Minnesota County General Records Retention Schedule for Counties. Carlton County maintains official, approved Records Retention Schedules for each of its departments. Pursuant to Minnesota Statutes 138.161 – 138.25, these Schedules provide the ongoing authority to manage and dispose of County Records in Compliance with Minnesota Law.

The adopted Records Retention Schedule is attached to this Policy as Appendix A.

The period of time for which data must be retained begins at the time that the data is created unless otherwise noted in the Data Retention Schedule.

The Data Retention Schedule provides a minimum retention period, during which the applicable data must be retained. Department Heads may choose to enact a policy wherein data is retained for a longer period than the minimum retention period outlined in the Data Retention Schedule. A Department Head who wishes to do so shall notify the County Coordinator who will place the amendment to the Data Retention Schedule on the agenda for the following annual Data Retention Schedule review.

The Data Retention Schedule shall be reviewed annually. Any amendments to the Data Retention Schedule occurring since the previous Data Retention Schedule review shall be incorporated into the Data Retention schedule. Details of any amendments to the Data Retention Schedule shall be recorded in Appendix B.

Following expiration of the Data Retention period, County Departments may dispose of records. When disposing records containing Private or Confidential Data on Individuals, or when disposing of records containing Nonpublic or Protected Nonpublic data not on individuals, the County Department shall dispose of the records in a manner that ensures data is not improperly released.

When disposing of records, County Departments shall complete a Record Destruction report, attached as Appendix C which shall be retained in the County Department.

APPENDIX A

APPENDIX B

Section Record Title	Record Description	Retention Period	ArchivalYear Amended
Auditor/Treasurer	Adopted updated general records retention schedule for Auditors and Treasurer issued August 2018. Prior Auditor and Treasurer sections deleted from general retention schedule and updated Auditor and Treasurer schedule added to end of general records retention schedule document.		2019
Attorney	Formatting Amendments to Attorney Retention Schedule		2019

APPENDIX C

Section	Record Series Title	Record Series Description	Retention Period	Archival?
Administration	Agendas		1 year	No
Administration	Annual Reports		7 years then transfer to State Archives	Yes
Administration	Attorney's Opinions	Correspondence relating to attorney legal opinions and related records	Retain Permanently	Yes
Administration	Authority to Dispose of Records	PR-1 Form	Retain Permanently	No
Administration	Budget - Record Copy		Retain Permanently	Yes
Administration	Departmental Reports - Annual Summary	Including reports to the County Board of Commissioners from each Department	Retain Permanently	Yes
Administration	Departmental Reports - Monthly		3 years	No
Administration	Departmental Reports - Semi Annual		3 years	No
Administration	Historical Data/Photographs		Retain Permanently	
Administration	Lawsuits	Attorney opinions, testimony, court depositions, correspondence, etc.	7 years after Disposition or settlement	No
Administration	Minutes	Board of Commissioners, Committees and special task forces	Retain Permanently	Yes
Administration	Minutes - Tape Recordings	Tape recordings of meeting minutes	Tapes may be reused or discarded 1 year after formal approval of written minutes. Tape recordings can't be permanent record	No
Administration	Organizational Charts		Until superseded , then transfer to State archives	Yes
Administration	Press Releases		1 year	Yes
Administration	Procedures Manuals		Until superseded	No
Administration	Special Committee Reports	Minutes, policies, studies, and correspondence	Retain Permanently	Yes

Administration	Wage Assignments		6 years	No
Assessor	Abatement Forms	Application for reduction in assessed valuation of personal property. Name address, type of property, owner's value	10 years	No
Assessor	Aerial Survey Prints	Prints of hard aerial surveys showing details of various tracts of land	Destroy when superseded	No
Assessor	Affidavit of survivorship	Name, address and legal description	10 years	No
Assessor	Agricultural Preserve Applications	Form placing agricultural land into the age preserve program. Also expiration of age preserve notices	3 months after expiration of application	No
Assessor	Application for Disability (3CC Class) PE 3D	Name, address, signed by owners, social security number	10 years	No
Assessor	Application for Homestead Classification	Name, address, social security number, sources of income, award letters.	Permanent	No
Assessor	Application for Valuation and tax Deferment of Agricultural Land Provided by Minnesota Agricultural Property Tax Law/Green Acre Applications	Applications for persons applying for Green Acre tax deferment	As long as property qualifies	No
Assessor	Appraisal Records	Field Card - Total land and building values on front. Field Card - Land value appraisal record. Computation of same grade and class. Building Dimensions; sketches; computations. Specific data necessary to make value determinations.	10 years	No
Assessor	Assessment Abstract - Final	Total estimated Market Value and total Assessed value by district	10 years	No
Assessor	Assessment Abstract - Mini	Total estimated market value by district	10 years	No
Assessor	Assessment Reports and Statistics	Summaries on various classifications of property and the assessments made thereon	10 years	No
Assessor	Board of Review Files	Contains actions taken by local, county and state boards of review, attendance records, minutes, etc.	10 years; transfer any minutes of the Review Board to the State Archives for selection and disposition	Yes

Assessor	Certifications of Value (State Forms)	Contains name and address of the buyer and seller; the sale price of the property; amount of personal property; amount of mortgage; terms of sale (in future); valuation of the property.	5 years	No
Assessor	Court Cases	Pending and settled court cases involving county Assessor, including all supporting documents and exhibits	10 years after settlement of case	No
Assessor	Laws Directives and Bulletins	Laws and Rules covering assessors offices directives and letters from the Department of Revenue, Court Decisions, attorney opinions, etc.	Destroy when superseded	No
Assessor	Midyear Homestead	Sworn Statement as to homestead	Indefinite	Yes
Assessor	Military Personnel	Sworn Statement as to homestead	Indefinite	Yes
Assessor	Mobile Home Abstract	valuation of mobile homes by district	10 years	No
Assessor	Mobile Home Sheet and Field Card	The listing of mobile homes by individual owner, make and year of mobile home, size of mobile home, and computation of valuation	10 years	No
Assessor	Mobile Home Valuation Guides	Used mobile home average selling price (and cost new)	Until replaced by current edition	No
Assessor	Personal Property Return - Owners of Residential Structures on Leased Public or Exempt Lands	Structures on leased public or exempt lands are taxable	10 years	No
Assessor	Property Owners List	Alphabetized list of name and address of all parcels owned by property owners	Destroy when superseded	No
Assessor	Property Tax Exemption Applications	Applications where a taxpayer is claiming exemption from property taxes	Retain while exemption application is in effect plus additional 10 years	No
Assessor	Railroad Lands	Listing of Railroad lands which are taxable to the railroads	10 years	No
Assessor	Railroad Leases	Name and Lessee and area involved (copies)	10 years	No
Assessor	Real Estate and Personal Property Abstract of Assessment	Summation of different property types by location and by school district. Original goes to Department of Revenue	10 years	No

Assessor	Request for Exemption of Tax on Property Used for Control of Air, Land and Water Pollution	Certain equipment and description of it and use	6 years	No
Assessor	Request for Review of Real Estate Assessment and Declaration of Value by Owner	Taxpayer is of the opinion his/her property is erroneously valued, general information	3 years	No
Assessor	Special Property Tax Applications	Applications for special property tax classifications such as blind/disabled, homestead, managed forest land, marina etc. as well as special property tax programs such as green acres	Retain while classification or program application is in effect plus additional 10 years	
Assessor	Statement of Owner of Real Estate Claimed to be Exempt from Taxation	Owners name, address, does occupant pay rent. (Use of Property)	Indefinite	No
Assessor	Statewide Ratio Studies	Mailed to counties by State Department	6 years	No
Assessor	Townhouse/Condominium/Apartment Information	Floor Plans, Sale Prices, Model Information, Income Data.	6 years	No
Assessor	Utilities Valuations	Name of Utility and Value (Put on by State) (Copies)	5 years	No
Assessor	Warranty Deeds	Name and Address of Buyer and seller, legal description, terms	6 years	No
Assessor	Wetlands Application	Name, Address, Legal Description	6 years	No
Attorney	Child Dependency - Legal Action		2 years from last court activity	No
Attorney	Child Neglect - Legal Action		2 years from last court activity	No
Attorney	Civil File - Miscellaneous	Legal opinions given to county officials, including letters, memos, reports, research and other correspondence	Permanent	Yes
Attorney	Commitment	Mentally Ill and Dangerous	2 years from last court activity	No
Attorney	Commitment	Mentally Retarded - For when the County sought Conservatorship	2 years from last court activity	No

Attorney	Commitment	Other mentally retarded persons, inebriates, Mentally Ill, Guardianship, Restoration to Capacity	2 years from last court activity	No
Attorney	Contract Files	Contracts for Purchase/Lease/Sale of Services, Equipment and Property	Permanent	No
Attorney	Criminal Research	Criminal Division Opinion Letters, Memos, and Briefs	2 years from last court activity except Felony Appellate Briefs - Permanent	No
Attorney	Felony Files	Includes Pleadings, Police Reports, Complaints, Memos, Correspondence, Briefs, and Transcripts, includes certification as adult files	5 years from last court activity	No
Attorney	Felony Files	Serious Felony Files	10 years from last court activity	No
Attorney	Felony Files	Homicide Files	Permanent	No
Attorney	Gross Misdemeanors	Includes Pleadings, Police Reports, Complaints, Memos, Correspondence, Briefs, and Transcripts	2 years from last court activity	No
Attorney	Gross Misdemeanors (Enhanceable Offenses)	Includes Pleadings, Police Reports, Complaints, Memos, Correspondence, Briefs, and Transcripts	10 years from last court activity	No
Attorney	Investigation	Police Reports and Correspondence	2 years from last court activity	No
Attorney	Juvenile Files	Includes Pleadings, Police Reports, Complaints, Memos, Correspondence, Briefs, and Transcripts	2 years from last court activity	No
Attorney	Juvenile Files (Extended Juvenile Jurisdiction Disposition)	Includes Pleadings, Police Reports, Complaints, Memos, Correspondence, Briefs, and Transcripts	7 years from last court activity	No
Attorney	Litigation Files	Civil Investigation Litigation Involving County, including Pleadings, Briefs, Research Correspondence	Permanent	No
Attorney	Misdemeanors	Includes Pleadings, Police Reports, Complaints, Memos, Correspondence, Briefs, and Transcripts	2 years from last court activity	No

Attorney	Misdemeanors (Enhanceable Offenses)	Includes Pleadings, Police Reports, Complaints, Memos, Correspondence, Briefs, and Transcripts	10 years from last court activity	No
Attorney	Opinion Files	Formal Legal Opinions Prepared by County Attorney Office, including Correspondence and Research.	10 years, then transfer to the State Archives for selection and disposition	Yes
Attorney	Paternity and Child Support Action		Retain until Childs 21st Birthday	No
Attorney	Registers of Criminal Action	Case Book Summarizing each case Prosecuted by County Attorney	Retain Permanently or transfer to the State Archives	Yes
Attorney	Research Files	Research on Miscellaneous Topics Affecting County for which No Formal Answer/Opinion is Needed	10 years	No
Attorney	Termination of Parental Rights - Legal Action		30 days beyond appeal period; 2 years from last court activity	No
Attorney	Welfare Appeals	Financial and Social Services Appeals, Including Denial of AFDC Payments for Too Much Equity; Food Stamps Appeals; Medical Assistance Appeals	2 years from last court activity	No
Attorney	Welfare Appeals	Licensing, Including Day Care License, Foster Care License, etc.	2 years from last court activity	No
Attorney	Welfare Appeals Reimbursement Action	County Seeks Reimbursement For: Worker's Comp., Payment of Medical Bills of D.C. Patients, Probate; Liens for Medical Expenses, Cost of Care for Child, county Intervention in Insurance Matters/Claims, Etc.	2 years from last court activity	No
Attorney	Appeal Files		Permanent	No
Community Health/Nursing Service	Administrative: Advisory Committee Meetings	Committees including but not limited to public health advisory, taskforces, citizen advisory, commissions and other board related groups maintained by the department. Note these groups are advisory and not decision making	5 years then transfer to The State Archives	Yes

Community Health/Nursing Service	Administrative: Assessment and Planning Documents	May include, but is not limited to the organizational strategic plan, the community health assessment and the community health improvement plan.	Until superseded, then destroy	No
Community Health/Nursing Service	Administrative: Authorizations	Documentation including but not limited to physician standing orders, vaccine protocols, Clinical Laboratory Improvements Amendments certificates	Current Version, plus 2 previous, then destroy	No
Community Health/Nursing Service	Administrative: Board Agenda and Meeting Minutes	Documents including but not limited to official community health board meetings. May include official business documents including agendas and meeting minutes.	Permanent	Yes
Community Health/Nursing Service	Administrative: Community Health Services Reports	Documents including but not limited to annual reports, data to support the annual reports, assessments and planning reports, surveillance data and Medicare cost reports	10 years from date of report then destroy	No
Community Health/Nursing Service	Administrative: Contracts and Grant Agreements	Original signed contracts, agreements, leases, and supporting documentation.	6 years after end of contract period then destroy, or for such longer period as required by applicable law or regulation.	Yes
Community Health/Nursing Service	Administrative: General Department Office Meetings	Includes but not limited to meeting agendas and minutes of staff meetings, internal task forces and other organizational meetings.	Retain 1 year after meeting then destroy.	No
Community Health/Nursing Service	Administrative: Management Records (for program controls)	Includes but not limits to IPI visit documentation, refrigerator temperature logs, MnVFC records, hazardous waste disposal records, laboratory QA records, medication/testing supply inventories and syringe/needle inventories.	3 years then destroy	No
Community Health/Nursing Service	Administrative: Public Health Policies and Procedures	Documentation of policies and procedures related to public health.	Current and one previous version.	No
Community Health/Nursing Service	Emergency Medical Services	General service statistics monitoring emergency medical services and data on services provided throughout the County, minutes from task force meetings.	6 years from date of report then destroy.	No

Community Health/Nursing Service	Emergency Preparedness: Incident Response	Plans and documentation relating to and resulting from responses (both exercises and real events) to public health incidents and emergencies, including After Action Reports	3 years after closure of response activities then destroy.	No
Community Health/Nursing Service	Emergency Preparedness: Plans	Plans and documentation relating to the preparation for public health emergencies, such as pandemic disease also including emergency preparedness stockpile/cache.	Until superseded	No
Community Health/Nursing Service	Environmental Health: Clandestine Lab Site Complaint and Investigation Records - Database Log Documentation	Documentation of public health investigations into environmental health issues related to clandestine lab site. Database log of pertinent investigation data.	Permanent	No
Community Health/Nursing Service	Environmental Health: Complaint and Investigation Records - Database Log	Documentation of public health nuisance complaints and investigations into environmental health issues. Database log of pertinent investigation data.	10 years after closure and then destroy.	No
Community Health/Nursing Service	Environmental Health : Complaint and Investigation Records - Investigation Documents	Documentation of public health nuisance complaints and investigations into environmental health issues. Includes documents related to the complaint and investigation process, and any records of active investigations that are part of a criminal proceeding.	10 years after closure and then destroy.	No
Community Health/Nursing Service	Environmental Health: License Applications and Inspection Reports	Includes, but is not limited to food, pools and lodging such as manufactured home parks recreational camping and lodging establishment, blueprints, equipment specifications and plans.	10 years and then destroy.	No
Community Health/Nursing Service	Environmental Health: Testing Data (Database)	Includes but not limited to Radon & well water testing, Database used to collect information from voluntary testing.	10 years and then destroy.	No
Community Health/Nursing Service	Patient/Client Records: Car Seat Program	May include, but is not limited to client eligibility information, model of car seat received and education provided.	7 years from date of issuance then destroy.	No

Community Health/Nursing Service	Patient/Client Records: Correctional Health	May include assessment, treatment, medication, and other health records that are maintained by public health. If maintained at the correctional facility, follow their retention policy.	2 years after jail discharge or for such longer periods as required by applicable law or regulation.	No
Community Health/Nursing Service	Patient/Client Records: Immunizations	May include but is not limited to information sent to state registry such as name, BD, parent or guardian, demographics, vaccine, date given, lot number, site and program eligibility, local case records such as consent to administer signatures, VIS date given, service site, screening for contraindications, varicella history and verification details.	5 years for information not stored in the registry. Client immunization information uploaded to state sponsored registry shall be managed by MDH and shall be kept according to their retention policy.	No
Community Health/Nursing Service	Patient/Client Records: Individual Services	Includes, but not limited to records of client cases open to public health programs that may include family health, migrant health, family planning services, CT&C, disease prevention and control-client investigation records, screening programs. May include assessments, care plans, medical data, progress notes, financial and insurance information, transfers, referrals and related case management data and individual adverse events following vaccination records.	7 years after closure or until client reaches age 25, whichever is later then destroy.	No
Community Health/Nursing Service	Patient/Client Records: Individual Services Special Categories (for example CMS cost report clients or Medicare managed care program provider clients)	Includes but not limited to records or client cases open to public health programs that may include CMS cost report clients, Medicare managed care programs, home care, Medicare fee for service, and waiver services. May include assessments, care plans, medical data, progress notes, financial and insurance information, transfers, referrals and related case management date, and individual adverse events following vaccination records (federal report).	10 years after closure or current federal regulations; whichever is later then destroy.	No

Community Health/Nursing Service	Patient/Client Records: Slight Service	Where a case record was not opened. May include but is not limited to intake documents, initial referrals/screening, or release of information. Either no service or minimal follow up as part of intake. May also include services where slight service completed and results/materials forwarded to a third party who maintains the records e.g. paternity testing, non-investigative TB skin testing, documentation of immunization USCIS Form 1693.	5 years after service completed then destroy.	No
Community Health/Nursing Service	Patient/Client Records: WIC	May include but is not limited to local case records prior to Hubert and state records with initiation of Hubert. Includes case records, voucher receipts, other individual WIC records. See also MN WIC Operations Manual and Grant Project Agreement.	6 years past closure if not scanned in to the state sponsored web-based or other current state system.	No
Highway	Accounts Receivable Ledger Record	Closed or Paid Accounts For Services or Materials Furnished to Individuals and Government Agencies	6 years	No
Administration	Agenda Packet	Complete record of information relevant to County Commissioner meetings	Retain permanently or transfer to the State Archives	Yes
Highway	Annual Report		7 years then transfer to the State Archives	Yes
Highway	Annual Road/Bridge Report To County Board		10 years then transfer to the State Archives	Yes
Highway	Construction And/or Maintenance Contract Documents	Including Proposals, Abstract of Bids, Performance Bonds, Partial and Final Payment Estimates	10 years after project completed	No
Highway	Construction Project and Maintenance Agreements With Cities and Villages		After agreement expiration and audit.	No

Highway	Designations and Revocations of County State-Aid Highways and County Roads	Copies	Permanent	No
Highway	Driveway Permits	Access Permits For Driveways Entering County State-Aid Highways and County Roads	Permanent	No
Highway	Employee Time/Equipment Report	All Original Time Sheets From Field and Shop Employees	RT Vision - 5 years	No
Highway	Equipment Cost History	Annual Recapitulation of Operating Costs and Repairs For Each County Highway Unit, Spec, Contract, Proposals	6 years	No
Highway	Equipment Repair Order	Description of Repairs and Materials Used	Life of unit	No
Highway	Field Construction Source Documents	Including Weight Tickets, Inspection Reports, Etc.	6 years	No
Highway	Gas and Oil Consumption Report	Tank or Drum Field Stock Report For Perpetual Inventory Records.	6 years	No
Highway	Inspection and Field Construction Reports	Including Project Log Records, Diaries Pertaining to Specific Contracts or Agreements.	6 years after contract expiration	No
Highway	Material Requisition For Inventory Stock	Record of Items Removed From Stock and Disposition to Road or Equipment	6 years	No
Highway	Motor Vehicle/Employee Accidents Reports		10 years	No
Highway	Moving Permits		3 years	No
Highway	Receipts and Disbursements Register and Control Journal (Or Trial Balance)	Primary Ledger Sheet For Distribution of Receipts and Disbursements From The County Road and Bridge Fund	6 years	No
Highway	Regulatory Signs/Signal Orders	Data Indicating Locations and Date Of Installation or Removal	Permanent	No
Highway	Right of Way Documents	Easements, Acquisition Certificates Appraisal Certificates, Plats,	Permanent	No

Highway	Salaries and Wages Payroll	Employee Listing of Salaries and Wages Earned Semi-Monthly or Monthly	Permanent unless record copy retained in Auditor's office or central payroll, then 6 years	No
Highway	Utility Permits/Right of Way Violations	Permits to Work Within Right of Way Boundaries on County State-Aid Highways and County Roads	Permanent	No
Highway	Vendors Invoices and Related Purchase Orders and Receiving Records		6 years	No
Human Resources	Applicant Data - General	Applications, Resumes, Letters of Recommendation, Affirmative Action Forms, Certification of Test/Examination Results, List of Qualified Applicants, Ranking, Interview Notes, Reference Checks, Records That Relate to Posting, Recruitment, Selection and Appointment to Each Position. If Hired, Application Etc. Becomes Part of Employee Personnel File	3 years or length of eligibility if longer	No
Human Resources	Applicant Data- Background Checks	Background Checks Conducted by Third Party (Info Subject to FCRA)	5 years after employee's termination or 6 years after date of background check whichever is longer	No
Human Resources	Affirmative Action Reports	Copies of Reports Sent to Human Rights Commission	5 years	No
Human Resources	Benefits Enrollment Forms	Employee's Medical, Dental, Deferred Compensation, Etc. Election Forms	5 years after employee's termination	No
Human Resources	Benefits Plan	Includes Insurance, Health Care, Deferred Compensation, Etc.	Until superseded or 6 years after coverage lapses	No

Human Resources	Classification Studies	Studies Which Describe Job Duties and May Rank Individual County Positions. See Also: Pay Equity	Until superseded	No
Human Resources	Compensation Plan	Salary Tables/Ranges, Plan Documents, Pay Increase Criteria	10 years	No
Human Resources	Employment Eligibility Verification/I-9 Form	Verifies Status of Citizenship or Naturalization	3 years after date of hire, or 1 years after employment is terminated, whichever is later. Should not be retained in employees personnel file	No
Human Resources	Drug and Alcohol Testing Results - A	Includes Commercial Drivers License (CDL'S), Controlled Substance Test Results, Drivers Evaluations, Etc.	1 years for records of negative and canceled drug tests, records of alcohol tests with a result below .02 BAC (49 CFRss382.401)	No
Human Resources	Drug and Alcohol Testing Results - BB	Includes Commercial Drivers License (CDL's), Controlled Substance Test Results, Drivers Evaluations, Etc.	5 years after employee's termination for alcohol test results greater than .02 BAC, Verified positive controlled substance test results, documentation of refusal to test, calibration of documentation, driver evaluations and referrals	No
Human Resources	Equal Employment Opportunity Reports/Summary Data (EEO Reports)	Reports Sent to Federal Government	3 years	No

Human Resources	Grievance Files	Formal Written Employee Grievance and/or Complaint Filed Under Personnel Rules, and Received by County. Should Not be Retained in Employee Personnel File.	5 years after employee's termination	No
Human Resources	Job/Position - Descriptions	Personnel Department Retains a Position Description History on The Various Positions Within The County	Until superseded	No
Human Resources	Labor Unions- Arbitration Decisions		Permanent	No
Human Resources	Labor Unions - Contracts/Agreements	Contracts Between County Management and Various Labor Unions Including Correspondence, Salary Schedule and Personnel Policies	10 years	No
Human Resources	Labor Unions- Disputes/Grievances	Between Union and County Government Agency	Permanent	No
Human Resources	Labor Unions- Negotiating Data		Permanent	No
Human Resources	Medical Records/FMLA	Any Information Concerning The Health Status of an Employee Which is Made or Maintained by a Physician, Nurse or Other Health Care Personnel, or Technician, Including Medical and Employment Questionnaires or Histories, Medical Exams, Medical Opinions, Descriptions of Treatments and Prescriptions, and Employee Medical Complaints. Should Not be Kept in Employee's Personnel Files	5 years after employee's termination	No
Human Resources	Pay Equity Implementation Report	State Mandated Report Filed With Department of Employee Relations Consisting of Pay and Job Class Information	Until Superseded	No

Human Resources	Personnel Files	Records on Each Employee Such as Applications, References, Performance Evaluation, Job Performance Appeals, Job Descriptions, Reprimands, Resignation Letters, Exit Interviews, Training Records, Etc. Certain Records Should NOT be Retained in Employees Personnel Files: Medical Records, Health Insurance Information, I-9 Forms, Child Support Obligation Records, Investigations, or Any Other Record Which, in it's Presence, May Raise an Inference of Discrimination. All Originals Are to be Maintained by Personnel Department or Responsible Department	5 years after employee's termination. Destruction approval is contingent upon retention of master copy of payroll register or record.	No
Human Resources	Policies and Procedures/Rules and Regulations	For Human Resource Function, Includes Annual Leave Program, Hiring Procedures File Etc.	Until superseded	No
Human Resources	OSHA- Infectious Disease and Occupations Exposure Files	Files on Each Employee Dealing With Safety and Training on Diseases Such as Hepatitis and AIDS. Should Not be Kept in Employee Personnel File	30 years after termination	No
Human Resources	OSHA Citations of Penalty	Notifications of Violations by The County	5 years after citation	No
Human Resources	OSHA Reports	Incident Reports and Annual Summary	5 years following end of calendar year of record	No
Human Resources	OSHA Employee Exposure Records and Worker's Compensation		30 years after employee's termination or retirement	No
Human Resources	Safety Committee Agenda and Minutes		10 years	No

Human Resources	Safety Manual		Until superseded	No
Human Resources	Training Sign Up Sheets	List of Employees Participating in Each Training Program	5 years from the date of completed training or 5 years after termination, Whichever is applicable to the county's recordkeeping practices	No
Human Resources	Training Materials	Reference and Class Material Including Articles, Presentations, Manuals, Handouts Used in Each Training Session	5 years after training program becomes obsolete	No
Human Resources	Training Records	Individual Acknowledgement Form or Other Form That Employee Signs and is Kept in The Personnel File. Includes Right to Know, Harassment, and Other Trainings	5 years after employee's termination	No
Human Resources	Unemployment Claims		8 years	No
Zoning and Environmental Services	Board of Adjustment	A) Hearing and Findings B) Record of Variances C) Minutes of Meetings D) Tape Recordings of Minutes	Retain Permanently or transfer to the State Archives. Tapes may be reused or discarded 1 year. After formal approval of written minutes by board. Tape recordings cannot be the permanent record.	Yes
Zoning and Environmental Services	Budget		3 years	Yes
Zoning and Environmental Services	Interim Conditional Use Permits	Name, Address, Legal Description of Property, Reason For Conditional Use.	6 years after permit expiration	No

Zoning and Environmental Services	County Street Naming/Numbering File	A) Files Identifying Addresses For Structures Within The Jurisdiction of The County Street Naming and Numbering Ordinance.	Permanent	No
Zoning and Environmental Services	County Street Naming/Numbering File	B) File Showing Current Addresses and Locations of Structures Within Jurisdiction of County Street Naming and Numbering Ordinance	Permanent	No
Zoning and Environmental Services	County Street Naming/Numbering File	C) File Showing Current Plats With Addresses For All Parcels Within Jurisdiction of County Naming and Numbering Ordinance.	Permanent	No
Zoning and Environmental Services	Court Decisions on Zoning		Retain permanently or transfer to the State Archives for selection and disposition	Yes
Zoning and Environmental Services	Fees Collected	Name of Applicant and Amount of Fee and Purpose of Fee	6 years	No
Zoning and Environmental Services	Land Use Permits	Name and Address of Applicant, Description of Building, Legal Description of Property	Until Expiration	No
Zoning and Environmental Services	Land Variances	Name and Address of Property Owner, Legal Description of Property Being Split, Reason For Land Variance	permanent	No
Zoning and Environmental Services	Monthly Expenditures	Copies	1 year	No
Zoning and Environmental Services	Notices of Hearing		1 year	No

Zoning and Environmental Services	Planning Commission	A) Hearings and Findings B) Minutes. C) Tape Recordings of Minutes	Retain subparts "A" and "B" permanently or transfer to the State Archives for selection and disposition. "C" Tapes may be reused or discarded 1 year after formal approval of written minutes by commission. Tape recordings cannot be the permanent record	Yes
Zoning and Environmental Services	Preliminary Plats- Soils	Copies, Developer's Name and Address, Size and Legal Description of Lots in Plat	permanent	No
Zoning and Environmental Services	Receipt Book		6 years	No
Zoning and Environmental Services	Restricted AG Area Map		Retain Permanently or Until Superseded	No
Zoning and Environmental Services	Resolved Complaints		Retain Permanently	No
Zoning and Environmental Services	Setback Certificates	Name, Address, Legal Description of Property and Description and Use of Structure	permanent	No
Zoning and Environmental Services	Sewer Permits	Names, Address and Location of Sewer, Inspection Report	permanent	No
Zoning and Environmental Services	Shore land/Floodplain Ordinance File	Files of Shore land and Floodplain Area Applications For Building Permits, Conditional Use Permits, Variance Reports, and Zoning Inquiries	permanent	No

Zoning and Environmental Services	Subdivision Ordinances		Retain permanently or transfer to the State Archives	Yes
Zoning and Environmental Services	Zoning Ordinances		Retain permanently or transfer to the State Archives	Yes
Surveyor	County Road Files		permanent	Yes
Surveyor	Plats	A)Subdivision Plats, Auditor's Subdivision, Proposed Plats and Registered Land Surveys. B) Condominium Floor Plan	permanent	No
Surveyor	Plats, Preliminary Copies	Checked Against Final Plats When They Arrive	1 year after checked against final plat	No
Surveyor	Project Records	Miscellaneous Research Data	permanent	No
Surveyor	Property Maps	Maps Denoting County Property Boundaries	permanent	No
Surveyor	Railroad, Road and Street Maps	Original Tracings	permanent	Yes
Surveyor	Section and Quarter Section Maps	Line Maps on Mylar Denoting Property Boundaries	permanent	No
Surveyor	Survey and Project Reports	Reports Detailing The Documentation Process	permanent	No
Surveyor	Surveys and Topographical Maps	Miscellaneous	permanent	No
Surveyor	Tie Book Index		permanent	Yes
Surveyor	Tie Books and Field Notes	Original Survey Notes, and Notes, Drawings, and Measurements Needed to Locate The Position of Government Corners	permanent	No
Surveyor	Township Road Files	Record of New, Altered or Abandoned Roads	permanent	Yes
Records Common to all Departments	Annual Reports		Retain permanently or transfer to the State Archives	Yes
Records Common to all Departments	Attendance Records	Sick Leave, Paid and Unpaid Leave Requests, Compensations, Time Sheets, Part Time Claims, Department Copies	2 years	No
Records Common to all Departments	Budget/Budget Records	Budget Proposals; Approved Budget. Includes Supporting Data and Monthly Department Budget Report	2 years	No

Records Common to all Departments	Billing Claims	Monthly Expenses Records For Department Expenses, Purchase Orders, Invoices, Claim Forms, Accounts Payable Forms, Etc.	6 years	No
Records Common to all Departments	Contract/Agreements	Copies of Contracts and Agreements Entered Into With Agencies and Businesses and Other Pertinent Information, I.e. Selection Process of Vendor, Equipment and Bid Specifications	10 years after contract has expired	No
Records Common to all Departments	Correspondence	A) Routine Correspondence and Memorandums Between Departments, Administration, and Other Agencies	3 years	No
Records Common to all Departments	Correspondence	B) County Administrator/Executive Secretary/County Executive Correspondence and Subject Files of a Policy Making Nature	3 years then transfer to the State Archives for selection and disposition	Yes
Records Common to all Departments	Grants	State and Federal	6 years after grant agreement expires unless agreement dictates otherwise	No
Records Common to all Departments	Inventory	Physical Inventory of those Furnishings and Equipment in Department which are inventoried	Until superseded	No
Records Common to all Departments	Labor Relations Records	Includes Copies of Contracts Between Management and Various Unions; Background Bargaining Information; Records on Grievances and Disciplinary Actions and How They Were Settled. (Not Originals, For Originals/Master Copies of Union Contracts and Labor Dispute Data See Personnel Section of This Schedule, Items 20 and 21)	Until superseded	No
Records Common to all Departments	Legislative File	Records on Pending Legislation With Which Department Has Interest	Review annually and dispose of obsolete material	No

Records Common to all Departments	Meeting Minutes	Minutes Recording Actions Taken in Meetings Necessary For The Management of The Department and Its Activities. (Originating Department Only.) Does Not Include County Board Minutes. The State Archives Wishes to Have Transferred Minutes of County Committees and Governing Boards	6 years	Yes
Records Common to all Departments	Meeting Minutes	Tape Recordings of Meetings	Tapes may be reused or discarded 1 year after formal approval of written minutes by board. Tape recordings cannot be the permanent record	No
Records Common to all Departments	Personnel Policy File	Memos and Directives on Personnel Policies and Actions	Until superseded	No
Records Common to all Departments	Personnel Records	Department Copies of Personnel Records of Employee's Employment History; May include Applications, Resumes, Accident Reports; Disciplinary Actions, Promotions, Reclassification Consideration, Performance Reviews	Until Employee's Termination	No
Recorder	Grantee/Grantor Index	Alphabetical Indices, By Year, of Parties to All Document Filed With County Recorder	Permanent	Yes
Recorder	Reception Books	Index of Real Documents Filed Numerically With County Recorder Including Index by Document Number	Permanent	No
Recorder	Tract Index Records	Chronological Index of Real Property by Description	Permanent	Yes
Recorder	Contract Records		permanent	No
Recorder	Corporation Index File	Articles of Incorporation, Mergers, Amendments, Name Changes, Etc.	Permanent MS 386.46	Yes

Recorder	Daily Cash Receipts	Records of Filing Fees on Recorded Documents	6 years	No
Recorder	Document Number Index	Used to Find Instrument Book and Page	Permanent	No
Recorder	Leases and Corporate Information	Includes Resolutions, Affidavits and Pertinent Decrees	Permanent	No
Recorder	Limited Partnership Agreements	Written Take-Offs and Photo static Copies of Limited Partnership. Certain Certificates and Amounts of Limited Partnership	Permanent	No
Recorder	Miscellaneous Documents For Safekeeping	Cancellation of Liens on Margin, Personal Records, Patents Pending, Papers In Redemption, State Bank Directors, and Other Papers in Safekeeping, All Covered by Statute. Documents Left by Customers For Security Filing	Retain until owner of documents withdraws them or orders them destroyed.	No
Recorder	Power of Attorney Records		Permanent	No
Recorder	Unclaimed Documents Copies and Attested Documents	Copies of Documents Which Have Been Ordered by Customers But Never Picked Up.	6 months	No
Recorder	Bond Records	Bond Records of Public Officials	Permanent	No
Recorder	Farm Registration	Farms Registered by Owners Under The Specified Name Given Their Farm Lands. Includes Description of Said Lands	Permanent	Yes
Recorder	Index To Military Discharge		Permanent	Yes
Recorder	Military Discharge Records	Military Discharge Papers Filed by Veteran of All Branches of The Armed Services	Permanent	Yes
Recorder	Newspaper Register	Official Listing of All Minnesota Newspapers and Publications. Required by Statute. Shows Names of Owners, Printers, and Publishers of Each Newspaper.	Permanent	No
Recorder	Lien Record Books	Used to Check Liens on Property and as Reference in Abstracting Titles	Permanent	No
Recorder	Old Age Assistance Liens and Index		Permanent MS 386.46	No

Recorder	State/Federal Tax Liens and Index	Original Liens, Releases, and Satisfactions. Notices of Federal Tax Liens Filed Against Individuals	Permanent	No
Recorder	Government Survey Plat Book	Contains The Original Survey Which Shows Government Lots and 1/4 1/4's of All Sections	Permanent	Yes
Recorder	Plat Index	A) Alphabetical Plat Index Contains Name of Plat, Tract Index Number and Location	Permanent	Yes
Recorder	Plat Index	B) Index to Plats, Book and Page	Permanent	Yes
Recorder	Plat Index	Master Index to Original Plats Used as a Cross Reference	Permanent	Yes
Recorder	Plat Index	C) Plat Certificate Index and Certificate of Plat Corrections Index	Permanent	Yes
Recorder	Plats: Public Copy	Canvas-Backed Sheets	Permanent	No
Recorder	Canvas-Backed Sheets		Permanent	No
Recorder	Application to Register Title	Application to Change Ownership From Abstract to Torrens	Permanent	Yes
Recorder	Deed Records	Used in Title Abstracting	Permanent	Yes
Recorder	Mineral Rights File	Shows Mineral Rights Reserved Such as on Railroad Lands, Etc.	Permanent	Yes
Recorder	Mortgage Records	Records of All Mortgages Filed	Permanent	Yes
Recorder	Cash Control Records For Trustee: Account/Receipts on Each Item Entered	Monthly Sheets Showing Amounts Repositioned Daily to The Trust Account	6 years	No
Recorder	Information and Certified Copy Requests	Copies of Requests Dispatched From County Recorder's Office	6 years	No
Recorder	Ledger and Requisition Records	Account Ledger Sheets and Requisition Orders (Supplies)	6 years	No
Recorder	Ledger on Trust Account	Daily Trust Account	6 years	No

Recorder	Uniform Commercial Code Records (UCC)	Original Filings Amendments, Continuations, Assignments, and Information Requests. These Documents Relate to Liens on Personal Property and are Filed to Liens on Personal Property and are Filed by Debtor's Name	1 year after termination or lapse. MS 336.9-410	No
Recorder	U.C.C. Termination Statements		3 years after receipt MS 336.9-410	No
Recorder	Affidavits of Grantee	Affidavits Contain Name, Age, Residence, Martial Status and Legal Disability of The Grantee In Deeds of Transfer	Permanent	No
Recorder	Apartment Ownership and Condominiums	Can be Abstract or Torrens. Hard-shells and Public Copies of Plats and Other Documents Pertaining to Apartments/Condominiums	Permanent	No
Recorder	Certificates of Title/Ownership	A Certificate by The Registrar Which Shows The Current Status of Ownership and Encumbrances of any Parcel of Torrens Land	Permanent	No
Recorder	Certified Copy Sign-out Books	A Book Showing Who Signed Out For All Copies Returned	Permanent	No
Recorder	Corporation Index	An Alphabetical File of The Corporate Changes of Name, Mergers, and Articles	Permanent	Yes
Recorder	Document Index	A Numerical File of All Legal Documents Filed in The Torrens Office Since 1901	Permanent	No
Recorder	Grantee/Grantor Index	Locates Instruments in Torrens Section by Name of Grantee/Grantor	Permanent	Yes
Recorder	Index to Tract Index		Permanent	Yes
Recorder	Owner's/Mortgagee's Duplicate Certificate of Title		Destroy at time entering a "Surrender" Memorial on the certificate MS 508.835	No
Recorder	Owner's/Mortgages Duplicate Order Form		1 year	No

Recorder	Owner's/Mortgage's Duplicate Receipt File/Cards	A Numerical File by Certificate Number of All The Duplicate Certificates Which Have Not Been Picked Up or Mailed and Cancelled Mortgages	1 year after certificate is cancelled MS 508.835	No
Recorder	Power of Attorney Index	An Alphabetical File of The Names of All Persons Granted This Power, All Persons Who Gave The Power and The Document Number of The Instrument	Permanent	No
Recorder	Employee Suggestion Form		2 years	No
Recorder	Plat Index	Index to Section, Township, Range, Book and Page of Plats, Registered Land Survey (R.L.S.)	Permanent	Yes
Recorder	Plats	Memorial Survey Drawings Showing Property Boundary Lines and Judicial Landmarks (J.L.M.)	Permanent	Yes
Recorder	Purchaser and/or Residue Owner Affidavits	Individual and Corporate	5 years MS 508.836	No
Recorder	Purchaser and/or Residue Owner Affidavits	Partnerships	5 years	No
Recorder	Railroad Lands	A Certified List of Land Prepared by Railroad Companies and Files in Counties	Permanent	Yes
Recorder	Reception Books	Numerical Reception and Admission Index of All Instruments Filed	Permanent	No
Recorder	Reception Index	Numerical Index Which Contains The Names of Each Party to Every Document Filed	Permanent	No
Recorder	Registered Land Survey (R.L.S.)	Original Hard-shells and Public Copies of The Official Government R.L.S	Permanent	Yes
Recorder	Registered Land Survey (R.L.S.)	Preliminary Copies: Used to Check Errors and Defects Against Final Survey Before Hard-shells are Made For Filing	1 year after original is filed	No

Recorder	Section Corner Bypass		Permanent	No
Recorder	Section Maps, Half Section Maps, and Quarter Section Maps	Used to Identify Registered Land and Other Related Data; Property Divisions, Easements, Conditions and Encumbrances on title Certificate. Maps of All County Land, Many of Which Certain Certificates of Title and Documents.	Until superseded	No
Recorder	Tract Index	Land Index of All Transfers of Ownership of Torrens Land. Current History of All Conveyances of Registered Land by Legal Description	Permanent	Yes
Recorder	Vital Records: Birth Certificates	Certificates of live birth	Permanent	Yes
Recorder	Vital Records: Death Certificates	Certificates of Death	Permanent	Yes
Recorder	Vital Records: Notary Registration	Record of resgistration as a notary public	Permanent	Yes
Recorder	Vital Records: Ordination Certificate	Certificates of Ordination or license of ministry	Permanent	Yes
Human Services	Administrative Operational Records	Statistical Data, Policy Bulletins, Procedural Material, Correspondence, Etc. Related to The Development of Funding Authorization and Administration of Agency and Agency Affiliated Programs	Retain bulletins until they are no longer in effect, than discard. Retain statistical data until no longer useful, than discard	No
Human Services	Investigations and Charges by Applicants or Recipients of Services Under Minnesota Human Rights	Investigations of and Charges by Applicants or Recipients of Services Under Minnesota Human Rights	7 years	No

Human Services	Case Index Cards (If Used)	Summarized Case Identification Data Which Includes Names and Birth Dates of Clients, Last Known Address of Family Head, Case Number, Programs, Types of Services Received, Date of and Reason For Lasting Dosing.	Destroy in accordance with destruction of other case data	No
Human Services	Fiscal Land Statistical Reports to The State Agency	Forms Dated to The Agency Staff Activity Reporting and The Accounting Office Copy of Agency Action Forms	3 years after case closing or after audit	No
Human Services	General Ledger Accounts	Summaries of Payment Detail (Receipts and Disbursements) and Authorizations That are Recorded in The Books of Original Entry	10 years after case closing or after audit	No
Human Services	Intake Registers	Listing of Requests For Social Services and Financial Assistance and Their Subsequent Disposition	3 years after last entry	No
Human Services	Minutes of County Human Services Agency Boards, Welfare Boards, Mental Health Board. And Other Agency Board	Section A- Summaries of General Business Discussions, Personnel Transactions, Policy Discussion and Formation, and Administrative Reports. Section B- Social Service and Income Maintenance Case Openings, Closing, Denials, Property Waivers, Medical Liens, Vendor Payments, Supplemental Payments, Etc. Identifying Information Should Consist of Case Number Only (Not Case Name)	Retain permanently or transfer to State Archives	Yes
Human Services	Paid Administration Claims (Bills)	Individual Claims (Bills) For Costs Such as Rentals, Equipment, Supplies. Mileage, Conference Costs, Etc.	6 years after closing or after audit	No
Human Services	Paid General Assistance Claims	Individual Records of Claims (Bills) and Payments Made From General Assistance Funds	6 years after closing or after audit	No
Human Services	Paid Medical Bills	Claims For Medical Vendor Payments	6 years after closing or after audit	No

Human Services	Payment Abstracts	Records of Checks Issued and Chargeable to The Various Welfare Funds. Data Includes Names of Clients and Amounts Paid	6 years after closing or after audit	No
Human Services	Social Welfare Fund Receipts, Redeemed Checks, and Accounts	A- Receipts and Redeemed Checks B- Ledger Accounts - Summaries (Receipts and Disbursements) and Authorizations that are Recorded in The Books of The Original Entry	6 years after closing or after audit	No
Human Services	COS Computer Systems (Social Services)	Client Identification Data, Services Provided Funding Sources, Etc. Output Includes Update Reports (Work Sheets for Recording Social Worker Activity), and Statistical Reports	3 years after case closing, or after audit	No
Human Services	Public Assistance Client Files	Including Health Care, Cash Assistance, Food Assistance, Child Care Assistance, Emergency Assistance, and Long Term Care Assistance, and Other Related Programs	Retain and destroy according to approved county retention schedules in place on 12/31/2013	No
Human Services	Public Assistance Client Files	Including Health Care, Cash Assistance, Food Assistance, Child Care Assistance, Emergency Assistance, and Long Term Care Assistance, and Other Related Programs	Destroy documents other than exception documents 10 years after received	No
Human Services	Social Service Case Records (All Services Cases)	1) Application For Social Services 2) Appropriate Case Narratives 3) Service Plans and Agreements	4 years after case closing or after audit, unless child protection case	No
Human Services	Social Services Case Records (Title XX Funding)	1) Income Declarations 2) Verification of Income (When Required)	If current, 4 years after case closing, if not current, 4 years from completion date	No
Human Services	Social Service Case Records (Required "Situational" Forms)	Inter and Intra Agency Referral Forms A) Service Providers B) Income Maintenance C) Payment Authorization D) Supervisory and Case Review Documents E)Support and Collections F) Appeal Summaries and Hearing Records	Items A-D 4 years after form completion date. Items E-F 4 years from the closing of the file	No

Human Services	Social Service Case Records (Miscellaneous Case Notes)	1) Phone Messages 2) Supervisory Instructions 3) Routing Slips	Destroy immediately after completed action	No
Human Services	Social Service Case Records (Forms Related to Adoption and Subsidized Adoption)		Permanent	No
Human Services	Social Service Case Records (Forms Related to Child Protection Files)	Maltreatment Reports, Etc.	Maltreatment not determined and child protection services not needed, or "Alternative Response" Case Files: Destroy 4 years after case closing or after audit.	No
Human Services	Social Service Case Records (Forms Related to Child Protection Files)	Maltreatment Reports, Etc.	Maltreatment determined or child protection services needed: At least 10 years after the date of the final entry in the case record.	No
Human Services	Social Service Case Records (Forms Related to Child Protection Files)	Maltreatment Reports, Etc.	Order destruction of related records at School or court services agency when other records relating to the report are destroyed	No
Human Services	Social Service Case Records (Forms Related to Court Requested Evaluations)		In the event of a contested adopted petition, the only study which needs to be kept permanently is the adoption study of the adoption family. Destroy after action- then retain 4 years after case closing	No

Human Services	Social Service Case Records (Forms Related to Adult Protection)	Common Entry Point and Intake From Vulnerable Adult Maltreatment Report	2 years if report determined to be false or not investigated and no final disposition. 4 years if report determined to be inconclusive. 7 years if report determined to be substantiated	No
Human Services	Social Service Case Records (Forms Related to Day Care-Children)		4 years after closing or after audit	No
Human Services	Social Service Case Records (Forms Related to Day Care-Adults)		4 years after case closing or after audit	No
Human Services	Social Service Case Records (Forms Related to Foster Care - Children)		10 years after case closing or after audit	No
Human Services	Social Service Case Records (Forms Related to Guardianship of Children)		Permanent	No
Human Services	Social Service Case Records (Forms Related to Adult Public Guardianship)		10 years after case closing	No
Human Services	Social Service Case Records (Forms Related to Health Case Records)	A) Social and Medical History Report B) Psychological Report C) State Hospital Admission D) Discharge Report	4 years after case closing or after audit	No
Human Services	Social Service Case Records (Forms Related to Report of Child Born out of Wedlock)		If child is kept, destroy record 4 years after closing date. If child is placed follow adoption schedule	No

Human Services	Social Service Case Records (Forms Related to Contracts With Social Service Providers)	Agreements With Vendors to Provide Social Services	4 years after audit	No
Human Services	Social Service Case Records (Fiscal and Program Reporting)	For Individuals With Developmental Disabilities, Chemical Dependency, or Mental Illness	4 years after case closing or after audit	No
Human Services	Social Service Case Records (Records Regarding Death of a Ward or Conservatee With Developmental Disabilities, Chemical Dependency, or Mental Illness)		6 years after case closing	No
Human Services	Social Service Case Records (Retention of Consumer's Records for Individuals With Developmental Disabilities, Chemical Dependency or Mental Illness)		6 years following termination of services	No
Human Services	Social Service Case Records (Requirements for Individual Program Plans Proposing to Use a Controlled Procedure)	For Individuals With Developmental Disabilities, Chemical Dependency, or Mental Illness	6 years after implementation of controlled procedure	No
Human Services	Social Service Case Records (Required Records and Reports Authority, Required Records and Reports, County of Guardianship Responsibility)	For Individuals With Developmental Disabilities, Chemical Dependency, or Mental Illness	6 years after case closing or after audit	No

Human Services	Information and Referral Slight Service Case	Forms Including Identifying Information B) Statement of Request C) Disposal of Inquiry	4 years after case closing or after audit	No
Human Services	Volunteer Service Records	Volunteer Application Form B) Cumulative Service Record C) Request For Services D) Disposition of Services and Evaluations E) Inactive Volunteer Reports	1 year after closing	No
Human Services	Licensing Records	Licensing File, Licensing Investigations	7 years	No
Human Services	Support and Enforcement Case Reports	1) Referral to Support 2) Assignment of Support 3) Divorce Decree 4) Application for IV-D Services 5) Court Orders and Referral 6) Absent Parent Papers. A) Absent Parent Questionnaire B) Request to DHS For Assistance in Locating Absent Parent C) Summary of Contacts and Efforts to Locate 7) Affidavits 8) Copy of URESA Complaint 9) Sheriff's Department Information Sheet 10) Citizen's Complaints 11) Copies of Subpoenas 12) Face Sheet 13) Casework Abstracts 14) Intra- and Inter- Office Memos A) Eligibility Technicians B) Accounting C) County Attorney's Office 15) Correspondence	3 years after case closing or after audit. Non-Welfare cases: 21 years from youngest child's birth date	No
Human Services	Pre-Admission Screening	To Determine Admission to Nursing Home and Care. Includes Quality Assistance Reports or Per- Admission Screening	4 years after case closing or after audit	No

Human Services	Energy Assistance	Forms Containing Information Regarding Eligibility of Client For Fuel Assistance. Includes Vendor Remittance Applications, Income Verifications, Landlord Agreement EAP Gross and Household Income Worksheet, Intake Document, Abstracts, Remittance device, Sub Grantee Invoice, Quarterly Progress Notes, Budget Grant Agreements, Etc.	4 years after case closing or after audit	No
Human Services	Advisory Committee Records	Includes Minutes and Agendas For Advisory Committees, Community Health Task Forces, Social Services Task Forces, Mental Health Task Forces, Etc.	4 years, Minutes: Permanent or transfer to State Archives	Yes
Human Services	Fraud Investigation	Data and Forms Relating to Investigation of Fraud Reports	4 years after case closing or completion of Investigation	No
Sheriff / Law Enforcement	Accident Reports	Officers Report of an Accident Investigation Conducted by him/her and Required by State Law, Indicating Drivers Names, Date of Birth, Address, Passengers, Cause of Accident, Amount of Damage, Injuries, and Drawing of Accident With Description	3 years	No
Sheriff / Law Enforcement	Accounts Payable Records	Copies of Monthly Abstracts For Bills	2 years	No
Sheriff / Law Enforcement	Admission Release Records		2 years after inmate discharge	No
Sheriff / Law Enforcement	Adult Case Files	Written Reports of Investigation or Action Taken by Deputy,. Reports Regarding Criminal Investigations and Non-Criminal Action Taken or Investigated Including Miscellaneous Reports, Criminal Offense Reports, and Supporting Documents	10 years unless homicide, then retain permanently	No

Sheriff / Law Enforcement	Apprehension and Detention Orders	Orders From Court/Probation Officers With Reference to The Rules Sent Forth Regarding and Inmate During His Incardination and Often For Behavior and Rules Afterward	Until inmate off probation	No
Sheriff / Law Enforcement	Arson	Arson Reporting Immunity Law, Disclosure of Information Insurance Company to Release to Authorized Person	6 years	No
Sheriff / Law Enforcement	Board of Prisoners Billing	Bills Sent to Other Jurisdictions For Boarding Their Prisoners	2 years	No
Sheriff / Law Enforcement	Bookkeeping Records For Jail and Civil Process Transactions	Records of Deposit Slips, Transaction Records Within The System, Prisoner and Huber Transactions, Billing and Receipting of Fees to/From Other Agencies and Attorneys	6 years	No
Sheriff / Law Enforcement	Child Abuse/Maltreatment of Minors	A) Substantiated Reports: Records Maintained by Police/Welfare With Availability to Prosecuting Authority For Disclosure of Name Substantiated Report	7 years after date of final entry in case record MS 626.556, Sub. 11 (B)	No
Sheriff / Law Enforcement	Child Abuse/Maltreatment of Minors	B) Unsubstantiated Reports	1 year See statute for procedure. MS 626.556, Sub. 11 (A,C)	No
Sheriff / Law Enforcement	Civil Action Books	Lists Date, Type of Action, Attorney, Plaintiff, Defendant, Fees Charged For All Actions Served	20 years	No
Sheriff / Law Enforcement	Civil Process (Sheriff's Day Book)	The Means by Which Court Obtains Jurisdiction Over a Cause of Action to Determine Personal or Property Rights and The Authority to Enforce it's Orders Against all Parties to The Action	5 years	No
Sheriff / Law Enforcement	Commitments: Adult	Order of The Court Showing The Name of The Person to be Committed and The Location of The Commitment	5 years	No

Sheriff / Law Enforcement	Commitments: Juvenile	Order of The Court Showing The Name of The Person to be Committed and The Location of The Commitment. Legal Document From Sentencing Court Which Authorizes Confinement at The Jail Facility	Seek permission from juvenile court to destroy when juvenile reaches 18	No
Sheriff / Law Enforcement	Contingent Fund Records	Documents Relating to Funds Received From and Paid Back to Sheriff's Contingent Fund; County Claims, Travel Requests and Documentation of Claim	6 years	No
Sheriff / Law Enforcement	Court Orders From Court Services and Probate Court	Documents Relating to Orders to Sheriff to Find and Take into Custody Certain Individuals for The Court .	5 years	No
Sheriff / Law Enforcement	Court Orders Served Worksheet	Worksheet Showing Date Received, Issuing Court, Plaintiff, Defendant, Person Served, Attorney of Record, Letter of Instruction, if Sent	5 years	No
Sheriff / Law Enforcement	Criminal Records	Availability Public Employment or Licensing Purposes. Convenience Copy From BCA, NCIC-FBI, or NLETS	Destroy immediately after usefulness	No
Sheriff / Law Enforcement	Criminal Warrants- Cancelled	Documents Relating to Warrants of Arrest Issued by Courts That Have Been Cancelled	5 years or return to court when no longer in effect or valid	No
Sheriff / Law Enforcement	Delinquent Mobile Home Tax Books	Books Showing Delinquent Mobile Home Taxes for Warrants and Citations, Correspondence, Receipt Books Showing Money Collected and Dispersed.	6 years	No
Sheriff / Law Enforcement	Delinquent Tax Receipts	Receipts Issued to Person/Company For Delinquent Personal Property Taxes. List Also Given to Clerk of District Court	6 years	No
Sheriff / Law Enforcement	Notification of Persons Released From State Correctional Facilities	To Advise Sheriff That Person Released is in His Jurisdiction. Copy From The Statewide Criminal Justice Telecommunications Network	Destroy at the discretion of the receiving agency	No

Sheriff / Law Enforcement	Executions Served Worksheets	Time Card Showing Employee's Activities. Daily Log of Staff	6 years	No
Sheriff / Law Enforcement	Explosive Use Permits	Applicants Name, Address and Personal Information to be Checked With The BCA for Clearance to Obtain and Explosive Use Permit	3 years	No
Sheriff / Law Enforcement	Firearm Applications/Permits	Applicant Names, Addresses, and Personal Information. Permits are to Obtain and or Carry a Handgun. Includes Application to Purchase and a Copy of The Firearm Permit to Carry	Permanent	No
Sheriff / Law Enforcement	Food Service Records		1 year	No
Sheriff / Law Enforcement	Gunshot Wound Records	Physicians, Surgeons, Hospital Mgrs. And Other Health Professionals Shall Report Gunshot Wounds They Treat to The Sheriff	7 years	No
Sheriff / Law Enforcement	Huber Release Records	Permission From The Courts to Allow For Inmate Work Outside The Jail, Sign In/Out Sheets For Control of Hours Worked, Record of Payment For This Privilege, and Monies Paid to The Court by Their Order	6 years	No
Sheriff / Law Enforcement	Initial Complaint Report	First Record of All Calls For Service or Reports of Offenses Received. Date and Time Call was Received; Name of Victim, Witness or Reporting Party; Times Showing When Deputy was Assigned, Arrived and Cleared; Who Took Call, Short Narrative.	3 years	No
Sheriff / Law Enforcement	Initial Complaint Reports of Transports of Prisoners	Documents Relating to All Transportations of Individuals Showing Date, Time, Name of Person, By Whom, and to Where Transported	3 years	No

Sheriff / Law Enforcement	Incident Complaint Logs (Dockets)	A) Chronological Record of Events	5 years then transfer to State Archives for selection and disposition	Yes
Sheriff / Law Enforcement	Incident Complaint Logs (Dockets)	B) I.D. of Undercover Agents, Informants, Victims of Sexual Assault or Intra-Familial Sex Abuse	5 years	No
Sheriff / Law Enforcement	Incident Complaint Logs (Dockets)	C) Arrest Warrant Indices Until Taken into Custody, Served or Appear Before Court	5 years	No
Sheriff / Law Enforcement	Incident Complaint Logs (Dockets)	D) Description of Stolen, Lost or Recovered Property	5 years	No
Sheriff / Law Enforcement	Incident Complaint Logs (Dockets)	E) Program Data	5 years	No
Sheriff / Law Enforcement	Incident Complaint Logs (Dockets)	F) Deliberative Processes or Investigative Techniques, Final Opinion or Justification	5 years	No
Sheriff / Law Enforcement	Incident Complaint Logs (Dockets)	G) Inmate Count Report	5 years	No
Sheriff / Law Enforcement	Inmate Financial Records	Records of Inmates Financial in/out Status During Incarceration	2 years	No
Sheriff / Law Enforcement	Inmate History Card	Summary Card Showing All Transactions Involving Individual Inmates, Filed After Discharge, and Kept in Booking Room During The Incarceration	Retain Permanently or transfer to the State Archives	Yes
Sheriff / Law Enforcement	Inmate Incident Reports	Jailer/Officers Report Giving Particulars in Case of Accident/Incident to Inmate While Incarcerated in the Jail. Such Incident Will Also be Located in The Daily Log	2 years	No
Sheriff / Law Enforcement	Inmate Medical Record.	Any and All Medical Activity Involving Each Inmate During Incarceration; All Doctors Visits, Doctors Directions, Medicine Administered and Directed, Medical Complaints and Doctor's Name Seen or Consulted	7 years after inmate discharge	No

Sheriff / Law Enforcement	Inmate Visitor Registration Log/Jail Visitor Register	Sign in Log Stating Name of Visitor, Relation to Inmate Being Seen, Date, Time, and Name of Inmate Seen	5 years	No
Sheriff / Law Enforcement	Investigations	A) Active: Cases Involved in an Ongoing Investigation B) Inactive: Closed Cases Concluded by Prosecution, Investigative Conclusion or Being Outdated by a Certain Period	Until statute of limitations expires	No
Sheriff / Law Enforcement	Jail Inventory	Physical Inventory of Furnishings and Equipment to Jail	Until superseded	No
Sheriff / Law Enforcement	Jail Register Books: Adult	Booking Ledger That Lists Inmate's Name, Commitment Number, Admit/Discharge Date, Offense, Length of Sentence, Type of Discharge; I.E. Parole, Furlough, Completion of Sentence	Retain Permanently or transfer to the State Archives	Yes
Sheriff / Law Enforcement	Jailer's Daily Activity Log	Documents Relating to Specific Activities of Jailers and Prisoners During Each Jailer's Shift Each Day. Chronological Record Maintained by Jailers in Regard to Daily Events Including Security Checks and Routine Occurrences	Permanent	No
Sheriff / Law Enforcement	Juvenile Case Files	All Information Dealing With The Involvement of Juveniles in Incidents Outside the Law Prior to Their Emancipation at Age 18. Also Includes Non-Criminal Activity Involvement in Any Matter Pending Investigation by Law Enforcement	Seek permission from juvenile court to destroy when juvenile reaches 18	No
Sheriff / Law Enforcement	Juvenile Detention Book	Lists Name, Address, Date of Birth, Offense, Date of Release, and Date Booked for All Juveniles Jailed	Permanent	No

Sheriff / Law Enforcement	Local Identification File	Local Level Only. Contains Prisoner Information Including Name, Address, Offense, Date of Birth, Length of Incarceration, Arresting Agency, Nearest Relative and Historical Information About a Person's Activities While in Jail, Mug Shot, Fingerprints in The Local Jurisdiction	5 years after last contact. The BCA does not recommend retention of this data at all	No
Sheriff / Law Enforcement	Maltreatment of Vulnerable Adults	A) Substantiated Reports: Records Maintained by Police/Welfare With Availability to Prosecuting Authority for Disclosure of Name of Substantiated Report	7 years MS 626.557, Sub. 12	No
Sheriff / Law Enforcement	Maltreatment of Vulnerable Adults	B) Unsubstantiated Reports	4 years MS 626.557, Sub. 12	No
Sheriff / Law Enforcement	Maltreatment of Vulnerable Adults	C) False Reports	2 years MS 626.557, Sub. 12	No
Sheriff / Law Enforcement	Master Index: Adults	Any and all Instances of Reporting any Subject For Action Necessary by an Officer, Court Dispositions Regarding Violations, and all Criminal Activity - Any Dealings With any Subject Needing Police Attention	10 years after last contact	No
Sheriff / Law Enforcement	Master Index: Juvenile	Any and all Instances of Reporting any Subject For Action Necessary by an Officer, Court Dispositions Regarding Violations, and all Criminal Activity - Any Dealings With any Subject Needing Police Attention	10 years after last contact	No
Sheriff / Law Enforcement	Mortgage Foreclosure Books and Worksheets	Books Showing Mortgagor, Mortgage, Date of Sale, Attorney of Record, and Purchase Price	Retain books permanently or transfer to the State Archives retain worksheets 10 years	Yes

Sheriff / Law Enforcement	Officer Investigative Progress Reports	Deliberative Processes or Investigative Techniques, Final Opinion or Justification. Officers Views	As long as case file maintained	No
Sheriff / Law Enforcement	Operation Identification Itemization	A List of Items Marked With a Selected Number, Location of Such Number, and Article Name, Kept For any Participating Person	Permanent	No
Sheriff / Law Enforcement	Prisoner Property Envelopes Showing Signed Release	Lists Prisoner's Name, Date of Arrest, and Personal Property's Taken of From His Before Being Put in a Cell, and Date and Signature When Items Returned	2 years after release	No
Sheriff / Law Enforcement	Property Lists	Description of Stolen, Lost, or Recovered Property	2 years after sheriff's sale	No
Sheriff / Law Enforcement	Radio/Dispatch Logs	Documents Relating to Calls Taken by Dispatcher and Referred to a County Police Department	5 years	No
Sheriff / Law Enforcement	Receipt Books	Receipts Made Out For Cash or Property Received	6 years	No
Sheriff / Law Enforcement	Sheriff's Trust Fund/Checking Account Records	Bank Statements, Deposited Slips, and Cancelled Checks of Sheriff's Trust Fund. All Refund Checks and Deposits For Civil Process Fees and Trust Account	6 years	No
Sheriff / Law Enforcement	Shift Activity Report: Supervisors	Summary of Department Activity Occurring During a Supervisor/Watch Commander's Shift	2 years	No
Sheriff / Law Enforcement	Staff Training Records	Records of Hours of Training for Sheriff's Personnel	Until termination	No
Sheriff / Law Enforcement	Statistical Reports of Inmates	Monthly Reports Generated Which Show How Many Commitments Have Been Received, Number of Inmates, When Released, and Time Spent	2 years	No

Sheriff / Law Enforcement	Summons, Subpoenas, and Complaints Served, Worksheets, and Officers Logs	Summary of Department Activity Occurring During a Supervisor/Watch Commander's Shift	5 years	No
Sheriff / Law Enforcement	Tow Slips/Reports	Record of All Vehicles Towed by Department	5 years	No
Sheriff / Law Enforcement	Warrant Files	Arrest Warrant Exists Until Taken Into Custody, Served, or Appear Before Court	Until Warrant Cancelled	No
Sheriff / Law Enforcement	Warrants For Intercepting Communications	Court Warrant Approving Interception of Wire or Oral Communication	3 years	No
Veterans Service	572/Request For Change of Address		10 years	No
Veterans Service	1-9/Appeal to Board of Veteran Appeals		10 years	No
Veterans Service	9-16-6A/Application of Total Disability/Income Provision (Non-Medical)		10 years	No
Veterans Service	10-10F/Application For Medical Benefits Asset-Insurance Data		10 years	No
Veterans Service	10-10M/Application For Medical Benefits Medical Certificate and History		10 years	No
Veterans Service	10-10R/Application For Readmission to Hospital or Domiciliary		10 years	No
Veterans Service	10-583/Claim For Payment of Cost of Unauthorized Medical Services		10 years	No

Veterans Service	10-194/Application For Adaptive Equipment - Motor Vehicle		10 years	No
Veterans Service	10-7079/Request For Outpatient Medical Services		10 years	No
Veterans Service	21-121/Application For Burial Allowance and Accrued Amounts Payable as Reimbursement		10 years	No
Veterans Service	21-509/Statement of Dependency		10 years	No
Veterans Service	21-524/Statement of Person Claiming to Have Stood in Relation of Parent		10 years	No
Veterans Service	21-526/Veteran's Application For Compensation or Pension		10 years	No
Veterans Service	21-526E/Veteran's Application For Compensation or Pension at Separation From Service		10 years	No
Veterans Service	21-527/Income-Net Worth and Employment Statement		10 years	No
Veterans Service	21-530/Application For Burial Allowance		10 years	No
Veterans Service	21-534/Application For Dependence and Indemnity Compensation or Death Pension by Widow or Child		10 years	No
Veterans Service	21-535/Application For Dependency and Identity Compensation by Parents		10 years	No

Veterans Service	21-551/Application For Accrued Benefits by Veteran's Widow (Widower), Child or Dependent Parent		10 years	No
Veterans Service	21-601/Application For Reimbursement From Accrued Amounts Due a Deceased Beneficiary		10 years	No
Veterans Service	21-609/Application For Amounts Due Estates of Persons Entitled to Benefits		10 years	No
Veterans Service	21-614/Application For Accrued Amounts of Veteran's Benefits Payable to Widow, Widower, Child or Dependent Parents		10 years	No
Veterans Service	21-651/Election of Compensation or Pension in Lieu of Retired Pay or Naive of Retired Pay to Secure Compensation or Pension From Veterans Administration		10 years	No
Veterans Service	21-674/Request For Approval of School Attendance		10 years	No
Veterans Service	21-686C/Declaration of Marital Status		10 years	No

Veterans Service	21-1775/Statement of Disappearance		10 years	No
Veterans Service	21-2680/Examination of Household Status or Need For Regular Aid and Attendance		10 years	No
Veterans Service	21-4100/Statement of Income and Net Worth		10 years	No
Veterans Service	21-4103/Information From Remarried Widow		10 years	No
Veterans Service	21-413B/Statement in Support of Claim		10 years	No
Veterans Service	21-4142/Authorization for Release of Information		10 years	No
Veterans Service	21-4165/Pension Claim Questionnaire for Farm Income		10 years	No
Veterans Service	21-41B3/Application for Dependence and Identity Compensation by Child		10 years	No
Veterans Service	21-4185/Report of Income From Property or Business		10 years	No
Veterans Service	21-4502 Application For Automobile or Other Conveyance and Adaptive Equipment		10 years	No
Veterans Service	21-4555/Veteran's Initial Application in Acquiring Specially Adapted Housing		10 years	No
Veterans Service	21-6783/Report of Income From Sale of Property (Old Law)		10 years	No
Veterans Service	21-6897/Statement of Income and Net Worth - Disability		10 years	No

Veterans Service	21-B416/Request For Information Concerning Medical, Legal or Other Expenses		10 years	No
Veterans Service	21-8416A/Request For Information Concerning Family Unusual Medical Expenses		10 years	No
Veterans Service	21-8796/Statement of Termination of Marital Relationship		10 years	No
Veterans Service	22-1900/Disabled Veteran's Application For Vocational Rehabilitation		10 years	No
Veterans Service	22-1990/Veteran's Application For Program of Education or Training		10 years	No
Veterans Service	22-1990A/Serviceman's Application For Program of Education or Training		10 years	No
Veterans Service	22-1990P/Serviceman's Application For Pre-Discharge Educational Program (Prep)		10 years	No
Veterans Service	22-1990T/Application and Enrollment Certification For Individualized Tutorial Assistance		10 years	No
Veterans Service	22-1995/Request For Change of Program or Place of Training (Chapter 34)		10 years	No
Veterans Service	22-5490/Request For Change of Program or Place of Training (Son or Daughter)		10 years	No

Veterans Service	22-5490W/Request For Change of Program or Place of Training (Widow or Widower Wife or Husband)		10 years	No
Veterans Service	22-B725/Application For Educational Loan		10 years	No
Veterans Service	23-22/Application of Service Organization as Claimant's Representative		10 years	No
Veterans Service	26-1802/Application For Home Loan Guaranty or Insurance		10 years	No
Veterans Service	26-1802B/Application For Home Loan Guaranty Refinancing Loan		10 years	No
Veterans Service	26-1817/Application For Determination of Basic Eligibility - Unremarried Widow		10 years	No
Veterans Service	26-1880/Request For Determination of Eligibility and Available Loan Guaranty Entitlement		10 years	No
Veterans Service	26-6381/Application For Release From Personal Liability to The Government on a Home Loan		10 years	No
Veterans Service	26-6382/Statement of Purchaser or Owner Assuming Seller's Loan		10 years	No
Veterans Service	26-B621/Certificate of Veteran's Status For FHA Loan		10 years	No

Veterans Service	26-B641/Application For Guaranty of Loan to Purchase Mobile Home		10 years	No
Veterans Service	29-336/Designation of Beneficiary and Optional Settlement		10 years	No
Veterans Service	29-352/Application For Reinstatement (Medical) (USGLI and NSLI)		10 years	No
Veterans Service	29-352A/Supplemental to Insurance Medical Application		10 years	No
Veterans Service	29-353A/Application For Reinstatement (Non-Medical - Insurance Age 50 and Under) (Government Life Insurance and or TDIP)		10 years	No
Veterans Service	29-357/Claim For Disability Insurance Benefits		10 years	No
Veterans Service	29-358/Application For Conversation - Government Life Insurance		10 years	No
Veterans Service	29-358A/Application For Exchange to Special Endowment at Age 96 Plan - USGLI		10 years	No
Veterans Service	29-380/Application For Protection of Commercial Life Insurance Policy (Under Soldier's and Sailor's Civil Relief ACT)		10 years	No

Veterans Service	29-888/Insurance Deduction Authorization		10 years	No
Veterans Service	29-1546/Application For Cash Surrender Value - Government Life Insurance		10 years	No
Veterans Service	29-1547/Application For Policy Loan - Government Life Insurance		10 years	No
Veterans Service	29-1606/Application For Total Disability Income Provision (Medical)		10 years	No
Veterans Service	29-4125/Claim For One Sum Payment (All Policy Prefixes)		10 years	No
Veterans Service	29-4125A/Claim For Monthly Payments (NSLI)		10 years	No
Veterans Service	29-4125K/Claim For Monthly Payments (USGLI) (K Prefix Policies Only)		10 years	No
Veterans Service	29-4125-1 Table For Monthly Payments (Options 2,3, and 4 - Policy Prefix V and H Only)		10 years	No
Veterans Service	299-4125-2/Table For Monthly Payments (Option 2,3, and 4 - Policy Prefix J, Jr and JS Only)		10 years	No
Veterans Service	29-4125-3/Tables For Monthly Payments (Options 2,3, and 4 - Policy Prefixes RS and RH Only)		10 years	No
Veterans Service	29-4125-5/Tables For Monthly Payments (Options 2,3, and 4 - Policy Prefixes K Only)		10 years	No

Veterans Service	29-4337/Authorization For Release of Information From Insurance Records		10 years	No
Veterans Service	29-4364/Application For National Service Life Insurance (Medical) (RH)		10 years	No
Veterans Service	29-8283/Claim For Death Benefits (SGLI and VGLI)		10 years	No
Veterans Service	29-8285/Request For Insurance		10 years	No
Veterans Service	29-B286/Servicemen's Group Life Insurance Election		10 years	No
Veterans Service	29-B485/Application For Ordinary Life Insurance (Replacement Insurance For Modified Life Reduced at Age 65)		10 years	No
Veterans Service	29-B485A/Application For Ordinary Life Insurance (Replacement Insurance For Modified Life Reduced at Age 70)		10 years	No
Veterans Service	29-B713/Application For SGLI (Retired Reservists)		10 years	No
Veterans Service	29-B714/Application For VGLI (Submitted Within 120 Days of Separation)		10 years	No
Veterans Service	29-8714-2/Application For VGLI (Submitted Within One Year Following 120 Days After Separation)		10 years	No

Veterans Service	29-8715/Application For Veterans Group Life Insurance (Veterans Separated Before August 1, 1974)		10 years	No
Veterans Service	40-1330/Application For Headstone or Marker		10 years	No
Veterans Service	60-2008/Application For US Flag For Burial Purposes		10 years	No
Veterans Service	60-3288/Request For and Consent to Release of Information From Claimants Records		10 years	No
Veterans Service	Defense Department Forms	DD-3/Application For Gold Star Lapel Button	10 years	No
Veterans Service	Defense Department Forms	DD-149/Application For Correction of Military or Naval Record	10 years	No
Veterans Service	Defense Department Forms	DD-293/Application For Review of Discharge or Separation From The Armed Forces of The US	10 years	No
Veterans Service	Defense Department Forms	DD-1172/Application For Uniformed Services Identification and Privilege Card	10 years	No
Veterans Service	Defense Department Forms	DD-1881/Survivor Benefit Plan Election Certificate - By Existing Retiree (P.L. 92-425)	10 years	No
Veterans Service	Defense Department Forms	DD-1882/Survivor Benefit Plan Election Change (P.L. 92-425)	10 years	No
Veterans Service	Defense Department Forms	DD-1883/Survivor Benefit Plan Election Certificate (P.L. 92-425)	10 years	No
Veterans Service	Defense Department Forms	DD-1883/Survivor Benefit Plan Election Certificate (P.L. 92-425)	10 years	No
Veterans Service	Defense Department Forms	DD-1885/Survivor Benefit Plan Minimum Income Claim (P.L. 92-425)	10 years	No

Veterans Service	Defense Department Forms	SF-180/Request Pertaining to Military Records	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	BC-600/Application For Search of Census Records	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	HA-501/Request For Hearing-Social Security Administration	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	SSA-1696/Appointment of Representative Social Security Administration	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	HA-520/Request For Review of Hearing Examiner's Action - Social Security Administration	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	SSA-561/Request For Reconsideration - Social Security Administration	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	SF-223/Power of Attorney by Individual to a Bank For The Collection of Checks Drawn on The Treasurer of The US	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	CSC-307/Designation of Representative (us Civil Service Commission)	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	SF-15/Claim For 10 Point Veteran Preference	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	SF-170/Application For Federal Employment	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	POD-3575/Change of Address Order (Post Office)	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	65A-6751/Order For Photocopies Concerning Veteran (Records of Veterans Who Served in The US or Confederate Armed Forces Prior to World War 1)	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	MA-7-53/Application For Armed of Exemplary Rehabilitation Certificate	10 years	No

Veterans Service	Miscellaneous Forms of Other Government Agencies	FCSC-289/Application For Prisoners of War Compensation Under Public Law 91-289 (Foreign Claims Settlement Commission of The US) Information Gathered Through Agent Orange Information and Assistance Act.	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	DVA 0001-02 Parts 1 and 2 Application For Subsistence and/or Medical Benefits	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	DVA 00025-02/Budget Work Sheet	10 years	No
Veterans Service	Miscellaneous Forms of Other Government Agencies	DVA 14A/Report of Investigation	10 years	No
Veterans Service	DVA-101/Eligibility Board Action, Budget	Duplicate	10 years	No
Veterans Service	DVA 106/Monthly Income Report-Duplicate		10 years	No
Veterans Service	DVA 204-205/Authorization For Release of Information		10 years	No
Veterans Service	DVA 207 and 270/Voucher to Pay Vendor For Services	Duplicate	10 years	No
Veterans Service	DVA 259/Budget and Home Visit - Reports	Duplicate	10 years	No
Veterans Service	DVA 260/Medical Report and Reports From Doctors, Hospitals	Duplicate	10 years	No
Veterans Service	Billing Submitted to D.V.A. For Payment. I.E., Electricity, Fuel, Shelter, Rubbish	Copies	10 years	No

Veterans Service	Conversations by Phone or Personal Contacts	Notes in File	10 years	No
Veterans Service	County Court, Probate Division, Petition For Judicial Commitment	Duplicate	10 years	No
Veterans Service	Daily Contact Sheets		10 years	No
Veterans Service	General Correspondence	Duplicate, Vet/Department to V.A., or State of Minnesota, Department of Veterans Affairs.	10 years	No
Veterans Service	Income Questionnaire	Copy	10 years	No
Veterans Service	Monthly Reports	Compiled of Information on Daily Contact Sheets	10 years	No
Veterans Service	Statement in Support of Claim		10 years	No
Veterans Service	Submission Letters to State of Minnesota, Department of Veterans Affairs, Regional Center Government Office		10 years	No
Veterans Service	V.A. Annual Income Questionnaire Cards, Report of Income by Calendar Year	Duplicate	10 years	No
Veterans Service	Veterans Index Card		10 years	No

General Records Retention Schedule for County Auditors and Treasurers

Code	Title	Description	Retention Period	Classification	Class Citation	Function Statute
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FIN001	Account Activity Report	Final Year End Report showing all financial activity including Revenues, Expenditures and Journal Entries	20 Years	Public	MS 13.03 MS 13.43 MS 13.46	MS 385.04 MS 384.14 MS 13.43 MS 13.46
FIN002	Annual Audit Report (Facts & Findings from OSA/CPA - unless included as part of your Annual Financial Statement FIN003)	A copy of the annual audit by the state auditor or by a CPA firm must be available for inspection	7 years	Public	MS 13.37	MS 6.481
FIN003	Annual Audited Financial Statement or CAFR	Report comprising the financial report of the County that complies with the accounting requirements of the Governmental Accounting Standards Board (GASB)	Permanent (transfer to State Archives after 7 years)	Public	MN 13.03	MS 356.20 MS 477A.017
FIN004	Bank Statement and Reconciliations	Balancing of daily and monthly transactions and accounts	6 years	Public	MS 13.03 MS 13.43	MS 385.04
FIN005	Budget and Audit Workbooks	schedules and documents used to calculate the information reported in the annual financial statements	6 years	Public	MS 13.03	
FIN006	Investment Records	Documentation supporting investment records. Pledge reports showing pledged securities for safekeeping of county funds as collateral for deposits over FDIC limits, Brokers Certificates	6 years	Public	MS 13.03	MS 118A
FIN007	NOTE* Record FIN007 skipped in State model schedule	This entry intentionally left blank				
FIN008	Warrant & Claims Invoices	All invoices, accounts payable, vouchers, orders and other disbursements by the County	6 years	Public	MS 13.03	MS 384.14 MS 13.43 MS 13.46

FIN009	Federal Equitable Sharing Agreement Certification	Annual Certification of any funds received & how they are spent. This is for assest seized for a federal crime that the County gets a share of	6 years	Public	MS 13.03 Freedom of Information Act 5 U.S.C. 552	Dept. of Justice Money Laundering & Asset Recovery Section (MNLARS)
TAX001	Abatements & Additions	Adjustments to current year property tax roll	6 years	Public	MS 13.03	MS 375.192
TAX002	Annexation: Order for Annexation of Unincorporated Property	Documents for updating thetax system for levy calculations. Permanent record in Recorder's Office.	6 years	Public	MS 13.03	MS 414
TAX003	Annexation: School Petitions for Boundry Line Changes	Petitions or request for boundary line changes for school districts	10 years; then transfer to State Archives	Public	MS 13.03	MS 414.067(3)) MS 123A.45(1-3)
TAX004	Annual Tax Levy Files	Documents include: - Levy from taxing districts - Fiscal disparity files - Tax levy Certification Reports -Audit & Proofing Records -Tax Apportionments-Abstracts & Supplements	6 years	Public	MS 13.03	MS 275.065 MS 275.025 Chapter 473F Chapter 276A MS 275.07 MS 270C.89 MS 275.29

TAX005	Assessment Books, Tax Lists & Rolls (Books)	Current tax year lists separated into taxing districts (R.E., Personal Prop, Mobile Home, & Trans Lines)	10 years; then transfer to State Archives years ending in "0" and "1"	Public	MS 13.02 MS 13.03	MS 276.04 MS 429.061 MS 277.279 MS 357.021 MS 357.09 MS 287.05 MS 274.04
TAX006	Final Property Tax Statements	Certified Tax Statement in which receivables are created	6 years	Public	MS 13.03	MS 276.04
TAX007	Proposed Tax Statements	Proposed Tax Statements	Until Certified Statements are Final	Public	MS 13.03	MS 275.065 MS 275.025 Chapter 473F Chapter 276A MS MS 275.07 MS 270C.89 MS 275.29
TAX008	Changes Made to Taxpayer Records	Documents received to modify taxpayer records	2 years	Public	MS 13.03	Department Policy
TAX009	Debt Service Bonds	Includes amount of levy to be spread, number of years, interest rates, etc.	Until debt is retired and after audit	Public	MS 13.03	MS 475.61 MS 475.62

TAX010	Drainage Ditch Documents (other)	Documents include: -Tabular Statement of all Land Owners benefited by construction of waterway (Viewer's Report) - Petitions -Attorney opinions -Drainage Authority meeting minutes -Individual ditch cash balances - Engineers' Reports -Other correspondence	Permanent	Public	MS 13.03	MS 103E
TAX011	Drainage Ditch Liens	Multi-year liens are recorded and retained by the Recorder's Office as Permanent. Annual liens are approved by Board and retained permanently as part of the Board packet and minutes.	Until paid off and Audited. Multi-year liens retained permanently by Recorder's Office	Public	MS 13.03	MS 103E.605 MS 103E.611 MS103E.731
TAX012	Manufactured & Real Property Certificates	Certifications of taxes owed or that all taxes have been paid	1 year	Public	MS 13.03	MS 168A.142 MS 278.09
TAX013	Outstanding Indebtedness Reports and State Annual Debt Report	Annual report of debt for each taxing authority	6 years	Public	MS 13.03	MS 471.70
TAX014	Payments inLieu of Taxes (PILT)	Exempt organizations make payment in lieu of taxes. List of certified parcels making PILT Payments.	6 years	Public	MS 13.03	MS 272.68 MS 469.040 MS 477A.11-477A.14 MS 477A.17
TAX015	Property Splits or Inputs for Tax Records (also includes rural service district changes)	Documentation of property splits to update tax records. Department responsibility determined by individual county.	6 years	Public	MS 13.03	MS 272.162

TAX016	Property Tax Payment & Distribution Files (Settlement)	Breakdown of all advalorem and non-advalorem payments collected and settled to the taxing jurisdictions	6 years	Public	MS 13.03	MS 276.10 MS 276.111 MS 276.112 MS 127S.34 MS 298.75
TAX017	School Tax & Abatement Records	Reports to the Dept of Ed & each School District that list taxes paid and tax abatements to school taxes	6 years	Public	MS 13.03	
TAX018	Senior Deferral Notifications	Yearly notification to taxpayer of the cumulative total of deferred tax amounts	1 year after notification from the state that all deferral amounts have been paid/satisfied	Public	MS 13.03	MS 290B.04 MS 290B.05
TAX019	Special Assessment Records	Documents include:- Changes - Rolls from taxing districts- Resolutions	length of special assessment plus audit year	Public	MS 13.03	MS 429.061 MS 429.101 MS 116A.17 MS 103D.091
TAX020	State Orders on State Assessed Property	State orders from MN DOR for Railroad, and Public Utility properties	6 years	Public	MS 13.03	MS 270.071 - 270.079 MS 270.80- 270.87 MS 273.33 MS 270.072(2) MS 270.81(3)

TAX021	Tax Increment File / Economic Tax Abatement Records	Documents include Plans, impacted parcels, yearly certifications, etc.	6 years after decertification	Public	MS 13.03	MS 469.174 - MS 469.1794
TAX022	Tax Payment Listing	Date, amount paid and who made the payment. Includes Personal, RE, & MH Tax.	6 years	Public	MS 13.03	MS 429.061 MS 277.279 MS 357.021 MS 357.09 MS 287.05
TAX023	Vacation and Width of Highway	Orders from Commissioner of Transportation vacating a trunk highway	Permanent in the County Recorders Office	Public	MS 13.03	MS 161.165(6)
TAX024	Bankruptcy Court Correspondence	Letter pertaining to County property owners filing bankruptcy	7 years	Private		MS 386.45 21(g) Federal Bankruptcy Act 11 USCA 1 U.S.C. 362(b)(9)(8)
TAX025	Confession of Judgments	Original contracts, payment records and any other correspondence	6 years after final payment	Public	MS 13.03	MS 279.37
TAX026	Delinquent Real & Personal Property Tax list	List showing by taxing dist. Which taxpayers have and how much delinquent tax they owe	6 years	Public	MS 13.03	MS 270C.728

TAX027	Forfeiture Files	Resolutions, Letters of Interest, Expiration of Redemption, Cancellations, Parcel IDs, Auction and sale records, Sheriff service, Statement of Person or Corp, any other documents	10 years	Public	MS 13.03	MS 279.33 MS 279.34 MS 281 MS 282 MS 284
ELEC001	Absentee Voting Applications	Applications that are required in order for a voter to vote by absentee	22 months (6 yrs. For UOCAVA)	Public / Private	MS 13.03 MS 203B.04 42 U.S.C 1973(f)(f)	203B 204B.35 204C.13 MR 8210
ELEC002	Affidavit of Candidacy	Application by candidates to place name on ballot	22 months	Public	MS 13.02(12)	MS 204B.06 MS 204B.10 MS 204B.40
ELEC003	All other Election Material not specifically addressed	Other documents including, but not limited to summary statements, rosters, incident logs, affidavits of publication, election judge oaths & reconciliation forms	22 months	Public	MS 13.03	MS 211A.02 MS 211A.03
ELEC004	Campaign Finance Reports	Published expense reports on County website.	4 years	Public	MS 13.03	MS 211A.02 MS 211A.03
ELEC005	Candidate Statement of Economic Interest	Required to be filed annually with the County Auditor for candidates and current office holders	1 year after candidate is no longer in office	Public	MS 13.03	MS 10A.09
ELEC006	Election Abstract	Original signatures of canvassing board	Permanent	Public	MS 13.03	MS 204C.32 MS 204C.33

ELEC007	Election Maps & Precinct Tables	Maps and tables showing precincts and election district information	Until Superseded / Redistributed	Public	MS 13.03	MS 201.061 MS 201.11
ELEC008	Unused/Unmarked/Non-Voted Election Ballots	Includes electronic voting system and counting programs (cards)	Dispose at the end of contest period	Public	MS 13.03	MS 204C.20 - MS 204C.29 MS 204B.40
ELEC009	Voted Election Ballots	Voted ballots including absentee ballots and rejected/spoiled (counted or uncounted)	22 months	Public / Private	MS 13.37 MS 13.03	MS 204B.40 MS 204C.25
ELEC010	Voter Registration Applications (active or inactive)	Voter Registration applications including all returned PVC cards	22 months	Private / Public	MS 13.03 MS 13.355 MS 201.091	MS 138.17 MS 201.01 - MS 201.275 MR 8200
REG001	Drivers License Application (online or paper) and related reports	Applications form the public for drivers license renewals, duplicates, MN State ID cards, Instruction permits, and donor cards.Daily report of applications forwarded to the State for all ID's, permits and cards	3 years	Public / Private	MS 13.03 MS 13.41 MS13.69 MS171.12 (7)	MS 171.06
REG002	DVS Motor Vehicle Reports	Reports include Deputy Registrar daily report, Mail and Cashier report, Prorate Deupty Report	4 years	Public / Private	MS 13.03 MS 168.346 U.S.C. 18 Sec. 2721	MS 168.33
REG003	DVS Motor Vehicle Renewal & Non-title Duplicate Applications	Motor Vehicle tab renewal slips	15 months	Public / Private	MS 13.03 MS 168.346 U.S.C. 18 Sec. 2721	MS 168.33

REG004	Game & Fish License and Reports	Report of applications processes for various licenses	3 years	Public / Private	MS 13.03 MS 13.41	MS 97A.475
REG005	Snowmobile & Watercraft Registrations	Application contains name and address of owner and a description of boat or watercraft	Forward to DNR	Public / Private	MS 13.03 MS 13.41	MS 84.82 MS 86B.415 MS 86B.830
REG006	Snowmobile & Watercraft Registration Reports	Reports contain name and address of owner, permit number issued, and fees collected	3 years	Public / Private	MS 13.03 MS 13.41	MS 84.82 MS 86B.415
MISC001	All Contracts (expired or current)	Includes contracts on county property, invoices and purchasing agreements, etc	6 years after expiration	Public	MS 13.03	MS 384.09 MS 160.17
MISC002	Attorneys Opinions	Various reference	10 years then transfer to State Archives	Public	MS 13.03	
MISC003	Auxiliary Forest Reports		2 years	Public	MS 13.03	MS 88.52
MISC004	Bids (Accepted or Rejected)	For all large county purchases and roads. Also includes sealed bids on county projects. Includes rejected bids for county purchases and roads	6 years after project completed	Public / Private	MS 13.03 MS 13.37	MS 13.37
MISC005	Capital Equipment Listing	Listing of all equipment, vehicles, buildings, furniture, land, tools, etc. held by the county and tracked for insurance or accounting purposes. Monetary limits are defined by each individual county.	6 years	Public	MS 13.03	

MISC006	Contracts (Labor Union)	Bargaining Agreements with labor unions	10 years	Public	MS 13.03 MS 13.37 MS 179.01 - MS 179.77 MS 541.05 MS 572.08 - MS 572.30	Public Employment Labor Relations Act
MISC007	Draft County Board Workpapers	Agendas, agenda packets, and information backing up resolutions.	Until the final agenda packet is approved and acted upon	Public	MS 13.03	
MISC008	Approved County Board Agenda's, Resolutions and Supporting Documentation	Agendas, agenda packets, and information backing up resolutions	Approved or acted on agendas and packets retained permanently or transferred to State Archives	Public	MS 13.03	
MISC009	County Owned Property Files	Abstracts, Deeds, Contract for Deed (permanent record in Records Office)	Permanent	Public	MS 13.03	MS 507.24 MS 373.02
MISC010	Grant Agreements & Supporting Documentation	Includes grant applications, agreements, expense reports, etc.	Refer to Grant Agreement	Public / Private	MS 13.03	
MISC011	Job Classification/Compensation Studies	Description of job duties of individual county positions, wage scales, position levels, and other categorization	Retain until replaced or updated	Public	MS 13.03 MS 13.43	
MISC012	Minister Ordination	Credentials allowing to solemnize civil marriage	Permanent, unless recorded in the County Recorder's Office	Public	MS 13.03	MS 517.05
MISC013	Minutes: Board	Minutes of all Board meetings	Permanent or transfer to State Archives	Public	MS 13.03 MS 13.43	MS 384.09
MISC014	Minutes: Publication	Affidavit of Publications for Board minutes	6 years	Public	MS 13.03	MS 375.12

MISC015	Minutes: Board (Tape recordings)	Tape recordings of all Board meetings	Tapes may be reused or discarded after 1 year after formal approval of written minutes by Board. Tape recordings cannot be a permanent record	Public	MS 13.03 MS 13.43	MS 38.36
MISC016	Minutes: Extension Committee	Minutes of county extension committee (if applicable, as determined by individual county)	10 years then transfer to State Archives	Public	MS 13.03	MS 379.09
MISC017	Miscellaneous Licenses and Permits and all supporting documents	Various licenses and permits such as Auctioneer, Liquor, Beer, On Sale, Precious Metal, Tobacco, Fireworks...etc including supporting documents ie: Surety Bonds required for licenses, notice of violations, and work comp schedule	6 years	Public	MS 13.03 MS 13.41	MS 330.02 MS 329.11 MS 98.50 MS 325C.73-744
MISC018	Notices of Claims for Damages	Service of summons or other legal actions against the County	Upon settlement and audit of claim	Public	MS 13.03	MS 373.07
MISC019	Naming of Public Waters	Process by which to name or rename a public water	Permanent or transfer to State Archives	Public	MS 13.03	MS 83A.05
MISC020	Notary Commission filings	Notarial certificate valid for 5 years	6 years	Public	MS 13.03	MS 359.061
MISC021	Oath of Office	Oaths for all County Officers and Local Social Service agencies	10 years (or 5 years after service)	Public	MS 13.03	MS 358.11 MS 393.02
MISC022	Other documentation affecting payroll and claims on insurance	Garnishments, Child Support, Open Enrollment, Insurance records, Timesheets	6 years	Private / Public	MS 13.03 MS 13.384 MS 13.43	
MISC023	Payroll Journal/Master File	Annual report supporting benefits, deductions, and compensation paid to employees	Permanent	Private / Public	MS 13.03 MS 13.384	

MISC024	Personnel Files	Records for each employee such as applications, references, performance evaluations, appeals, job descriptions, reprimands, resignation letters, exit interviews, training records. Certain records should NOT be retained in employee personnel files (medical records, health insurance information, I-9 forms, child support records, investigations, or any other record which in its presence, may raise an inference of discrimination	5 years after employee's termination	Private / Public	MS 13.03 MS 13.384	
MISC025	Public Official & Contractor Performance Bond	Surety bonds to cover public officials and public entities contractors	Until office expires or contract period expires	Public	MS 13.03	MS 574.20
MISC026	Recruitment & Interview files	Applicant name and examination score, if applicable	1 yr. for all applicants	Private / Non Public / Confidential	MS 13.34 MS 13.03	
MISC027	Road & Bridge Contractor Bonds	Surety Bond for road & bridge construction	After state audit	Public	MS 13.03	MS 574.28
MISC028	Timber Growing Plat	Information from owners who plant trees and are requested appropriation from State Agency	1 year	Public	MS 13.03	MS 348.02 MS 348.04
MISC029	Township Organization, Incorporation as Cities, Naming & Partition	Naming and renaming of townships & altering boundaries; township incorporation to a City	Permanent	Public	MS 13.03	MS 379.04 - MS 379.09 Chapter 414
MISC030	W-9s/ ACH Authorization Forms	Documents to support vendor information	7 years after last payment or vendor is inactive in AP	Public / Private	MS 13.03	MS 256.998



Carlton County

MINNESOTA

Instructions

1. Print or type all information
2. Use this form to report records destroyed under authority of the Carlton County Data Practices Policy
3. Report only Records physically destroyed and not archived
4. Retain a copy of this report permanently

Agency			Party Reporting Destruction		Date																	
Address			Address		Telephone																	
General schedule name or Agency Schedule Number	Section of Schedule where record is listed	Item No. as Listed on Schedule	Record Title (use same title as listed on schedule)	Inclusive Dates	Date Destroyed	Quantity* (cubic feet)																
<p>VOLUME CHART TO DETERMINE CUBIC FEET</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%;">Letter Sized Drawer</td> <td style="width: 20%;">1.5 Records Center Box</td> <td style="width: 20%;">1 Printouts 12" stack</td> <td style="width: 40%;">1.25 Total Cubic Feet Destroyed</td> </tr> <tr> <td>Legal Size Drawer</td> <td>2 12" x 15" x 10"</td> <td></td> <td></td> </tr> <tr> <td>Shelving 4' Letter</td> <td>2.3 Transfer Case</td> <td>2.5</td> <td></td> </tr> <tr> <td>Shelving 4' Legal</td> <td>3 24" x 16" x 11"</td> <td></td> <td></td> </tr> </table>						Letter Sized Drawer	1.5 Records Center Box	1 Printouts 12" stack	1.25 Total Cubic Feet Destroyed	Legal Size Drawer	2 12" x 15" x 10"			Shelving 4' Letter	2.3 Transfer Case	2.5		Shelving 4' Legal	3 24" x 16" x 11"			
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Adopted: March 14, 2017

Revised:



Carlton County, Minnesota Discrimination & Harassment Prevention Policy

Adopted: April 9, 2019

Revised:

Discrimination & Harassment Prevention Policy

Carlton County is committed to providing a respectful and inclusive work environment in which all individuals have the opportunity to contribute in a productive manner and to experience professional growth free from discrimination, harassment, or related retaliation based upon protected class status.

It is critical to this commitment that all employees be familiar with this policy and its related reporting process, and take appropriate action to address any concerns that arise under the policy. Anyone who may have experienced or observed discrimination or harassment in violation of this policy, in the context of employment with Carlton County, is encouraged to report their concern to the Human Resources Manager or the County Coordinator. This policy defines the County's process for reporting, investigating, and addressing unlawful discriminatory, harassing, or retaliatory behavior.

Carlton County prohibits discrimination including harassment and disparate treatment based on any characteristic protected by law regarding the terms, conditions, privileges and prerequisites of employment. This policy which focuses on maintaining a workplace free from discrimination, harassment, and retaliation is intended to support and complement the County's commitment in this area, as well as its commitment to providing a work environment in which all individuals are treated with respect and dignity.

Carlton County prohibits discrimination, harassment, disparate treatment, and retaliation on the basis of race, color, religion, sex, ethnicity/national origin, age, disability, marital status, sexual orientation, gender identity or expression, genetic information, veteran or military status, pregnancy, familial status, status with regard to public assistance, arrest or conviction records except in the instance of bona fide occupational qualifications as necessary to effectively perform the job, exercise of rights related to family and medical leave, or on the basis of any other characteristic protected by law.

Introduction & Definitions

Employment discrimination may occur in the form of harassment, disparate treatment, or retaliation. Carlton County prohibits illegal discrimination in any form.

Important laws prohibiting employment discrimination include but are not limited to: Title VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act of 1967 (ADEA), the Americans with Disabilities Act of 1990 (ADA), the Equal Pay Act of 1963, the Pregnancy Discrimination Act of 1978, the Immigration Reform and Control Act of 1986, Executive Order 11246 of 1965 pertaining to federal contractors, the Family and Medical Leave Act of 1993, the Uniformed Services Employment and Reemployment Rights Act of 1994 (USERRA) and the Consumer Credit Protection Act (CCPA).

Harassment –

Harassment is unwelcome conduct based on race, color, religion, sex, pregnancy, national origin, age (40 or older), disability, or genetic information, or related to other protected class status. Harassment is defined as unlawful when enduring the offensive conduct becomes a condition of continued employment; or where the conduct is severe or pervasive enough to create a work environment that a reasonable person would consider intimidating, hostile, offensive, or abusive, or where the conduct has the purpose or effect of unreasonably interfering with the individual's work performance. Harassment is also prohibited in retaliation for filing a charge of discrimination, testifying, or participating in any way in an investigation, proceeding, or lawsuit under these laws, or for opposing employment practices reasonably believed to discriminate against individuals in violation of these laws.

Sexual Harassment –

Sexual harassment, as defined by the Equal Employment Opportunity Commission (EEOC) is unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature when, for example: a) submission to such conduct is made either explicitly or implicitly a term or condition of an individual's employment, b) such submission to or rejection of such conduct by an individual is used as the basis for employment decisions

affecting such individual (*quid pro quo* harassment), or c) such conduct has the purpose or effect of unreasonably interfering with the individual's work performance or creating an intimidating, hostile, or offensive work environment. Harassment is illegal when it is so frequent or severe that it creates a hostile or offensive work environment or when it results in an adverse employment decision.

Similarly, sexual harassment as defined by Minnesota Statutes § 363A.03, Subdivision 43 includes unwelcome sexual advances, requests for sexual favors, sexually motivated physical contact or other verbal or physical conduct or communication of a sexual nature when: a) submission to that conduct or communication is made a term or condition, either explicitly or implicitly, affecting an individual's employment; or b) submission to or rejection of that conduct or communication by an individual is used as a factor in decisions affecting that individual's employment; or c) that conduct or communication has the purpose or effect of substantially interfering with an individual's employment, or creating an intimidating, hostile, or offensive employment environment.

Disparate Treatment –

Disparate treatment discrimination occurs when an employer intentionally takes an employee's protected status into consideration when taking an adverse employment action.

Retaliation –

Equal Employment Opportunity (EEO) laws prohibit punishing or taking adverse action against employees or applicants for asserting their rights to be free from employment discrimination including harassment. It is unlawful to retaliate against employees or applicants for reporting employment discrimination or harassment; for filing an EEO charge or being a witness in a charge, complaint, investigation or lawsuit; for participating in an employer investigation; for refusing to follow orders they reasonably believed would result in discrimination; for requesting pay information to uncover discriminatory pay practices; and for participating in a complaint process. Likewise, it is unlawful to retaliate against an employee for exercising their rights related to religious accommodation, disability accommodation, family and medical leave, or military leave, among other protected actions.

Examples of Prohibited Conduct

Discriminatory or harassing behavior may include, but is not limited to, the following examples:

- Slurs, epithets, negative stereotyping, denigrating jokes, nicknames for protected categories;
- Threats, intimidating or hostile acts;
- Conduct with the purpose or effect of unreasonably interfering with work performance;
- Written or graphic material that denigrates, shows hostility or aversion toward an individual or group, sexually suggestive objects or images;
- Unwanted sexual conduct, advances, or requests for sexual favors;
- Leering, whistling, touching, obscene comments or gestures;
- Technology and social media based communications, posts, and messaging of a harassing, discriminatory, or retaliatory nature.

Individuals Subject to this Policy and Application to the Work Environment

This policy applies to all employees, interns, volunteers, and elected officials. Violations of this policy by any employee may result in disciplinary action, up to and including termination of employment.

Conduct prohibited by this policy is unacceptable in the workplace, as well as in any work-related setting outside of the workplace such as during attendance at conferences, professional meetings, educational programs, or workplace-related social events. Off-duty conduct which bears a nexus with the employee's job may also be subject to this policy.

Certain employees, by the nature of their job, may be exposed to inappropriate or undesirable conduct during the course of interactions with members of the public. However, inappropriate conduct of individuals interacting within and influencing general County work settings – for example, vendors, contractors, applicants, customers, and clients - may also be reported so that Carlton County may take necessary and reasonable action to maintain a working environment free of discrimination and harassment.

Employee Responsibilities

Carlton County encourages reporting of all perceived incidents of discrimination, harassment, or retaliation. Individuals who believe they may have been the victim of such conduct, or observed a violation of this policy, are encouraged to discuss their concerns with their immediate supervisor or department head. When appropriate to the

situation, individuals are encouraged to promptly advise the offender that his or her behavior is unwelcomed and request that it be discontinued. This step should be documented. If addressing the offender does not effectively resolve the concern or is not appropriate to the situation, and in all cases of potentially significant violations of this policy, individuals should follow the discrimination and harassment complaint procedure provided in this policy for making a formal report to the Human Resources Manager or County Coordinator.

Management Responsibilities

Supervisory and management representatives are responsible for maintaining a work environment free from unlawful discrimination, harassment, and retaliation. Supervisory and management personnel are required to take prompt action to correct behavior in violation of this policy and document their action. Regarding all potentially significant violations of this policy, and concerns that are not corrected through immediate intervention, supervisory and management personnel are required to promptly contact the Human Resources Manager or County Coordinator to determine appropriate action. Supervisory and management representatives' commitment to this policy is a key element of the leadership role at Carlton County. Due to the critical nature of this responsibility, supervisory and management representatives who become aware of a potential violation of this policy and who fail to take appropriate action shall be subject to disciplinary action up to and including termination of employment.

Reporting Procedure

Prompt reporting of allegations of harassment, discrimination, or retaliation is advised, to facilitate timely investigation, intervention, and constructive action as appropriate to the situation. Formal reports of alleged violations of this policy should be submitted to the Human Resources Manager or the County Coordinator. If the complaint involves the Human Resources Manager and/or the County Coordinator, the report should be submitted to the County Attorney. Individuals can make a formal complaint under this policy by completing the Complaint Form made available on the Carlton County website. To facilitate appropriate assessment and follow-up action responsive to the complaint, whenever possible the formal complaint should contain details of the situation, and should identify the person or persons against whom the complaint is being made, as well as the names of any witnesses, and the name and contact information of the individual reporting the concern.

Intentionally False Claims Prohibited

An employee, not acting in good faith, and making false claims of discrimination or harassment may be subject to disciplinary action up to and including termination of employment. In addition, any employee who intentionally provides false information during an investigation may be subject to disciplinary action up to and including termination of employment. False and malicious complaints of discrimination, harassment, and retaliation are differentiated from complaints that, even if erroneous, are made in good faith. A complaint made in good faith and later proven false is not subject to disciplinary action.

Complaint Investigation

The Human Resources Manager or County Coordinator will review all allegations of harassment, discrimination, disparate treatment, and retaliation. He/she may discuss the complaint with the reporting individual to review or clarify details and gather additional information. The Human Resources Manager or County Coordinator will determine if the complaint requires further investigation, and if so, will oversee the investigation to its conclusion.

Reasonable standards will be followed to respect the confidentiality of individuals involved, to the extent consistent with ensuring a complete and adequate investigation, appropriate corrective action, and in accordance with applicable laws, regulations, and administrative rulings. Complete confidentiality is not possible and shall not be guaranteed. The investigatory process may require the accused to respond to charges made against them; and data related to the complaint, investigation, and any resulting disciplinary action may be subject to release by law - as several examples which preclude any guarantees of strict confidentiality.

Complaints and investigative materials will be maintained in a file separate from involved employees' personnel files. If disciplinary action results from the investigation, the final disciplinary action will become part of the subject employee's personnel file.

Corrective Action

Misconduct constituting a violation of this policy will be addressed appropriately in accordance with the facts and determinations of the investigation. Responsive action may include but is not limited to: individual or group training; referral to counseling; reassignment; disciplinary action including verbal or written reprimand, suspension without pay, or termination of employment.

Conclusion

Upon closure of the process outlined above, the Human Resources Manager or County Coordinator will notify the reporting individual that the investigation is concluded, and may provide relevant information regarding the outcome, as appropriate to the situation. The Human Resource Manager or County Coordinator and department head of the area from which the complaint originated may conduct additional follow-up to ensure the concern has been effectively addressed and the County's commitment to providing a respectful and inclusive workplace upheld.

Retaliation Prohibited

Carlton County forbids retaliation against anyone who makes a good faith complaint of suspected violation of this policy, or against anyone who serves as a witness or participates in an investigation. Acts of retaliation should be reported immediately and may be subject to additional investigation.

**OFFICE OF THE
CARLTON COUNTY AUDITOR/TREASURER**

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***** RESOLUTION NO. 17-069*****

BY COMMISSIONER: Brenner

ADOPTED: June 26, 2017

WHEREAS, Minnesota Statutes 465.03 requires governing bodies accepting gifts/donations given to said governing body, to do so via resolution; and

WHEREAS, Carlton County on occasion is the recipient of gifts/donations, subject to acceptance by the Board of Commissioners.

NOW, THEREFORE, BE IT RESOLVED that the Carlton County Board of Commissioners does hereby adopt and prescribe the following as the 'model resolution' for the acceptance of gifts/donations made to Carlton County:

WHEREAS, MN statute 465.03 requires the governing body by resolution, accepted by a two-thirds majority of its members, expressing such terms in full, gifts; and

WHEREAS, (Donor name) has donated \$ _____ for (purpose); and

WHEREAS, the donor prescribed the donation is for (_____) and funds will be used in accordance with the specified purpose.

NOW, THEREFORE, BE IT RESOLVED, the Carlton County Board of Commissioners accepts the above listed donations for (purpose).

Upon motion by Brenner, seconded by Bodie and carried, the above resolution was adopted.

Yea votes: Peterson, Zmyslony, Proulx, Brenner and Bodie

Nay votes: None

Absent: None

I, Paul G. Gassert, Auditor of the County of Carlton, do hereby certify that I have compared the foregoing with the original resolution filed in my office on the 26th day of June, 2017, and that the same is a true and correct copy of the whole thereof.

WITNESS MY HAND AND SEAL OF OFFICE in Carlton, Minnesota, this 26th day of June, 2017.



Paul G. Gassert
Carlton County Auditor/Treasurer



Carlton County, Minnesota Drug and Alcohol Free Workplace Policy

Adopted: August 14, 2018

Revised:

Drug and Alcohol Free Workplace Policy

I. POLICY

Carlton County (hereafter referred to as “the County”) has a strong commitment to the health, safety and welfare of its employees, their families, and its citizens. The County recognizes that alcohol abuse and drug use pose a significant threat to job performance and the safety and security of operations. The County’s commitment to maintaining a safe and secure workplace requires a clear policy and supportive programs relating to the detection, treatment and prevention of substance abuse by employees.

The purpose of this policy is to maintain a drug- and alcohol-free workplace environment and to provide the standards and procedures for drug and alcohol testing of employees and job applicants in compliance with the requirements of Minnesota Statutes §181.950 through §181.957 as well as the requirements of the Federal Drug Free Workplace Act of 1988 41 U.S.C. 701-707.

II. SCOPE OF COVERAGE

This policy applies to all County employees (including interns and volunteers) while on duty or on County property or anytime an employee is scheduled on-call. It also applies to all applicable job applicants who have received a contingent offer of employment by the County. Employees who are required to hold a Commercial Driver’s License are also subject to the provisions of the Department of Transportation Federal Highway Administration Drug and Alcohol Testing Policy.

III. DEFINITIONS

- A. Alcohol – Ethyl Alcohol.
- B. Confirmatory test; confirmatory retest – a drug or alcohol test that uses a method of analysis allowed under one of the programs listed in Minnesota Statute §181.953, subdivision 1.
- C. Controlled substance - a drug, substance, or immediate precursor in Schedules I through V of Minnesota Statute § 152.02. The term shall not include distilled spirits, wine, malt beverages, intoxicating liquors or tobacco.
- D. Drug – a controlled substance as defined in Minnesota Statute §152.01, subdivision 4; and/or if required by law, the federal Drug-Free Workplace Act of 1988.
- E. Drug and alcohol testing – analysis of a body component sample according to the standards established under one of the programs listed in Minnesota Statute §181.953, subdivision 1, for the purpose of measuring the presence or absence of drugs, alcohol, or their metabolites in the sample tested.
- F. Employee - a public employee or a person who performs services for compensation, in whatever form, for an employer. Also includes interns and volunteers.
- G. Employer – the Carlton County Board of Commissioners or its designee(s)
- H. Initial screening test – a drug or alcohol test which uses a method of analysis under one of the programs listed in Minnesota Statute §181.953, subdivision 1.
- I. Job applicant – a person who applies to become an employee of the County, including a person who has received a job offer made contingent on the person passing drug and/or alcohol testing.
- J. Premises – all property and locations in which the County is operating or has established a presence.

- K. Positive test result – a finding of the presence of drugs, alcohol, or their metabolites in the sample tested in levels at or above the threshold detection levels contained in the standards of one of the programs listed in Minnesota Statute §181.953, subdivision 1.
- L. Random selection basis – a mechanism for selection of employees that (1) results in an equal probability that any employee from a group of employees subject to the selection mechanism will be selected and (2) does not give an employer discretion to waive the selection of an employee selected under the mechanism.
- M. Reasonable suspicion – a basis for forming a belief based on specific facts and rational inferences drawn from those facts.
- N. Under the influence – having the presence of a drug at or above the level of a positive test result as defined in Appendix A and having the presence of ethyl alcohol in excess of .04%.

IV. GENERAL WORK EXPECTATIONS

All employees are accountable for maintaining a drug and alcohol free workplace by adhering to the following during working hours, while on the County's premises or wherever the County's work is being performed:

- A. No employee shall report to work under the influence of drugs or alcohol.
- B. No employee shall operate, use or drive any equipment, machinery or vehicle of the County under the influence of drugs or alcohol.
- C. No employee shall operate, use or drive any equipment, machinery or vehicle of the County while under the influence of prescription drugs that adversely affect their alertness, reaction, response, judgment, decision-making, or safety. An employee must immediately notify his/her supervisor that he/she is not in an appropriate mental or physical condition to operate, use or drive County equipment or his/her personal vehicle while on county business.
- D. No employee shall unlawfully manufacture, distribute, dispense, possess, transfer, or use a controlled substance in the workplace or wherever the County's work is being performed. During work hours, including rest and lunch breaks, or while on the County's premises, no employee shall use, sell, manufacture, possess or transfer alcoholic beverages, with the following exceptions:
 - 1. Consumption, possession, sale or purchase of alcohol when authorized by a Commissioner under separate statutory or executive agency authority;
 - 2. Possession of alcohol while in an employee's personal vehicle on the County's premises in compliance with applicable statutory requirements.
- E. The required transportation or possession of illegal drugs, alcohol or controlled substances as a result of performing official County duties is not considered a violation of this policy.
- F. Supervisors or department heads shall notify the appropriate law enforcement agency when they have reasonable suspicion to believe that an employee may have illegal drugs in his/her possession during working hours, or on County premises, or while operating the County's vehicle, machinery or equipment. Where appropriate, the supervisor or department head shall also notify licensing boards.
- G. Any employee convicted of manufacturing, using, selling, distributing or possessing a controlled substance in the workplace shall notify the County via the Human Resources office within five (5) days of the conviction. The county will take appropriate action within thirty (30) days of notification. An employee who receives a statutory stay of adjudication under Minnesota Statute 152.18 shall notify the County within five (5) days of sentencing. Appropriate action may include (a) personnel action against the employee, up to and including termination, or (b) requiring the employee to participate satisfactorily in substance abuse assistance or rehabilitation programming approved for such purposes by a federal, state or local health, law enforcement or other appropriate agency.

V. DRUG AND ALCOHOL TESTING

As part of the County's commitment to an alcohol and drug-free workplace, the County reserves the right to require that applicants and employees submit to drug and/or alcohol testing in accordance with the provisions of Minnesota Statute. Each employee will be given a copy of this policy in compliance with the notice required under Minnesota Statute. A copy will also be provided to all applicants who are requested to undergo testing. Any employee desiring information concerning drug or alcohol abuse counseling and/or rehabilitation is encouraged to contact the County's Employee Assistance Program (EAP).

A. Circumstances for Drug and Alcohol Testing

1. Job Applicants. The County may request or require that all applicants for a particular position be tested for drugs and/or alcohol after receiving a conditional offer of employment. If the applicants tests positive for drugs or alcohol after a confirmatory test, the conditional offer may be withdrawn.
2. Random Testing. The County will also test drivers on a random basis in compliance with the regulations issued by the United States Department of Transportation. Once the random selection has been made, the County will not waive the selection of any employees identified through the random process.
3. Reasonable Suspicion Testing. The County may request or require an employee to undergo drug and/or alcohol testing if the County has a reasonable suspicion that the employee:
 - i. is under the influence of drugs or alcohol; or
 - ii. has violated the County's written work rules prohibiting drug and alcohol use, possession, sale or transfer while the employee is on the County's premises, performing County functions, or operating the County's vehicle, machinery or equipment (other than in connection with the employee's official duties); or
 - iii. has sustained a personal injury or caused another employee to sustain personal injury; or
 - iv. has caused a work-related accident, or was operating or helping to operate machinery, equipment or a vehicle involved in a work-related accident.

**Nothing in the policy shall be construed as requiring the County to test any employee for the presence of drugs or alcohol. The County reserves the right to discipline or discharge an employee for violation of workplace rules and policies based on evidence other than the results of a drug and/or alcohol test.*

B. Refusal to Undergo Testing

1. Right to Refuse. Employees and job applicants have the right to refuse to undergo drug and alcohol testing. If an employee or job applicant refuses testing, no test shall be given.
2. Consequences of Refusal. If an employee refuses to undergo drug or alcohol testing requested or required by the County, or if an employee's behavior prevents meaningful completion of drug or alcohol testing, the employee shall not be permitted to perform safety sensitive functions, may be restricted from operating County vehicles, and the employee may be subject to discipline up to and including termination of employment. If a job applicant refuses to undergo drug and alcohol testing as requested or required by the County, the County may withdraw its conditional job offer.
3. Refusal on Religious Grounds. No employee who refuses to undergo drug or alcohol testing of a blood sample upon religious grounds shall be deemed to have refused unless the employee also refuses to undergo drug or alcohol testing of a urine sample.

C. Timing of Testing

1. In the case of job applicant testing, the requirement will generally be to have the test completed within 72 hours of being given notice.
2. For all other testing circumstances, the County reserves the right to require the completion of the test in the timeframe it feels necessary. This will be based on case-by-case circumstances and/or safety. This required timing will be communicated to the employee at the time they are instructed to participate in testing.

D. Conducting the Testing

1. No testing may be completed without approval from the Human Resources Director or designee.
2. Notification Form. Before requiring an employee or job applicant to undergo drug or alcohol testing, the County shall provide the individual with a form on which to (1) acknowledge that he/she has seen a copy of the County's Drug and Alcohol Free Workplace Policy, (2) indicate any over-the-counter or prescription medications that he/she is currently taking or has recently (within the last month) taken, and any other information relevant to the reliability of, or explanation for, a positive test result, and (3) indicate consent to undergo the drug and alcohol testing.
3. Test Sample. The test sample shall be obtained in a private setting and the procedures for taking the sample shall ensure privacy to employees to the extent practicable, consistent with preventing tampering with the sample. All test samples shall be obtained by or under the direct supervision of a health care professional at a medical facility of the County's selection.
4. Transport. The supervisor or department head shall make arrangements for the transportation of any employee subject to testing to an appropriate testing site.
5. Identification of Samples. Each sample shall be sealed into a suitable container free of any contamination that could affect test results, be immediately labeled with the subject's employee identification number, be initialed by the subject, and be signed and dated by the person witnessing the sample.
6. Chain of Custody. The selected medical facility shall ensure that a written record of the chain of custody of the sample is maintained, and ensure the proper handling of the sample in compliance with the provisions of Minnesota Statute §181.953, subdivision 5.
7. Laboratory. The County shall use the services of a testing laboratory that meets the criteria of Minnesota Statute §181.953, subdivision 1. However, no test shall be conducted by a laboratory owned and operated by the County.
8. Methods of Analysis. The testing laboratory shall use methods of analysis and procedures to ensure reliable drug and alcohol testing results, including for both initial screening and confirmatory tests. The testing laboratory shall perform each test analysis in accordance with the standards established by Minnesota Statute §181.953, subdivision 1.
9. Retention and Storage. All samples that produced a positive result shall be retained and properly stored by the testing laboratory for a minimum of six (6) months.
10. Test Report. The testing laboratory shall prepare a written report indicating the drugs, alcohol or their metabolites tested for, the type(s) of test(s) conducted, and whether the test produced negative or positive test results. The testing laboratory shall disclose that report to the County within three (3) working days after obtaining the final result.

E. Test Results

The laboratory will conduct both an initial test and a confirmatory test if the initial test is positive. A negative result on either the initial or confirmatory test will be deemed a negative test result

(i.e., no drugs or alcohol detected). A positive result on both the initial and confirmatory test will be deemed a positive test result (i.e., drugs or alcohol detected).

1. Negative Test Result. An employee or applicant who tests negative for drugs or alcohol will be given written notice of the test results within three (3) working days of the County receiving the test results from the testing laboratory.
 2. Positive Test Result. An employee or applicant who tests positive for drugs or alcohol will be given written notice of the test results within three (3) working days of the County receiving the test results from the testing laboratory. Pursuant to Minnesota Statute §181.953, subdivision 6b, the employee or applicant will also be given written notice of their right to provide any information to explain the positive result, including any over-the-counter or prescription medication the employee or applicant may have taken. An employee or applicant who wishes to submit any explanatory information must do so within three (3) working days after being notified of the positive test result.
 3. Retest. An employee or applicant who has a positive test result may also request a retest of the original sample by the same or different certified laboratory as set forth in Minnesota Statute §181.953, subdivision 1, at his or her own expense. An employee or applicant who wishes to conduct a retest must notify the County in writing of their intention to conduct such a retest within five (5) working days after being notified of the positive test result. If the results of the retest are negative, the test will be considered a negative test result.
 4. Right to Test Result. An employee or job applicant has the right to request and receive from the County a copy of the test result report on his/her drug or alcohol test.
 5. Costs. All costs related to drug and alcohol testing will be paid by the County, with the exception of any retest requested by an employee or applicant following a positive test result.
- F. Disciplinary Action in Response to a Positive Test Result
1. Interim Action/Discipline. The County reserves the right to temporarily suspend the tested employee or transfer that employee to another position at the same rate of pay pending the outcome of the confirmatory test. An employee who has been suspended without pay must be reinstated with back pay if the outcome of the confirmatory test or requested confirmatory retest is negative.
 2. Applicants. The County reserves the right to withdraw the conditional job offer of any job applicant with a positive confirmatory test result, without the opportunity to complete evaluation or treatment.
 3. Employees – First Positive Test Result - Termination. The County will not discharge an employee for the first positive test result. Instead the employee will be given the opportunity to participate in an appropriate drug or alcohol counseling or rehabilitation program as determined by a certified chemical use counselor or physician trained in the diagnosis and treatment of chemical dependency chosen by the County. The employee will be responsible for paying all costs associated with any evaluation and subsequent treatment themselves or pursuant to coverage under an employee benefit plan. An employee who refuses or fails to participate in, cooperate with or successfully complete the evaluation or recommended treatment program as evidenced by withdrawal from the program before its completion may be terminated. An employee who successfully completes treatment may be subject to unannounced, follow-up testing for a period of up to two (2) years. If a positive test results on a confirmatory test after successful completion of a treatment program, the employee may also be terminated.

4. Employees – First Positive Test Result – Discipline. The County reserves the right to take any other disciplinary action up to but not including termination of employment it may deem warranted following a first positive test result.
5. Employees – Subsequent Positive Test Result. The County reserves the right to take any disciplinary action up to and including termination of employment following any second or subsequent positive test result without referral to or the opportunity to complete additional chemical dependency counseling or rehabilitation.
6. Federal Grant Employees. An employee engaged in the performance of work on federal grants or contracts is required to notify their department head of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction.

G. Privacy of Test Results

1. Test results and other information acquired as a result of the testing program are private data on individuals as defined in Chapter 13 and will not be disclosed by the County or the testing laboratory to another employer, third party individuals, government agencies or private organizations without written consent of the employee or job applicant being tested.
2. Evidence of a positive test result may be used in an arbitration proceeding pursuant to a collective bargaining agreement, an administrative hearing or a judicial proceeding, provided the information is relevant to the hearing or proceeding. Such evidence may also be disclosed to any federal agency or other unit of the United States government as required under federal law, regulation or order, or in accordance with compliance requirements of a federal government contract. Evidence of a positive test result may also be disclosed to a substance abuse treatment facility for the purpose of evaluation or treatment of the employee.
3. The County will provide an employee with access to information in the employee's file relating to positive test result reports and other information acquired in the testing process as well as conclusions drawn from or actions taken based upon such information.

VI. APPEALS PROCEDURE

Employees may appeal decisions made by the County under this policy through the grievance procedure outlined in their collective bargaining agreement or personnel policy, as applicable.

VII. EMPLOYEE NOTIFICATION OF POLICY

The County will post notice that this policy providing for drug and alcohol testing has been adopted in a conspicuous location on the County's premises. The County will provide a copy of this policy to every employee currently employed by the County upon adoption of the policy. New employees of the County will receive a copy of this policy with their orientation materials. Every job applicant subject to drug and alcohol testing will be given a copy of this policy prior to any testing. Copies of this policy are also available in the Human Resources office during regular business hours.

VIII. NON-DISCRIMINATION

The County's policy on work-related substance abuse is non-discriminatory in intent and application. However, in accordance with Minnesota Statutes, Chapter 363A, disability does not include any condition resulting from alcohol or drug abuse which prevents a person from performing the essential functions of the job or creates a direct threat to property or the safety of individuals. Furthermore, in accordance with the Americans with Disabilities Act, an individual who is currently engaging in the illegal use of drugs is not an "individual with disability" when the employer acts on the basis of such use.

IX. CONSEQUENCE OF VIOLATIONS

Violations of this policy may constitute just cause for discipline up to and including termination of employment. Nothing in this policy shall be construed as prohibiting the County from referring any violation or suspected violation of criminal law to law enforcement officials for criminal prosecution. Each situation will be evaluated on a case-by-case basis depending upon the severity and circumstances involved.

X. CONTACT

Questions regarding this policy should be directed to the Human Resources Director.

Drug and Alcohol Free Workplace Policy Acknowledgement

I have received a copy of the Drug and Alcohol Free Workplace Policy of Carlton County and have read it in its entirety. I understand that I am subject to the provisions of this policy.

The County’s policy was provided to me:

- ___ upon adoption of the policy (current employee).
- ___ upon hire (new employee).
- ___ after receipt of a conditional job offer, before any testing if the job offer is contingent upon passing drug and alcohol testing (job applicant).

Signature of Employee/Applicant

Printed Name

Date

**CARLTON COUNTY
NOTIFICATION AND CONSENT FORM FOR DRUG AND ALCOHOL TESTING**

I have been given and have seen a copy of the Drug and Alcohol Free Workplace Policy of the County and consent to be tested.

I hereby consent to undergo drug and alcohol testing pursuant to said policy, and I authorize Carlton County to collect a urine and/or blood sample in such a manner that the authorized testing laboratory deems appropriate for drug and alcohol testing purposes. In addition, I authorize the County to receive the results of the test from the designated laboratory analyzing the sample(s).

I understand that the results of the testing may affect my employment status with the County.

I understand that in order to ensure accuracy in this screening, I have the right to indicate any and all of the prescription drugs or over-the-counter medication I have taken within the last thirty (30) days, as well as any other information relevant to the reliability of, or explanation for, a positive test result. I, therefore, voluntarily provide that I am currently taking, or have taken within the last thirty (30) days, the following drugs/medications (write NONE if applicable):

Print Name: _____

Signature: _____

Date: _____

Witness: _____

Date: _____

**CARLTON COUNTY
DRUG AND ALCOHOL TESTING REFUSAL**

I refuse to submit to a drug or alcohol test.

I have been given and have seen a copy of the Drug and Alcohol Free Workplace Policy of the County and understand that a refusal to submit to testing may disqualify me from consideration for employment or, if an employee, subject me to discipline up to and including termination of employment.

Print Name: _____

Signature: _____

Date: _____

Witness: _____

Date: _____

APPENDIX A – DRUG TESTING THRESHOLD LEVELS

DRUG TYPE AND CUT-OFF LIMIT. Cut-off limits are established by the Department of Health and Human Services in their mandatory Guidelines for Federal Workplace Drug Testing Programs. This list of drugs and cut-off limits is subject to change by the Department of Health and Human Services as advances in technology or other considerations warrant identification of these and additional substances at other concentrations. Such changes shall be deemed to have been incorporated into the Policy upon announcement by the Department of Health and Human Services of such changes.

Employees may be tested for the following drugs and/or their metabolites at the following cut-off limits:

Initial Drug Test Level

	(ng/mL)
Marijuana metabolites	50
Cocaine metabolites	300
Opiate metabolites	2,000
Phencyclidine	25
Amphetamines	1,000
Barbiturates	300
Methaqualone	300
Benzodiazepines	300
Methadone	300
Propoxyphene	300

Confirmatory Drug Test Level

	(ng/mL)
Marijuana metabolite \1\	15
Cocaine metabolite \2\	150
Opiates	
Morphine	2,000
Codeine	2,000
6-Acetylmorphine \3\	10
Phencyclidine	25
Amphetamines	
Amphetamine.....	500
Methamphetamine \4\	500
Barbiturates	300
Methaqualone	100
Benzodiazepines	300
Methadone	300
Propoxyphene	300
Alcohol, Ethyl *	0.04%

\1\ Delta-9-tetrahydrocannabinol-9-carboxylic acid
 \2\ Benzoylcegonine
 \3\ Test for 6-AM when the morphine concentration is greater than or equal to 2,000 ng/mL.
 \4\ Specimen must also contain amphetamine at a concentration greater than or equal to 200 ng/mL.

*Any report in excess of .04% shall be considered above the impairment level.



Carlton County, Minnesota *Electronic Funds Transfer Policy*

Adopted: September 13, 2016

Revised: May 8, 2018

Electronic Funds Transfer Policy

PURPOSE

Minnesota law enables and regulates the use of electronic transactions in state, county and other units of local government. Statute 385.071 states that "The County Board shall establish policies and procedures for investment and expenditure transactions via electronic funds transfer." Carlton County has the authority to utilize electronic funds transfers for receipt of intergovernmental payments, grant payments and other revenues where practical, and the transmittal of payroll, payroll withholdings, tax deposits and other disbursements where practical. The following general policy is established to ensure the safety of county funds through internal control procedures as they apply to electronic funds transfers.

POLICIES AND PROCEDURES

1. The Board hereby delegates the authority to make electronic funds transfers to a designated administrator, the County Auditor/Treasurer. The Auditor/Treasurer will designate a minimum of two transaction initiators.
2. The disbursing banks will keep on file a certified copy of said delegation.
3. The initiator shall document the request and obtain approval from the designated administrator.
4. Disbursing banks shall provide written confirmation of the electronic transfers no later than one business day after the transfers, which will be used in lieu of a check or warrant to support said transactions.
5. The written confirmations will be sent to Auditor/Treasurer's Office. Staff not directly involved in the transaction process will compare them to the approved requests.
6. Notwithstanding any other general or special law to the contrary, the County may use electronic approvals, which have the same validity and consequences as an actual signature, per Statute 471.381. "Electronic approval" means any electronic identifier intended by the person making, executing or adopting it to authenticate and validate a county administrative action.
 - a. Disbursing banks will be instructed to make electronic transfers to approved accounts upon receipt of prior written authorization, including one approved signature. A list of approved accounts and signatures will be provided to each disbursing bank.
 - b. Disbursing banks will be instructed to make electronic transfers to non-approved accounts only upon receipt of prior written authorization, including two approved signatures.
7. A list of electronic fund transfers shall be submitted to the County Board along with the monthly disbursement reports at regularly scheduled meetings.



Carlton County, Minnesota

Equal Employment Opportunity & Affirmative Action Policy

Adopted: August 14, 2018

Revised: May 12, 2020

Equal Employment Opportunity & Affirmative Action Policy

Policy

It is the policy of Carlton County to provide equal employment opportunities without regard to race, color, religion, sex, national origin, age, disability, marital status, veteran status, status with regard to public assistance, sexual orientation, genetic information, or any other protected characteristic under applicable law. As part of Carlton County's equal employment opportunity policy, the county will also take affirmative action as called for by applicable laws to ensure that all employment practices are free from discrimination. These equal opportunity and affirmative action policies relate to all phases of employment, including, but not limited to, recruiting, examination, employment, placement, classification, promotion, transfer, demotion, reduction of workforce and termination, rates of pay or other forms of compensation, and selection for training. Provisions in applicable laws providing for bona fide occupational qualifications, business necessity or age limitation will be adhered to by the county where appropriate.

As part of Carlton County's equal employment opportunity policy, the county will also take affirmative action as called for by applicable laws to eliminate barriers to equal employment opportunity for underrepresented groups and ensure that underrepresented individuals are introduced into the county's workforce and considered for promotional opportunities. Carlton County will provide equal employment opportunities to individuals with disabilities.

Assignment of Responsibility

The Human Resources Director is designated as the Carlton County Affirmative Action Officer, responsible for administering the county program under the direction of the County Board.

The Human Resources Director shall:

1. Develop and maintain the county's Equal Employment Opportunity (EEO)/Affirmative Action (AA) policy and AA plan/program, and establish affirmative action goals and objectives.
2. Implement the AA plan/program including internal and external dissemination of the policy and plan.
3. Conduct and/or coordinate EEO/AA training of department heads and supervisors to inform them of their responsibilities pursuant to the policy and plan.
4. Have regular discussions with Carlton County employees at all levels to ensure the county's policy is being followed.
5. Ensure all employees in protected classes are provided equal opportunity as it relates to county-sponsored training programs, recreational/social activities, benefit plans, pay and other working conditions without regard to race, color, religion, etc.
6. Review the qualifications of employees to ensure that those in protected classes are given full opportunities for transfer and promotion.
7. Periodically audit employment practices to remove impediments to the achievement of goals and objectives.
8. Design, implement and maintain EEO audit, reporting and record systems to measure the effectiveness of the county AA plan/program, determine progress toward achievement of the county's goals and objectives have been met, and make the information available to appropriate enforcement agencies.
9. Identify problem areas and recommend solutions.
10. Coordinate the implementation of necessary remedial action to meet compliance requirements.
11. Serve as liaison between the county and relevant enforcement agencies.
12. Coordinate recruitment and employment efforts of individuals in protected classes.
13. Coordinate recruitment and utilization of businesses owned by individuals in protected classes on projects where outside contractors are employed.
14. Receive, investigate and attempt to resolve EEO complaints.
15. Monitor subcontractors and work sites to ensure compliance in such areas as: proper employment of individuals in protected classes; proper posting of EEO information; working conditions of individuals in

protected classes free from discrimination; and compliance with Carlton County's Equal Employment Opportunity & Affirmative Action Policy.

Dissemination of Policy and Plan

Internal Dissemination

To insure that all present and future employees are advised of and understand the Carlton County Equal Employment Opportunity and Affirmative Action Policy and program:

1. A copy of the policy shall be provided to each new county employee (including elected officials, department heads, and supervisors) at new employee orientation.
2. Existing employees shall access the policy via the Employees Only section of the Carlton County website.
3. A copy of the policy shall be prominently displayed on all bulletin boards where job announcements are posted, as well as on break room bulletin boards.
4. A training program for department heads and supervisors shall be established to explain the purpose of the policy and program, and to inform them of their responsibilities pursuant to the policy and program. Such training shall be conducted as necessary to communicate changes resulting from changes in legislation and/or regulations.
5. The county shall include non-discrimination language in all collective bargaining agreements, and review all contractual provisions each bargaining cycle to ensure that they are non-discriminatory.

External Dissemination

To insure that external stakeholders are advised of and understand the Carlton County Equal Employment Opportunity and Affirmative Action Policy and program:

1. A statement of the county's EEO/AA policy and program will be included on all job announcements.
2. The county's EEO/AA policy will be communicated at all pre-bid, pre-award and pre-construction conferences. Subcontractor responsibilities regarding policy enforcement will also be communicated at those times.
3. All County communication will include a statement designating Carlton County as "An Equal Opportunity Employer" where required.

Implementation and Compliance

All phases of employment shall be continually examined to insure compliance with rules and regulations regarding equal employment opportunity.

A. General Employment Practices

- a. Minimum qualifications shall realistically relate to the essential functions of the position.
- b. Employment practices and standards shall not be arbitrary and shall not have the effect of blocking individuals in protected classes from employment.

B. Recruitment

- a. Recruitment sources shall be notified of all job vacancies. This notification shall include: position title; brief description of duties; salary range; minimum qualifications required; closing date; and application process. These recruitment sources shall also be notified that qualified protected class members are encouraged to apply.
- b. Job vacancy announcements shall include the phrase "An Equal Opportunity Employer."
- c. All external vacancy announcements shall be posted on all official Carlton County bulletin boards for a minimum of ten days. Official County bulletin boards are located on the first and second floors of the courthouse.
- d. Supervisors shall be encouraged to actively recruit students belonging to protected classes for seasonal employment and internships.

C. Selection and Hiring

- a. In a specific area of under-utilization, the county shall make every good faith effort to meet its hiring goals and objectives.
- b. Selection decisions shall be based solely on pre-defined and clearly communicated job-related factors such as experience, education, training, etc.

D. Training

- a. Training programs shall be extended to all employees, provided the training is job-related and would result in improved work performance. No employee shall be restricted from attending training based on membership in a protected class.
- b. Training programs shall be made available to facilitate upward mobility for all County employees.

Equal Employment Opportunity & Affirmative Action Policy

- c. All employees shall be informed of the opportunity and encouraged to participate in career-related courses and/or formal training.
 - d. Department head and supervisory training shall include training on the Carlton County Equal Employment Opportunity and Affirmative Action policy and program. Said training will include an explanation of the policy/program and its legal basis, responsibilities regarding the policy/program, and options available to a person filing a complaint of alleged discrimination.
 - e. County departments may consider the implementation of an apprentice or trainee program to facilitate the achievement of EEO/AA goals and objectives.
- E. Career Advancement (Transfer & Promotion)
- a. All qualified County employees shall be encouraged to consider career advancement through promotion and/or transfer.
 - b. All transfer and promotion opportunities shall be posted on all official County bulletin boards for a minimum of ten days.
 - c. A combination of education/training, past work experience, and experience obtained in the County's employ shall be considered in assessing the qualifications of an applicant.
 - d. All persons employed by the county who have increased their skills and job potential shall be encouraged to apply and compete for promotion opportunities.
- F. Contracts
- a. Carlton County will not use public funds to further violations of equal employment law. As such, all contractors, sub-contractors and vendors with whom the county does business will be required to abide by the Carlton County Equal Employment Opportunity & Affirmative Action Policy.
 - b. All bid specifications, proposals and contracts shall require all contractors, sub-contractors and vendors to submit a signed statement signifying that they fully intend to comply with equal employment and anti-discrimination rules and regulations.
 - c. The county's practice of awarding contracts to the lowest bidder shall be followed, provided the bidder meets the county's affirmative action requirements. If a contractor, sub-contractor or vendor does not comply with their signed intent, as described above, the contract may be awarded to the next lowest bidder following the same procedure.
 - d. If it is reported that a contractor, sub-contractor or vendor is in violation of state and/or federal equal employment opportunity laws, or has no affirmative action program, or has not shown good faith in taking corrective steps, or is not willing to comply with the county's affirmative action requirements, the County Board may immediately request that the County Attorney issue a "letter to show cause" requesting the contractor, sub-contractor or vendor provide the County Board with information regarding why the county should not terminate the contract.
 - e. Any contractor entering into a contract with the Carlton County Transportation Department shall comply with the Minnesota Department of Transportation (MnDOT) Special Provisions pertaining to EEO as per the MnDOT Office of Civil Rights for all Federally and/or State and/or Locally funded highway construction projects. Compliance with MnDOT's EEO Special Provisions shall be considered substantial compliance with Carlton County's Equal Employment Opportunity & Affirmative Action Policy.

Auditing and Monitoring

In order to successfully evaluate the implementation of the Carlton County Equal Employment and Affirmative Action Policy and program, the following data shall be maintained by the Human Resources Office:

1. Recruitment sources. A list of all recruitment sources notified of county job vacancies shall be maintained.
2. Application flow. Data shall be maintained indicating, by vacancy and EEO-1 category, the total number of applicants, those interviewed, those offered positions, and those hired in order to determine the effectiveness of the county's recruitment process and to assess the county's progress toward achieving objectives.
3. Training activities. Data shall be maintained indicating the number of county employees participating in each county-sponsored training program and activity.
4. Promotions. Data shall be maintained regarding promotions and indicating, by vacancy and EEO-1 category, those employees who are promoted.
5. Demotions and disciplinary actions. Data shall be maintained on all demotions and disciplinary actions.
6. Terminations. Data shall be maintained on all terminations, including the reason(s) for termination. This data will be used to determine if a disproportionate number of employees belonging to protected classes are terminated.

7. Reporting. Summary reports will be produced and submitted to the appropriate agency as required and/or requested. These reports will contain statistics broken down by EEO-1 category on activities in the above-listed area.

Affirmative Action Plan for Disabled Workers (5000.3540; Minn Stat 363A.01-.44; ADA 42 U.S.C. 12101)

1. Disabled Individuals Affirmative Action Clause

Carlton County shall not discriminate against any employee or applicant for employment on the basis of a physical or mental disability for any position for which the employee or applicant is qualified. Carlton County agrees to take affirmative action to employ, advance in employment and otherwise treat qualified disabled individuals without discrimination based upon their physical or mental disability in all employment practices. Carlton County agrees to post in conspicuous places, available to employees and applicants for employment, notices stating the county's obligation under the law to take affirmative action to employ and advance in employment qualified disabled employees and applicants for employment, and the rights of employees and applicants.

2. Schedule for Review

Carlton County will review all physical and mental job requirements to the extent that these requirements tend to screen out qualified disabled individuals. Said review will occur any time a position is to be posted and will determine whether these requirements are job-related and necessary for the safe performance of the job.

3. Pre-Employment Medical Exams

Carlton County may require a comprehensive medical exam prior to employment for certain positions. The results of such an examination will not be used to screen out qualified disabled individuals. Information obtained in such examination shall be kept confidential except as allowed by the MN Government Data Practices Act.

4. Accommodations

Carlton County shall make reasonable accommodations to the physical and mental limitations of an employee or applicant unless such an accommodation would impose an undue hardship on the conduct of business.

5. Compensation

In offering employment or promotion to a disabled individual, Carlton County shall not reduce the amount of compensation offered due to any disability income, pension, or other benefit the applicant or employee receives from another source as result of their disability.

6. Outreach and Recruitment

The Human Resources Director shall review employment practices to determine whether they provide the required affirmative action for employment and advancement of qualified disabled individuals. Based upon the findings of such review, Carlton County shall undertake appropriate outreach and positive recruitment activities, such as: developing internal communications to foster understanding, acceptance and support among employees; developing reasonable internal procedures to ensure that the obligation to engage in affirmative action to employ and promote qualified disabled individuals is being fully implemented; periodically informing employees and prospective employees of the commitment to engage in affirmative action to increase employment opportunities for qualified disabled individuals; enlisting the assistance and support of appropriate recruiting sources; and engaging in recruitment activities at educational institutions which provide training for the disabled.

Complaints

- A. Any individual who believes they have been discriminated against or denied equal employment opportunity may file a complaint as outlined in the Carlton County Complaint Procedure.
- B. Employees and applicants shall not be subjected to harassment, intimidation or any type of retaliation because they have (1) filed a complaint; (2) assisted or participated in an investigation, compliance review, hearing or any other activity related to the administration of any federal, state or local law requiring equal employment opportunity; (3) opposed any act or practice made unlawful by any federal, state or local law requiring equal employment opportunity; or (4) exercised any other legal right protected by federal, state or local law requiring equal opportunity.



Carlton County, Minnesota Facility Closing Policy and Procedure

Adopted: November 10, 2015

Revised:

Facility Closing Policy and Procedure

Purpose

The purpose of this policy is to provide guidelines to all non-essential Carlton County employees when a closure or delay in opening of Carlton County facilities has been declared.

Policy

When natural disasters or other unforeseen circumstances result in the closure or delay in opening of any Carlton County facility, it is the responsibility of all non-essential County employees to confirm if and when County facilities are open to the public for business prior to reporting to work.

Definitions

Alternative work site – any location other than an employee's regularly assigned work site where official work can be performed by the employee.

Carlton County facility – any building owned or rented by Carlton County.

Essential employee – any Carlton County employee designated as required to work in order to provide essential services to the public involving health, welfare and public safety, as determined by the department head after taking into consideration the circumstances of the situation.

Non-essential employee – any Carlton County employee not designated as required to work in order to provide essential services to the public involving health, welfare and public safety.

Procedure

1. Carlton County conducts uninterruptible operations that are required to maintain public safety regardless of conditions. These operations include, but may not be limited to, the operations of Emergency Management, the Sheriff's Office, the Jail, 911 Communications, and Highway Maintenance.
2. Standard County operations may be temporarily suspended when, due to a natural disaster or other unforeseen circumstances, the risks and potential hazards outweigh the benefits of continuing standard operations.
3. When circumstances require and allow for consideration of suspending standard operations, the following procedures will be followed:
 - a. As soon as a potential facility closing event arises, the County Coordinator will research the need to potentially close County facilities.
 - i. If the Coordinator is unavailable, the responsibility is that of the County Sheriff.
 - ii. The Chair of the Board and/or the County Sheriff may determine if any Carlton County facility is unsafe and employee attendance prohibited.
 - b. As conditions warrant, the County Coordinator or designee will confer with the County Sheriff, the County Engineer, and the PH&HS Director.
 - c. If a need to possibly close Carlton County facilities is determined, the Chair of the Board will be notified. In the absence of the Chair, the Vice-Chair will be contacted.
 - d. In concurrence with the staff designated, the County Coordinator or designee will insure the following notification procedures are implemented:
 - i. Local radio and television stations will be contacted, if possible prior to 6:00 a.m., to inform them that Carlton County facilities will be closed. The day, date and reason for closure will be provided.
 - ii. The County Sheriff will designate the necessary staff to send notice to all County employees via the Everbridge notification system.
 - iii. The IT Director will remotely lock the automatic doors at the courthouse, add an announcement to the Carlton County website stating that Carlton County facilities will be

- closed, and send an email to all staff providing notice that Carlton County facilities will be closed. Court System and Probation staff will also be notified via email.
- iv. The PH&HS Director will lock the automatic doors at the Community Services Building.
 - v. Each department head will determine the need to contact his/her employees individually.
4. In the event a Carlton County facility is closed due to a natural disaster or other unforeseen circumstances, County employees should follow the following procedure prior to reporting to work:
- a. Essential employees in the Sheriff's Office and IT Department will contact their department head or designee directly. The Maintenance Superintendent will contact essential employees in the Highway Maintenance Department.
 - b. Non-essential County employees should listen to a local radio station (WKLK, 96.5 FM or 1230 AM; WMOZ 106.9 FM; or KDAL 95.7 FM or 610 AM), view a local television station, check their County email via the internet, or check the County website. Employees will also receive notice via the Everbridge notification system.
 - c. If a Carlton County facility is closed and/or employee attendance prohibited, non-essential employees will have the following options: 1) utilize accrued vacation or personal leave; or 2) take leave without pay; or 3) make up the lost time as agreed to and scheduled by the employee's supervisor and/or department head and in accordance with the Fair Labor Standards Act. Essential employees required to work will be compensated pursuant to their respective collective bargaining agreement.
 - d. If a Carlton County facility is closed and an employee was scheduled at an alternative work site for that day, the employee may choose to utilize vacation or personal leave, to the extent they have such time accrued, or work their scheduled hours at the alternative work site and be compensated accordingly.
 - e. Employees covered by a collective bargaining agreement whose contract includes specific provisions for the emergency release of employees from duty in the event of natural disasters or other unforeseen circumstances shall be governed by and act in accordance with the provisions contained in the current contract. If the situation occurring is not covered under the collective bargaining agreement, the employees will be subject to the policies and procedures set forth herein.
5. This policy will be construed consistent with State and Federal law.



Carlton County, Minnesota Family Medical Leave Act Policy

Adopted: June 9, 2015

Revised: March 17, 2015

Family Medical Leave Act Policy

Purpose

The purpose of this policy is to provide guidelines to all Carlton County employees on rights and responsibilities under the Federal Family Medical Leave Act (FMLA), as well as to provide guidelines for supervisors on implementation of the FMLA.

Policy

Each year (the 12-month period measured forward from the first date leave is necessary), Carlton County will provide up to 12 weeks of unpaid, job-protected leave to eligible employees for certain family and medical reasons consistent with the FMLA, relevant State law, and collective bargaining agreements. In addition, an eligible employee is entitled to 26 work weeks of leave in a single 12-month period to care for a covered servicemember or covered veteran with a serious injury or illness. The employer's contribution to the employee's health insurance will continue for the duration of the approved FMLA leave.

Definitions

Covered servicemember – a current member of the Armed Forces, including a member of the National Guard or Reserves, who is undergoing medical treatment, recuperation, or therapy; is otherwise in outpatient status; or is otherwise on the temporary disability retired list for a serious injury or illness. For purposes of servicemember or veteran caregiver leave, a serious injury or illness is one that is incurred by a servicemember in the line of duty on active duty that may cause the servicemember to be medically unfit to perform the duties of his or her office, grade, rank, or rating. A serious injury or illness also includes injuries or illnesses that existed before the servicemember's active duty and that were aggravated by service in the line of duty on active duty.

Covered veteran – a veteran undergoing medical treatment, recuperation, or therapy for a serious injury or illness is a covered veteran if he or she was a member of the Armed Forces, including a member of the National Guard or Reserves, was discharged or released under conditions other than dishonorable and was discharged within the five year period before the eligible employee first takes FMLA military caregiver leave to care for him or her.

Eligible employee – Carlton County employee who has completed at least one (1) year of service and has worked at least 1,250 hours over the previous 12 months

Health care provider – a doctor of medicine or osteopathy who is authorized to practice medicine or surgery (as appropriate) by the State in which the doctor practices; or any other person determined by the Secretary of Labor to be capable of providing health care services.

Intermittent leave – leave taken, when medically necessary, in separate blocks of time due to a single qualifying reason (e.g., to attend a periodically scheduled treatment for a chronic condition)

Parent – a biological, adoptive, step or foster father or mother or any other individual who stands or stood *in loco parentis* to an employee when the employee was a son or daughter. Persons who are "*in loco parentis*" include those with day-to-day responsibilities to care for and financially support a child or, in the case of an employee, who had such responsibility for the employee when the employee was a child. This term does not include parents "in law."

Qualifying exigency – occurs while the employee's spouse, son, daughter, or parent is on covered active duty or call to covered active duty status (or has been notified of an impending call or order to covered active duty). The following are qualifying exigencies:

- A. Short notice deployment
- B. Military events and related activities
- C. Childcare and school activities
- D. Financial and legal arrangements

- E. Counseling
- F. Rest and recuperation
- G. Post deployment activities
- H. Parental care
- I. Additional activities which arise out of the active duty or call to active duty status

Reduced schedule leave – leave taken, when medically necessary, in the form of a regular reduction in scheduled work hours and on call periods, due to a single qualifying reason (e.g., a medical condition precludes performing job functions for greater than 6 hours per day)

Serious health condition – an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee’s job, or prevents the qualified family member from participating in school or other daily activities.

Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than three (3) consecutive calendar days combined with at least two (2) visits to a health care provider or one (1) visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

Son or daughter – a biological, adopted, or foster child, a stepchild, a legal ward, or a child of a person standing *in loco parentis*, who is either under age 18, or age 18 or older and incapable of self-care because of a mental or physical disability at the time that FMLA leave is to commence.

Spouse – a husband or wife as defined or recognized under State law for purposes of marriage in the State where the employee resides, including common law and same-sex marriage in States where it is recognized.

Employer and Employee Responsibilities

- A. Eligibility** – To be considered an eligible employee under the FMLA, the employee must have worked for Carlton County for at least one (1) year AND have worked at least 1,250 hours during the 12 months immediately preceding the request. The Fair Labor Standards Act requires employers to count hours of work only, not paid hours such as vacation, holidays, sick pay, or unpaid leave of any kind.
- B. Reasons for Taking a Qualifying Leave**
 - a. For the birth of the employee’s child, and to care for such child.
 - b. For the placement with an employee of a child for adoption or foster care.
 - c. To care for the employee’s spouse, son or daughter, or parent with a serious health condition.
 - d. Because of a serious health condition that makes the employee unable to perform one or more of the essential functions of an employee’s job.
 - e. Because of a qualifying exigency arising out of the fact that the employee’s spouse, son, daughter, or parent is a military member on covered active duty (or has been notified of an impending call or order to covered active duty status).
 - f. To care for a covered servicemember or covered veteran with a serious injury or illness if the employee is the spouse, son, daughter, parent, or next of kin of the covered servicemember.
- C. Response to the Employee’s Request for FMLA Leave** – If the need for FMLA is foreseeable, the employee must notify his/her supervisor and/or the Carlton County Office of Human Resources at least 30 days’ prior to the leave commencing. Where the need for FMLA is not foreseeable, the employee is expected to notify his/her supervisor and/or the Office of Human Resources as soon as practicable. When the supervisor acquires knowledge that an employee’s leave may be for a FMLA-qualifying reason, he/she must notify the Office of Human Resources as soon as practicable. When an employee requests FMLA-qualifying leave, the Carlton County Office of Human Resources must notify the employee of the employee’s eligibility to take FMLA leave within five (5) business days, absent extenuating circumstances.

D. Certification Requirements

- a. The Carlton County Office of Human Resources will request that an employee furnish certification from a health care provider when the requested leave is to care for a family member with a serious health condition or due to the employee's own serious health condition. This certification must be returned to the Office of Human Resources within fifteen (15) calendar days.
 - b. In most cases, the Office of Human Resources will request the certification at the time the request for leave is made, or in the case of an unforeseen leave, within five (5) business days after the leave commences.
 - c. If the Office of Human Resources finds that any certification is incomplete or insufficient, it will advise the employee, and will state what additional information is needed. Incomplete or illegible documentation may result in a delay or denial of FMLA leave.
 - d. If the required certification is not returned, the FMLA leave may be denied. In all cases, it is the employee's responsibility to provide a complete and sufficient certification.
 - e. Carlton County will require a fitness for duty certificate in advance of the employee's anticipated return to work.
 - f. Employees will be required to provide annual recertification for their own or a family member's serious health condition lasting more than one year, including chronic/lifelong conditions.
- E. Designating Leave** – When the Office of Human Resources has enough information to determine whether the leave is being taken for a FMLA-qualifying reason (i.e., after receiving a completed certification), the designated Office of Human Resources staff will notify the employee of its determination within five (5) business days absent extenuating circumstances. The employee's immediate supervisor and payroll will also be notified.
- F. Use of Leave** – An employee may utilize FMLA leave on a consecutive or intermittent basis, or on a reduced schedule if medically necessary. This determination is made on the basis of the information provided by the health care provider in the completed certification. Employees must make a reasonable effort to schedule FMLA leave as well as notify their supervisor, in advance, for planned medical treatment so as not to unduly disrupt the County's operations.
- G. Substitution of Paid Leave for Unpaid Leave** – All paid leave available to the employee at the time of the FMLA leave request must be used by employees on intermittent or reduced schedule FMLA leave. However, employees on consecutive FMLA leave may choose to retain up to six (6) weeks of paid leave at their discretion.
- H. Job Benefits and Protection**
- a. During a FMLA-qualifying leave, Carlton County continues to pay the employer portion of employee and dependent health insurance. Health insurance is maintained on the same basis as coverage would have been provided if the employee had been continuously employed during the leave period.
 - b. An eligible employee returning from a FMLA-qualifying leave is entitled to be returned to the same position and working condition that the employee held when the FMLA-qualifying leave began, or to an equivalent position with equivalent benefits, pay, and other terms and conditions of employment.
 - c. Leave taken under the FMLA may not be held against an employee in employment actions such as hiring, promotion, or discipline.
- I. Returning to Work from a FMLA-qualifying Leave** – When an employee requests to return to work from a FMLA-qualifying leave, or when a supervisor acquires knowledge that an employee on FMLA-qualifying leave may return to work, the Carlton County Office of Human Resources must be notified in advance of the employee's anticipated return to work date as a fitness for duty will be required.
- a. The Carlton County Office of Human Resources will request, when applicable, that an employee furnish a fitness for duty completed by a health care provider. The required forms will be provided to the employee by the Office of Human Resources as soon as practicable after notice of the employee's anticipated return to work date.
 - b. If the Office of Human Resources finds that any fitness for duty is incomplete or insufficient, it will advise the employee, and will state what additional information is needed. Incomplete or illegible documentation may result in a delay of the employee's return to work.
 - c. Under no circumstances will an employee be allowed to return to work in any capacity until the fitness for duty has been received and reviewed by the Office of Human Resources.

- J. Non-FMLA Medical Leave** – Medical leave of up to six (6) months may be granted upon written request by an employee to the respective Department Head, with final approval by the County Board. A medical leave may be extended an additional six (6) months by following the same procedure but may not exceed twelve (12) months total.
- a.** Requests must include a written statement from a health care provider indicating the medical necessity of the leave and the anticipated timeframe the employee will be unable to work.
 - b.** A non-FMLA medical leave will be effective once all accrued sick leave has been utilized.
 - c.** An employee's medical and life insurance benefits will remain in effect, at the County's expense, for thirty (30) days after the start of the medical leave. An employee may elect to continue medical coverage and life insurance beyond this period by purchasing coverage under the County plan for a period of up to eighteen (18) months at the employee's expense.



Carlton County, Minnesota Health Equity Policy

Adopted: March 10, 2020

Revised:

Health Equity Policy

Purpose

The purpose of this policy is to provide high-level guidance for the inclusion of health equity in all policies, procedures, services, and interventions in Carlton County. Following these equity guidelines, departments will collaborate internally and with community partners and stakeholders to develop policies, procedures, services, and interventions that advance health equity goals.

This policy will serve as guidance for the inclusion of health equity goals into programs, policies, procedures, services, and interventions county-wide, including department specific programs, policies, procedures, services, and interventions.

By applying this policy, Carlton County strives to assure everyone in Carlton County the opportunity to attain their full potential, regardless of race, ethnicity, education, gender, sexual orientation, disability, employment, or the community they live in, supporting its mission to “protect and enhance the quality of life” for all county residents.

Policy

It is the policy of Carlton County to advance health equity by assuring equitable access to opportunities needed to attain optimum health among all county residents by committing to the following, generally:

1. Challenging assumptions and biases.
2. Adapting to new knowledge and new ways of providing services.
3. A focus on the community, including their needs, barriers, opportunities, and input.
4. Collaborating across departments, and alongside stakeholders and community members.
5. Tolerance (accepting differences) and inclusion (shared decision making).
6. Application of a health equity lens in county provided programs and services.
7. Sound stewardship of resources for the greatest impact.
8. Equitable access to resources.
9. To be a leader in health equity for the community.
10. The elimination of health inequities for all Carlton County residents.

Definitions

Health equity – the attainment of the highest quality of life for all people regardless of race, ethnicity, education, gender, sexual orientation, disability, employment, or the community they live in. Achieving health equity requires valuing everyone equally with focused and ongoing societal efforts to address avoidable inequalities, historical and contemporary injustices, and the elimination of health and health care disparities.¹

Social determinants of health – conditions in the social and physical environment in which people are born, live, work, play, worship, and age that affect a wide range of health, functioning, and quality of life risks and outcomes. The social environment refers to social, economic, and cultural norms, patterns, beliefs, processes, policies, and institutions that influence the life of an individual or community. The physical environment refers to both the natural and human-made environments and how they affect health.²

Health equity lens – A systematic way of viewing the current state (of health conditions, program outcomes, agency policies, materials, and messaging, etc.) for how it either addresses or perpetuates health inequities.²

Health inequity – differences in quality of life between population groups related to unfair, unjust, and avoidable socioeconomic or environmental conditions, public policy or other socially determined circumstances.³

Employer and Employee Responsibilities

Employer responsibilities include monitoring and evaluating programs, policies, procedures, services, and interventions for their inclusion of a health equity lens county-wide.

Employee responsibilities include implementing and updating programs, policies, procedures, services, and interventions in order to assure health equity for Carlton County residents.

Citations

1 CDC - *Health Equity Guide - NCCDPHP: Community Health*. (2019). Cdc.gov. Retrieved 25 September 2019, from <https://www.cdc.gov/nccdphp/dnpao/state-local-programs/health-equity-guide/index.htm>

2 *Search the Data | Healthy People 2020*. (2019). *Healthypeople.gov*. Retrieved 25 September 2019, from <https://www.healthypeople.gov/2020/data-search/Search-the-Data#topic-area=3499>;

3 *Local health department organizational self-assessment for addressing health inequities*, (2019). *Barhii.org*. Retrieved 25 September 2019, from http://barhii.org/download/toolkit/self_assessment_toolkit.pdf

Approval By:

Approval Date

Approval By:

Approval Date:



Carlton County, Minnesota

Lactation Support Policy for Breastfeeding Employees

Adopted: August 12, 2014

Revised: May 12, 2020

Lactation Support Policy for Breastfeeding Employees

Purpose

In accordance with Minnesota Statute 181.939 and in recognition of the well documented health advantages of breastfeeding for infants and mothers, Carlton County has deemed it imperative to provide a supportive environment to enable breastfeeding employees to express their milk during work hours. This includes a county-wide lactation support program to be developed and administered through the Carlton County Human Resources (HR) Department in conjunction with the Carlton County Public Health & Human Services (PH&HS) Department.

Policy

Carlton County subscribes to the following worksite lactation support policy. This policy shall be communicated to all current employees upon its initial adoption and shall be provided to all expectant mothers. It is expected that all employees will assist in providing a positive atmosphere of support for breastfeeding employees.

Employer and Employee Responsibilities

Carlton County, as the Employer, shall provide all of its employees who choose to continue with the breastfeeding of their children after returning to work with the following resources:

- **Milk Expression Breaks**

Breastfeeding employees shall be allowed to breastfeed or express milk during work hours using their normal breaks and meal times. For time that may be needed beyond the usual break times, employees may use personal leave or may make up the time as negotiated with their supervisor.

- **Lactation Room**

A lactation room, other than a restroom, that is shielded from view and free from intrusion from coworkers and the public, will be provided for employees to breastfeed or express milk. The room will be private and sanitary, and shall have an electrical outlet. The door to the room shall have a lock and signage to provide for privacy. If employees prefer, they may also breastfeed or express milk in other comfortable locations agreed upon in consultation with the employee's supervisor. Expressed milk can be stored in County refrigerators. Employees must label all expressed milk. Breastfeeding employees are responsible for keeping milk expression areas clean. When more than one breastfeeding employee needs to use a designated lactation room at the same time, room usage shall occur on a first-come, first-served basis. The use of sign-up sheets can be implemented if the need arises.

- **Breastfeeding Equipment**

Employees may use their own equipment or may contact Public Health's WIC or Parent Child Health Teams to review a list of breastfeeding equipment and resources available to rent or purchase, or to ask questions or seek assistance. Interested employees would be expected to arrange for this during their personal time.

- **Education**

Prenatal and postpartum breastfeeding classes and informational materials are available for all mothers and fathers, as well as their partners. PH&HS public health nurses who are lactation specialty certified are available to provide this education in a confidential one on one setting at work or on a home visit. Interested employees would be expected to arrange for this during their personal time.

- **Communication with the HR Department, department heads and supervisors**

Employees who wish to express milk during the work period shall keep their supervisors, department heads and the HR Department advised of any necessary requests to ensure that appropriate accommodations can be made to satisfy the needs of both the employee and the County. The HR Department is expected to coordinate implementation and maintenance of this policy with department heads and supervisors.



Carlton County, Minnesota Limited English Proficiency (LEP) Policy

Adopted: April 9, 2019

Revised:

Limited English Proficiency (LEP) Policy

Policy

It is the policy of Carlton County to ensure equal access to County services for all eligible persons. Carlton County will not deny access to County services to any eligible person because they do not speak or understand English or speak limited English. Accordingly, Carlton County will take reasonable steps to ensure that persons with limited English proficiency receive the language assistance necessary to allow meaningful access to County services, free of charge, in a way that preserves confidentiality, and in a timely manner.

NOTE: Carlton County Public Health & Human Services (PHHS) has an agency LEP policy specific to the requirements of the Minnesota Department of Human Services (DHS) and its programs. PHHS staff are expected to comply with their agency policy and procedures.

Definitions

Limited English Proficiency (LEP): a person has Limited English Proficiency when they are not able to speak, read, write or understand the English language at a level which allows effective interaction with Carlton County staff.

Interpretation: the act of observing a communication in one language (source language) and orally, through sign or written communication converting it to another language (target language) while retaining the same meaning.

Translation: a written document provided in a different language than the original document.

Vital document: a document or material is considered vital if it contains information that is critical for accessing a federal fund recipient's services or benefits, or is required by law. Vital documents include, but are not limited to: applications; consent forms; letters containing information regarding eligibility or participation criteria; notices pertaining to the reduction, denial or termination of services or benefits; notices that require a response from beneficiaries; documents that advise of free language assistance.

Procedures

- A. Staff will initiate an offer for language assistance to persons who have difficulty communicating in English, or when a person asks for language assistance. Whenever possible, staff members are encouraged to follow a person's preferences.
- B. Carlton County will utilize services that ensure the training and competency of interpreters. To be competent to provide interpreter services, the interpreter must: be certified; be proficient in both English and the target language; be able to convey information in both languages accurately; have completed orientation/training that includes the skills and ethics of interpreting; have basic knowledge in both languages of specialized program terms or concepts; be sensitive to the client's culture. Interpreters from the community will be informed of the above definition and will be asked to self-certify that they are competent interpreters.
- C. To the extent possible, staff should use the following language assistance services in the order set out below.
 1. Telephone interpreter services – Carlton County has arranged to use a telephone interpreter service titled, "The Language Line." Each department is responsible for the cost incurred in utilizing this service. The State of Minnesota provides training on the use of this service.
 2. In-person interpreter services – When requested, in-person interpreter services are to be provided at no cost to a LEP person; each department is responsible for the cost incurred in utilizing this service. Appendix B contains a list of companies that provide local certified interpreters and their contact information, in order of preference. Staff should contact the company, not the interpreter. Appendix C is a sample contract that outlines interpreters' responsibilities with respect to non-disclosure of information, status as an independent contractor, compliance with non-discrimination laws, and records, auditing and retention of information.

In addition, advocacy, training and consultation are available through Deaf and Hard of Hearing Services, a division of DHS. Staff can be reached at 1-888-234-1322 (voice) or 1-866-488-3833 (TTY).

3. Using Family and/or Friends as Interpreters – Staff should accommodate an individual's wish to have family or friends serve as interpreters whenever possible. However, staff must be mindful of both confidentiality and interpreter competency and should also follow the rules set out below.

Use of family or friends as interpreters could result in a breach of confidentiality or reluctance on the part of an individual to reveal personal information critical to their situation. Family and friends may not be competent to act as interpreters because they not be proficient enough in both languages, may lack training in interpretation, may not be objective, and/or have little familiarity with specialized program terminology.

If an individual still prefers a family member or friend to interpret after Carlton County has offered free interpreter services, staff may use the family member or friend if doing so will not compromise the effectiveness of the interpretation and/or violate confidentiality. Carlton County staff should document the offer of interpreter assistance and the fact that the offer was declined. Even if an individual elects to use a family member or friend as an interpreter, Carlton County staff should suggest that a trained interpreter listen in on the interview to ensure accurate interpretation.

Carlton County staff must consider the requirements of the Minnesota Data Practices Act when determining whether or not, or in what capacity, a family member or friend may be used to interpret.

4. Using Minor Children as Interpreters is Prohibited – Carlton County staff may never use minor children as interpreters.
 - D. In emergency situations, or when programs require access to services within short timeframes, Carlton County will take all reasonable steps necessary to ensure that all persons, including persons with LEP, have access to services within appropriate timeframes.
 - E. Carlton County staff must assist an individual with LEP who does not read his/her primary language to the same extent that staff would assist an English speaker who does not read English.

Minnesota Data Practices Act

The Minnesota Data Practices Act requires the maintenance of private data collected in the course of conducting business. Some of the information collected regarding customers or clients may be private data. This data may not be released to anyone other than the client, Carlton County employees, the agents of Carlton County, or others authorized by the courts or federal law, without the client's written, informed consent.

For purposes of the Data Practices Act, organizations and persons who contract to provide translation and interpretation services to Carlton County customers or clients are considered agents of Carlton County. They may be privy to private data and are bound by the same requirements for confidentiality as are Carlton County employees.

Notice of Right to Language Assistance

Carlton County staff must inform all persons with LEP of the right to free interpreter services; such services must be provided in a timely manner, and must be available during Carlton County business hours.

Carlton County will use "I Speak" cards to help persons with LEP identify their languages needs for staff. Carlton County will also display "I Speak" posters to help staff inform individuals that language interpreters are available at no cost to them.

Translation Plan

Carlton County will translate vital documents and vital information contained in its documents and materials into the non-English languages of those language groups when a significant number or percentage of the population is eligible to be served or likely to be directly affected by Carlton County's programs, services or information in a language other than English to communicate effectively. The significant number that will trigger translation is 1000 individuals within a LEP language group.

Dissemination of LEP Policy

The LEP policy will be posted for public review on the Carlton County external website as well as on bulletin boards located throughout the county. The LEP policy will be posted in English; however, interpreters will be made available to interpret the policy for those who do not read or speak English. The words "Limited English Proficiency Policy," or something to that effect, in all appropriate languages, will be posted next to the LEP policy so persons with LEP know that such a plan exists and that they may seek assistance to read it.

LEP Training for Staff

The County Coordinator's Office is responsible for providing training on the LEP policy to Carlton County staff on a biannual basis. This training will include information on Carlton County's legal obligation to provide language assistance to clients or customers with LEP and the substance of Carlton County's LEP policy. New hires will receive training on the LEP policy at the time of new employee orientation. Carlton County PHHS staff are trained annually on the use of interpreter services consistent with DHS requirements.

LEP Monitoring

Carlton County will conduct an evaluation of its LEP policy and procedures annually. The evaluation will consider the overall effectiveness of the LEP policy and procedures, with the County making adjustments accordingly. The evaluation will also determine whether new languages should be added and/or whether existing languages should be removed based on an assessment of the non-English languages that are most predominant in Carlton County. The County Coordinator's Office will lead the evaluation activities with the assistance of designated staff persons familiar with the LEP policy and procedures.

Carlton County's annual evaluation of its LEP policy and procedures will include the following activities:

- Assessment of the number of persons with LEP who have been served;
- Assessment of the current language needs of individuals with LEP to determine whether they need an interpreter and/or translated materials to communicate effectively with staff, updating files which lack information about an individual's language needs, and confirming information with individuals regarding their language preference at recertification;
- Determining if existing language assistance services are meeting the needs of LEP persons;
- Assessing whether staff members understand Carlton County's LEP policy and procedures, how to carry them out, and whether language assistance resources and arrangements are still current and accessible;
- Seeking feedback from LEP communities, including clients, customers, community organizations and advocacy groups working with LEP communities, about the effectiveness of Carlton County's LEP policy and procedures.

Contact Information

Questions and/or complaints should be directed to the County Coordinator's Office at (218)384-9190.

Appendix A
Helpful Hints for Using Telephone Interpreters

1. Tell the interpreter the purpose of your call. Describe the type of information you are planning to convey.
2. Enunciate your words. Try to avoid contractions, which can be easily misunderstood as the opposite of your meaning (e.g., “cannot” rather than “can’t,” which is easily misunderstood as “can”).
3. Speak in short sentences, expressing one idea at time.
4. Speak slower than your normal talking speed, pausing after each phrase.
5. Avoid the use of double negatives (e.g., “If you don’t appear in person, you won’t get your benefits.” Instead, “You must come in person in order to get your benefits.”).
6. Speak in the first person. Avoid the “he said/she said.”
7. Avoid using colloquialisms and acronyms. If you must do so, please explain their meaning.
8. Provide brief explanations of technical terms or terms of art.
9. Pause occasionally to ask the interpreter if they understand the information that you are providing, or if you need to slow down or speed up in your speech patterns. If the interpreter is confused, so is the client.
10. Ask the interpreter if, in his/her opinion, the client seems to have grasped the information that you are conveying. You may have to repeat or clarify certain information by saying it in a different way.
11. ABOVE ALL, BE PATIENT – with the interpreter, the client and yourself!
12. Thank the interpreter for performing a very difficult and valuable service.

Appendix B
In-Person Interpreters and Translators

1. CSD (Communication Services for the Deaf, Inc.) is the preferred interpreter service in the Carlton County area. Information can be found at <http://www.csd.org>. To request Certified Interpreter services, call (651)224-6548.
2. ASL Interpreting Services maintains essentially the same list of local interpreters as CSD. Information can be found at <https://aslis.com>. Call (763)478-8963 or 1-866-275-3323.
3. Clarity Interpreting Services, LLC also maintains essentially the same list of local interpreters. Information can be found at <http://www.clarity4all.com>. Call (218)340-6526.

Appendix C
AGREEMENT FOR INTERPRETIVE SERVICES BETWEEN
CARLTON COUNTY AND

(Name of Interpreter)

THIS AGREEMENT is made and entered into between the COUNTY OF CARLTON, a body corporate and politic existing under the laws of the State of Minnesota, hereinafter referred to as "County," and _____ (Name of Interpreter), hereinafter referred to as "Contractor."

WITNESSETH:

WHEREAS, the County wishes to purchase the services of Contractor for the purposes of facilitating communication between a client/customer and the County; and

WHEREAS, the Contractor has the training, experience and knowledge necessary to provide this interpreting service; and

WHEREAS, there are funds available for the purchase of this service.

NOW, THEREFORE, the parties agree as follows:

1. SERVICES TO BE PROVIDED

The Contractor agrees to provide the following interpretive services:

2. PAYMENT

The County will pay Contractor \$_____ for services provided pursuant to this Agreement. Contractor shall invoice County, detailing the services rendered. The County shall pay, within 30 days of receiving and approving the invoice.

3. NON-DISCLOSURE OF INFORMATION OR DATA

Pursuant to Minnesota Statutes Chapter 13 (Minnesota Government Data Practices Act), Contractor agrees to maintain and protect data on individuals received, or to which the Contractor has access, according to the statutory provisions applicable to the data. No private, public or confidential data developed, maintained, heard or reviewed by Contractor under this Agreement may be released to the public or to anyone by the Contractor, its employees or representatives.

It is further understood that Contractor shall not, unless otherwise authorized by County, disclose any information to the media or other this parties relating to the specific details of any documents, discussions or meetings which may arise during the performance of services under this Agreement. All requests for data or information from third parties shall be directed to the County for response.

4. INDEPENDENT CONTRACTOR

It is specifically understood that Contractor, its employees and representatives, are and shall remain independent contractors with respect to any and all work performed under this Agreement. Nothing contained herein is intended or should be construed in any manner as creating or establishing the relationships of agents, partners or joint ventures or associates between the Contractor, its associates or staff, and employees of the County, for any purpose or in any manner whatsoever. Contractor acknowledges and agrees that Contractor and its employees are not entitled to receive any of the benefits received by County employees and are not eligible for workers' or unemployment compensation benefits under this Agreement. Contractor also acknowledges and agrees that no withholding or deduction for State or Federal income taxes, FICA, FUTA, or

otherwise will be made from the payments due Contractor and that it is Contractor's sole obligation to comply with the applicable provisions of all Federal and State tax laws.

5. COMPLIANCE WITH NONDISCRIMINATION LAWS

Contractor agrees to comply with all federal, state and local laws, ordinances, rules and regulations pertaining to unlawful discrimination.

6. RECORDS, AUDITING AND RETENTION

Contractor's bonds, records, documents, papers, accounting procedures and practices, and other evidence relevant to this Agreement are subject to the examination, duplication, transcription and audit by the County and either the legislative or State Auditor, pursuant to Minn. State. § 16C.05, subd. 5. Such evidence is also subject to review by the Comptroller General of the United States, or duly authorized representative if federal funds are used for any work under this Agreement. Contractor agrees to maintain such evidence for a period of six (6) years from the date of services or payment last provided, or longer, if any audit in progress requires a longer retention period.

7. NOTICES/COMMUNICATION

Contractor shall contact _____ with any questions, notices or other communication arising under this Agreement.

8. FINAL AGREEMENT

This agreement is the final expression of the agreement of the parties and the complete and exclusive settlement of the terms agreed upon, and shall supersede all prior negotiations, understandings or agreement. There are no representations, warranties or stipulations, either oral or written, not herein contained.

IN WITNESS WHEREOF, the parties have executed this Agreement on the dates written below.

CONTRACTOR _____

COUNTY OF CARLTON

BY: _____

BY: _____

TITLE: _____

TITLE: _____

Date: _____

Date: _____

APPROVED AS TO FORM & EXECUTION

BY: _____

County Attorney

Date: _____



Carlton County, Minnesota

Adopted: July 14, 2015

Revised:

Lobbying Policy for Carlton County Employees

Purpose

Carlton County values working with elected officials to adopt a common vision. Carlton County supports civic engagement by staff and encourages staff to engage in the shaping of legislation within the guidelines set forth in this policy.

The following protocols are intended to assist staff in implementing these values and will guide the participation of Carlton County employees in the legislative process at the state and the federal level. (*This statement of protocols does not attempt to guide actions of any elected officials; it would be inappropriate to do so.*)

Three general guidelines are applicable to each of the protocols listed below. These are:

- *The standing practice of Carlton County is that the last position approved by the Board of Commissioners is considered to be the position of the Board with respect to an issue. Therefore, if the Board has not adopted a position for the current year but has established a position previously – such as in the prior year - the previous policy can be considered to represent the position of the Board of Commissioners. Judgment must be used in applying this rule, however. If there have been significant changes in circumstances which you think could lead the Board to a new conclusion, you should discuss this position with your department head before stating the Board’s position.*
- *Throughout this statement of protocols, we will refer to contacting your department head with information about the legislative process. This is necessary due to time constraints imposed by the legislative process. These protocols are not intended to supersede usual reporting relationships to department heads or supervisors; they must be kept informed of your activities as well. It is assumed you will do this in the usual course of business.*
- *Senior staff regularly involved with the legislative process (e.g., department heads or County Coordinator) appreciate being informed of as many legislative communications as possible which relate to issues of concern to Carlton County, even where they are outside of your professional responsibilities. These reports help the County gain the best possible picture of what legislators are thinking with respect to issues of concern to the County. We encourage you to provide any such information to senior staff who are involved in the legislative process on behalf of the County.*

Protocols

1. **On your own time**, you may represent your personal/professional views on the legislative process. This is your right.
“On your own time” means before or after normal working hours or on leave time requested and approved by your supervisor. Your supervisor has the right to deny a request for leave time.

The “*Legislative process*” includes discussions with legislators (state and federal) intended to help them form an opinion about an issue or proposal, testimony at legislative (including Congressional) hearings, letters or written statements to legislators (or legislative or Congressional staff) which are intended to help form an opinion about an issue or proposal, or similar communications. It does not include casual conversations with legislators or legislative staff (e.g., where they may be personal friends or acquaintances). When you choose to participate in the legislative process **on your own time** you are *required* to inform your department head when your participation is directly related to your professional responsibilities to the County, and contains information acquired primarily through job duties with the County.

When you choose to participate in the legislative process on **your own time** you are still asked (but are not required) to inform your department head when your participation is not related to your professional responsibilities with the county but is related generally to your profession.

When you are planning to testify or to make direct contact with a legislator or legislative staff person, **on your own time**, you are asked to please inform your department head in advance. You are asked to inform them with respect to what you will be testifying about (or the reason for your contacting a legislator or legislative staff person) and if your testimony is expected to conflict with County policy.

In your testimony, you are expected to make it clear that you are testifying (or making the contact) on your own behalf or on behalf of an organization (e.g., a professional association) and that you are not speaking on behalf of Carlton County. You may not use County letterhead for correspondence when you are involving yourself in the legislative process **on your own time**.

You are not required to inform the department head of your participation in the legislative process where your participation is unrelated to your profession or professional responsibilities with the County. However, you should not indicate in any way that you are representing Carlton County policies (for example do not use County letterhead for such communications) or use your employment with the County to add credibility to your position.

- 2. When you participate in the legislative process as part of your employment with Carlton County** (i.e. as a part of your job or during working hours), it is your responsibility to represent the County’s position. You are expected to confine your efforts to the County’s legislative agenda and policy positions consistent with those established by the Board of Commissioners.

You are expected to inform your department head *in advance* about (1) the issue which you intend to address, (2) what your position will be, and (3) the consistency of this position with County policies. If advance notice is not possible – e.g., as the result of an immediate request from a legislator – you should inform your department head as soon as possible.

Do not presume to speak for the County Board; if there is any doubt about the Board’s position, please check with your department head. (If your department head is not available, please contact the County Coordinator.) If the Board has not established a position and there is not sufficient time to bring the matter to the Board for action, it may be necessary to receive guidance from the County Coordinator and/or the Board Chair.

3. **When you participate in the legislative process as a part of a professional organization of which you are a member and you plan to represent the organization's position which is the same as that of Carlton County**, you are expected to follow the same procedure as outlined in (2) above. If you are uncertain about whether the County has established a policy in the area you are addressing a legislator, staff member or committee, you should contact your department head prior to representing the organization. If your department head is not available, please contact the County Coordinator.

To avoid any confusion in your statement, you should clearly identify for whom you are speaking (or writing) in making legislative contacts. It is not the responsibility of the person (or committee) you are addressing to sort this out. Do not use County letterhead when writing to legislators or legislative staff on behalf of an organization.

4. **Where you are participating in the legislative process as part of your professional capacity at the request of a legislator and the position which you will take is not consistent with County policies**, you are expected to note in your statement that you are participating as a professional in your field and not as a representative of Carlton County. Such participation is expected to be on your own time. You are expected to communicate your participation and the nature of your statements to your department head.

Do not use County letterhead when writing to a legislator or legislative staff on behalf of a position which is not consistent with County policies.

5. From time to time **legislators or legislative staff may request information directly from you about your programs or on other matters on which they may feel that you are informed**. When such requests are received, we should strive to respond as rapidly as possible. You are encouraged to work with legislators to assure they have the most accurate information about your programs. However, you should notify your department head of the request. When the request does not fall within your area of expertise, determine with your Department Head how the request might best be handled. Legislators and legislative staff will rely on your responses. Please be careful and accurate in your responses. If you are uncertain, check your facts before responding.

When a request for information from a legislator (or legislative staff person) shifts to a request for the County's position on a given matter, you are expected to respond consistent with County policy. "Consistent with County Policy" means either consistent with the legislative program adopted for the year or with previous positions taken by the Board.

From time to time, based on your professional judgment, it may be necessary – to offer your opinion on how the Board of Commissioners may react to a proposal on which the Board does not have a current or previous position (e.g., in response to a direct question from a legislator). In such instances, you are authorized to respond based on your knowledge and experience, but you also must (1) clearly state that you are offering only *your* opinion about the Board's reaction and (2) as soon as possible inform your department head of the issue and your response to it.

6. **Non-Elected department heads** are expected to keep the Chair of the Board and/or the Chair's designee informed of the legislative activities of their staff. Weekly legislative work group meetings during the legislative session will provide an avenue for such information sharing, although more immediate communication may be required.



Carlton County, Minnesota Nepotism Policy

Adopted: May 12, 2015

Revised:

Nepotism Policy

Purpose

This policy establishes guidelines on personal relationships between County employees which give rise to actual or perceived conflicts of interest with professional responsibilities and/or which create the potential for an adverse impact on County operations, safety, efficiency and morale.

As an organization heavily dependent upon its human resources, Carlton County has a vital interest in the maintenance of harmonious, efficient, and productive working relationships between its employees. Personal relationships that cause unrest, lend themselves to the perception of favoritism, adversely affect morale, or otherwise disrupt the good working order of County operations are undesirable.

Policy

This policy establishes guidelines on personal relationships between County employees which give rise to actual or perceived conflicts of interest with professional responsibilities and/or which create the potential for an adverse impact on County operations, safety, efficiency and morale.

It is the policy of Carlton County that the most qualified candidates will be selected for employment, for promotions and for assignment to specialized positions. Carlton County recognizes the rights of employees to become involved in personal relationships with their co-workers. However, it is the policy of Carlton County to ensure employees carry out their duties with impartiality and fairness so that public and organizational confidence in the actions of our employees is maintained. Public trust, workplace safety, county operations and employee morale require avoiding the appearance of, or actual conflict of interest between an employee's professional responsibilities and an employee's involvement in a significant relationship with other employees. In order to promote efficient county operation and avoid misunderstandings, complaints of favoritism, sexual harassment, gender-based discrimination, or other problems, all employees are instructed to avoid situations that give rise to an actual or perceived conflict.

Definitions

Closely related by blood or marriage: includes, but is not limited to spouse, children (whether dependent or independent), parents, grandparents, siblings, aunts, uncles, in-laws, step-children, step-parents, step-grandparents, step-siblings, step-aunts, step-uncles, and other persons related by blood or marriage who reside in the same household.

Significant relationship: For purpose of this policy, significant relationship is a relationship involving employees who are dating, engaged in a romantic relationship or cohabitating, or who are business associates.

Business Associates: parties who are joined together in a relationship for mutual financial gain or acting together to pursue a common business purpose or enterprise.

Supervisor: An employee who has direct authority over another employee by virtue of their rank or job classification.

Subordinate: An employee who is answerable to another employee based on their rank or job classification.

Procedure

A. Hiring, promotion and assignment to specialized positions:

- a. Employees who are closely related by blood or marriage to or involved in a significant relationship with a candidate for hiring selection, promotion or assignment to specialized positions shall not be involved in the selection process.



Carlton County, Minnesota Personal Appliance Policy

Adopted: November 10, 2015

Revised:

Personal Appliance Policy

Purpose

This policy sets standards for evaluation, acquisition, and installation of approved appliances at Carlton County facilities. This policy applies to all Carlton County facilities, including buildings owned and/or rented by Carlton County.

Definitions

Appliance: any item that requires an electrical connection or a power source for operation, including permanent fixtures and temporary devices, other than standard office electronics such as personal computers (PC's), monitors, printers, and related technology items.

County-Furnished Appliances: large commodities such as refrigerators, microwaves, space heaters, coffee services, and personal appliances, such as fans, foot warmers, task lights, or special accommodations that are approved and installed through the Building Maintenance Director.

Employee-Furnished Appliances: devices brought into a Carlton County facility by employees, such as coffee pots, radios, lamps, clocks, decorator lights, fish tanks, water coolers, fans, etc. (Note: Not all appliances are acceptable for installation.)

Responsibility

- **The Building Maintenance Director, Safety Committee, Maintenance Department, or any department head** may require the removal of unauthorized appliances, subject to these responsibilities and procedural guidelines.
- **The Maintenance Department is responsible for providing a safe physical environment** for all employees and for the review, acquisition, funding, installation, and oversight of approved county-furnished appliances at Carlton County facilities. Maintenance provides guidance regarding the appropriateness of any appliance in question.
- **The Building Maintenance Director and department heads** are responsible to review and determine the appropriateness of any employee-furnished appliance in the workplace, and they assume responsibility for safety compliance.
- **Employees must acquire their department head's permission** in advance of installation for any appliance they bring into the workplace. Employees who have unauthorized appliances will be asked to remove them from the Carlton County facility. Any appliances in place prior to the effective date of this policy may be subject to inspection and/or removal and replacement with an approved County-Furnished Appliance, if it is determined they pose a safety risk.

Procedures

- **County-Furnished Appliances (Category 1)** The Building Maintenance Director and the affected department head(s) will evaluate requests for County-Furnished Appliances on a case-by-case basis. County-furnished microwave ovens, refrigerators, or coffee services may be provided in designated employee break areas. Appliances may be placed at locations where employees work overtime or have irregular duty hours, and where nearby food facilities are closed during that time. County-furnished appliances may also include fans, foot warmers, leg warmers, space heaters, and task lights. Installation of these appliances is generally approved if Maintenance Department hot/cold inspections warrant and once other adjustments to the physical work environment have been reviewed by the Maintenance Department and/or the employee's supervisor, as appropriate. Department heads may evaluate the use of an appliance after installation to determine ongoing need.

- **Acceptable Employee-Furnished Appliances (Category 2)** Department heads assume responsibility for any appliance approved for use in the workplace. Small personal appliances must comply with Occupational Safety & Health Administration (OSHA) safety standards and must not pose potential disruptions to the workplace, such as interference with lighting or building power, noise pollution, and/or possible odors generated from stagnant water, lack of cleaning, etc. Appliances in this category may include radios, lamps, or clocks.
- **Unacceptable Employee-Furnished Appliances (Category 3)** Any consideration of a Category 3 appliance requires specific detailed justification (via a Maintenance Care request) and approval of the Building Maintenance Director. Any exception based on medical reasons for placement of unauthorized appliances must be approved by the Human Resources Director as reasonable accommodation. Items such as personal coffee pots, grills, griddles, hot plates, small refrigerators, toaster ovens, popcorn makers, decorator lights (including non-LED holiday string lights), fish tanks and water fountains may cause safety hazards, significant noise pollution, or potential water damage. Cumulative use of these items may cause overload on certain building electrical systems and trigger outages.
- This policy will be construed consistent with State and Federal law.

Office Of The Carlton County Auditor/Treasurer

AUDITOR

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PAUL G. GASSERT

Auditor/Treasurer

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***** RESOLUTION NO. 14-000*****

BY COMMISSIONER:

ADOPTED:

WHEREAS, the Carlton County Board of Commissioners is responsible for the establishment and maintenance of internal controls for the basic operations of the County; and

WHEREAS, one of the basic internal controls to help ensure the accurate reporting of payroll transactions in the County's financial records is having both employee and supervisor signatures on time reports attesting to the validity of time reported as worked; and

WHEREAS, the County currently does not have a policy or procedure addressing the approval of non-elected department heads' time reports; and

WHEREAS, the County Board is aware that the Office of the State Auditor has recommended that the County should adopt a policy or procedure addressing the issue of approval of non- elected department heads' time reports.

NOW, THEREFORE, BE IT RESOLVED that the Carlton County Board of Commissioners does hereby acknowledge the recommendation of the Office of the State Auditor, with respect to the approval of non-elected department heads' time reports and hereby determines that it shall be the policy of the Carlton County Board of Commissioners that the non-elected department heads' time reports shall be attested to by the individual non-elected department head only.

Upon motion by , seconded by , and carried, the above resolution was adopted.

Yea votes: Bodie, Peterson, Olean, Brenner and Proulx

Nay votes: None

Absent: None

I, Paul G. Gassert, Auditor of the County of Carlton, do hereby certify that I have compared the foregoing with the original resolution filed in my office on the day of , 2015, and that the same is a true and correct copy of the whole thereof.

WITNESS MY HAND AND SEAL OF OFFICE in Carlton, Minnesota, this day of , 2015.

Paul G. Gassert
Carlton County Auditor/Treasurer

CARLTON COUNTY PUBLIC HEARINGS
Rules of Procedure and Decorum

Adopted March 8, 2016

PURPOSE: It is recognized that in order to enhance the concept of effective and democratic government, it is essential that Carlton County establish rules of procedure and decorum so that a deliberative process will be observed and not disturbed.

RULES OF DECORUM: In order to conduct orderly and productive meetings, the following rules and guidelines have been established:

1. Please turn cell phones to silent/vibrate prior to start of meeting.
2. All members of the public are allowed to speak during the public comment period. Each member of the public addressing the presiding board shall stand if possible and speak into the microphone provided, if applicable. Each member of the public should state who they are and who they represent if representing an organization or other persons.
3. Unless further time is granted by the Chair of the presiding board, remarks from the public shall be limited to five (5) minutes per speaker. Speakers are requested to respect the time limit so others may have an opportunity to speak and to cease comments immediately upon end-time. Presentations on the board agenda and direct responses to board questions regarding presentations on the board agenda are not so limited.
4. Whenever any group of persons wishes to address the presiding board on the same subject, the chairperson may request that a spokesperson be chosen by the group to address the presiding board.
5. All remarks should be addressed to the presiding board as a body, not to any one member of the presiding board. No remarks should be addressed to members of the audience or county staff.
6. Speakers and audience shall conduct themselves in a respectful manner. Any person indulging in making impertinent, slanderous or profane remarks or gestures or who willfully utters loud, threatening or abusive language, or engages in any disorderly conduct which would impede, disrupt or disturb the orderly conduct of the meeting or public hearing, shall be called to order by the chairperson and, if such conduct continues, may at the discretion of the chairperson, be barred from making any additional comments and may be asked to leave the premises.
7. Audience members are encouraged to refrain from commenting, shouting, booing, clapping, stomping feet or other inappropriate and/or disruptive behavior. Brief clapping is permissible at the end of a speaker's comments.
8. Audience members are encouraged to refrain from private conversation during meetings.
9. Audience should come and go as necessary from meeting space in the least disruptive manner as possible.
10. No campaign placards, banners, or signs will be permitted within the presiding board's chambers. Exhibits, displays, and visual aids used in connection with presentations to the presiding board are permitted.

ENFORCEMENT OF RULES: It is the intent of the presiding board to maintain order and enforce “Rules of Procedure and Decorum” for its meetings. Disregard of these rules will be met with the following consequences:

1. The chairperson will identify out loud the noncompliant behavior and request for the behavior to stop.
2. The chairperson or designee will read out loud the relevant “Rules of Procedure and Decorum.”
3. If the behavior continues, the microphone provided for the speaker, if applicable, will be switched off.
4. If the behavior continues, the offending individual or party may be escorted out of the meeting chambers.

SEVERABILITY: If any section, subsection, sentence, clause, phrase or portion of these “Rules of Procedure and Decorum” is for any reason held invalid or unconstitutional by any court of competent jurisdiction, such portion shall be deemed a separate, distinct and independent provision and such holding shall not affect the validity of the remaining portions thereof.



Carlton County, Minnesota Smoke and Tobacco Free Workplace Policy

Adopted: March 10, 2015

Revised: January 22, 2015

Smoke and Tobacco Free Workplace Policy

Purpose

Carlton County is committed to providing a safe and healthy workplace and to promoting the health and wellbeing of its employees and visitors. As required by Clean Air Act and also motivated by our desire to provide a healthy work environment, all individuals covered by this policy are prohibited from smoking, or using tobacco products except for in designated areas.

Policy

It is the policy of Carlton County to prohibit smoking and to prohibit tobacco use in all county buildings, all space rented by the county and any county vehicle or piece of equipment with the exception of designated smoking or tobacco use areas in order to provide and maintain a safe and healthy work environment for all employees.

Scope

This policy applies to all county employees, consultants, contractors, vendors, customers and visitors to any county facility. This policy applies to all county buildings, all space rented by the county and any county vehicle or piece of equipment. Smoking, the use of tobacco products, or the use of electronic cigarettes is only allowed in designated areas at least twenty five feet from the entrances to any county facility. This policy does not apply to tobacco use as part of a traditional Native American ceremony that has received prior approval through the County Board or its designee, or, in the case of ceremonies at the Carlton County Jail, the Sheriff or their designee.

Definitions

Smoking: Smoking is defined as the inhaling or exhaling of smoke from any lit cigar, cigarette, pipe or other device intended for the inhalation of lit tobacco or other plant product. Smoking also includes the inhaling or exhaling of vapor from an electronic cigarette or similar device. Smoking also includes the carrying of a lit cigar, cigarette, pipe or other device intended for the inhalation of lit tobacco or other plant product.

Tobacco Use: Tobacco Use is defined as the ingestion of any tobacco product whether the tobacco is chewed, smoked, absorbed dissolved, inhaled, snorted, or otherwise ingested.

Tobacco Products: Tobacco Products are defined as any product containing, made or derived from tobacco or similar synthetic or herbal substance and used for human consumption. Tobacco Products include, but are not limited to cigars, cigarillos, cheroots, stogies, periques, plug cut, crimp cut, ready rubbed and other smoking tobacco, snuff, snuff flour, cavendish, fine cut or other chewing tobacco, shorts, refuse scraps, clippings cuttings and sweepings of tobacco, cigarettes and liquid solution of e-liquid.

Responsibilities

All individuals covered by this policy are expected to become familiar with it and to comply with its provisions. New employees will receive a copy of this policy during employee orientation. Current employees will receive a copy of this policy via Email. Supervisors will be asked to discuss this policy with employees. Any questions a supervisor is not able to resolve may be directed to the office of the Carlton County Coordinator.

The public will be informed of this policy via posting of the policy on the Carlton County Website www.co.carlton.mn.us. Visitors to county facilities will be informed of this policy via the posting of the policy in County facilities. Any visitor or non employee violating this policy will be reminded of the policy and asked to comply. If they do not comply, they may be asked to leave. If they refuse to leave, a responsible authority shall address the situation with lawful means.

Complaint Procedure

The report of an employee violating this policy should be brought to the attention of a supervisor to investigate and resolve the report in accordance with the policy. Employees are protected from retaliation for bringing a complaint or making inquiry about this policy.

References

The Minnesota Clean Indoor Air Act. Minnesota Statute 144.411 – 144.417.

Statement of Understanding

I have read and fully understand the terms of this policy.

I understand that any violation of this policy may result in disciplinary action up to and including discharge.

I understand Carlton County reserves the right to make changes to this policy as may be required.

Employee Print Name

_____ Date

Employee Signature



Carlton County Technology, Network, Internet Use and Email Policy

Adopted: October 13, 2020

Revised:

Carlton County Technology, Network, Internet Use and Email Policy

Purpose

Carlton County utilizes computers and computer systems in the work place to facilitate communications, improve employee productivity, and fulfill its government functions.

This policy is intended to provide Carlton County employees with rules and guidelines about the appropriate use of county technology equipment, network, internet access, and email.

Policy

This policy shall apply to all employees of Carlton County, and shall govern all county technology equipment, network, internet use/access, and email on all systems that are owned and connect to Carlton County's network or access or store Carlton County data.

All employees must adhere to the policy. Violation of this policy could result in disciplinary and/or legal action up to and including termination of employment. All employees are required to acknowledge receipt and confirm that they have understood and agree to abide by the rules hereunder.

Department heads shall be responsible for setting specific departmental policies on computer usage within the framework of the overall County policy. Department heads shall also be responsible to establish departmental policies on the creation of data and storage of records consistent with the Minnesota Government Data Practices Act, Minn. Stat. Ch. 13, and the preservation of public records consistent with Minn. Stat. § 138.17, and Minn. Stat. § 15.17.

It is the responsibility of Carlton County employees to utilize Carlton County computers and systems to further the goals of Carlton County in providing services to its citizens. Employees are also responsible for taking all precautions necessary to avoid contamination of the county's computers and systems by software viruses and to prevent the unauthorized use of the County's systems. The IT Department shall be responsible to maintain and operate the County's hardware and software systems. This includes the appropriate backup of systems and information for purposes of disaster recovery. Backup of such a nature is not intended to create data.

County technology and network

Carlton County technology equipment in this policy includes county-issued phones, laptops, desktops, tablets and any other technology equipment that belong to Carlton County.

Employees are responsible for equipment whenever they take it out of their offices. County employees should take all reasonable measures to protect Carlton County owned technology.

Any use of our network and connection must follow confidentiality and data protection standards.

Employees should:

- Keep their passwords secret at all times.
- Log into their county accounts only from safe devices.
- Use strong passwords to log into work-related websites and services.

Employees should also be careful when downloading and opening/executing files and software. If an employee is unsure if a file is safe, they should ask the Carlton County IT Department.

Carlton County may install anti-virus, malware, and disk encryption software on our company computers. Employees may not deactivate or configure settings and firewalls without County IT Department approval.

The installation of software such as instant messaging technology is strictly prohibited, unless approved by the Carlton County IT Department.

All internet data that is composed, transmitted and/or received by employees using Carlton County technology equipment is considered to belong to Carlton County and is recognized as part of its official data. It is therefore subject to disclosure for legal reasons or to other appropriate third parties.

Employee internet usage

Employees are advised to use our county's internet connection for the following reasons:

- To complete their job duties.
- To seek out information that they can use to improve their work.
- To access county social media accounts, while conforming to our social media standards.

Unacceptable use of the internet by employees includes, but is not limited to:

- Downloading or uploading obscene, offensive or illegal material.
- Sending confidential information to unauthorized recipients.
- Invading another person's privacy and sensitive information.
- Sending or posting discriminatory, harassing, or threatening messages or images on the internet or via Carlton County email service.
- Using computers to perpetrate any form of fraud, and/or software, film or music piracy.
- Stealing, using, or disclosing someone else's password without authorization,
- Downloading, copying or pirating software and electronic files that are copyrighted or without authorization.
- Sharing confidential material.
- Hacking into unauthorized websites.
- Introducing malicious software onto the county network and/or jeopardizing the security of the county's electronic communications systems.
- Visiting potentially dangerous websites that can compromise the safety of our network and computers.

Personal use of Carlton County hardware, software, and internet is permitted. However, such use shall be limited in time and frequency in accordance with County and departmental policies. It shall be conducted in a manner to limit the interruption of County business.

Carlton County equipment is the property of Carlton County and the county reserves the right to monitor internet traffic and monitor and access data that is composed, sent or received through its internet or network connections.

All sites and downloads may be monitored and/or blocked by Carlton County if they are deemed to be harmful and/or not productive to county business.

The county expects employees to exercise good judgment and remain productive at work while using the internet.

Email

Emails sent via the county email system should not contain content that is deemed to be offensive. This includes, though is not restricted to, the use of vulgar or harassing language/images.

Employees should understand that county email may be saved for files, could be requested through data requests, and is archived currently for a three-year period.

Our employees can use their county email accounts for work-related purposes as long as they don't violate this policy's rules. Employees shouldn't use their county email to:

- Register to illegal, unsafe, disreputable or suspect websites and services.
- Send obscene, offensive or discriminatory messages and content.
- Send unauthorized advertisements or solicitation emails.
- Send or post chain letters, solicitations, or advertisements not related to county purposes or activities
- Send email that is intimidating or harassing.
- Use email for purposes of political lobbying or campaigning.
- Violate copyright laws by inappropriately distributing protected works.
- Pose as anyone other than oneself when sending email, except when authorized to send messages for another when serving in an administrative support role.
- Send unencrypted confidential (protected nonpublic) Carlton County data over the external network.
- Email users must not give the impression that they are representing, giving opinions, or otherwise making statements on behalf of Carlton County or any unit of Carlton County unless appropriately authorized (explicitly or implicitly) to do so.
- Where appropriate, an explicit disclaimer will be included unless it is clear from the context that the author is not representing Carlton County.
- An example of a simple disclaimer is "the opinions expressed are my own, and not necessarily those of my employer."
- Individuals must not send, forward or receive confidential or sensitive Carlton County information through non-Carlton County email accounts.
- Individuals must not send, forward, receive or store confidential or sensitive Carlton County information utilizing non-Carlton County accredited mobile devices.

- Send unsolicited messages to large groups except as required to conduct County business.
- Pass off personal views as representing those of the organization
- If an employee is unsure about what constitutes acceptable email usage, then he/she should ask his/her supervisor for further guidance and clarification.

Carlton County reserves the right to monitor county emails. All terms and conditions as stated in this document are applicable to all users of the Carlton County network and internet connection.

All terms and conditions as stated in this document reflect an agreement of all parties and should be governed and interpreted in accordance with the policies and procedures mentioned above. Any user violating these policies is subject to disciplinary action deemed appropriate by Carlton County.

It is the responsibility of each employee to ensure that records are retained according to Carlton County retention policies, in an appropriate format, and that records of Carlton County business are not destroyed due to mismanagement or neglect.

Any e-mail message or information created, sent, received, accessed, or stored with Carlton County's e-mail system is the property of Carlton County. Therefore, users do not have an express or implied personal privacy right in any e-mail message or information created, sent, received, accessed, or stored with Carlton County's e-mail system.

Carlton County currently uses ZixGateway and ZixPort to ensure the confidentiality of private (protected/non- public) information sent via email and to comply with privacy regulations. Carlton County can only guarantee the privacy or confidentiality of e-mail messages delivered through the county's secure email system. Any information that is confidential as a matter of law should be communicated via Carlton County's secure email system.

Carlton County has an email archiving product that allows the Carlton County IT Department to view all incoming and outgoing email. Currently, county email is considered official county communication and is archived for a period of three years from the time of the transmitted email.

Retained email messages are similar to retained printed communication and should be written, transmitted and stored with the same care.

Examples of email messages that may need to be retained include messages related to:

- Policy or decision making
- Specific case files
- Contracts
- A larger record
- Significant public business

Users should be aware that even when they delete an email, though not apparent, it may continue to exist in backup or archival storage devices or in the mailboxes of other recipients or addressees.

Because email accounts are not designed as data retention repositories, users should archive their messages on the file server according to departmental guidelines and record retention schedules. Refer to

your Department Head for retention locations and guidelines. Contact the IT Department for assistance with archiving messages.

When the County is a party to litigation, the County Attorney's Office, County Coordinator's Office or responsible authority for the data as outlined in the Carlton County Data Practices Policy may notify users of the need to preserve all email messages relating to a specific subject. Such notice will include instructions on where to hold those messages until otherwise notified.

User compliance

By my electronic signature, I verify that I understand and will abide by this County Technology, Internet Use, and Email Policy. I further understand that should I commit any violation of this policy, my access privileges may be revoked, disciplinary action and/or appropriate legal action may be taken.



Carlton County, Minnesota

Carlton County Travel and Expense Reimbursement Policy

Adopted: March 14, 2017 (Effective on July 1, 2017)

Revised: October 10, 2017

Carlton County Travel and Expense Reimbursement Policy

Purpose

This policy conforms to MN Stat. § 471.38, 471.96(1) and 471.97 governing reimbursement of expenses incurred in the conduct of county business. It is designed to ensure that there is authority for county expenditure, the expenditure serves a public purpose, and the expenditure is necessary and directly related to the betterment of the county.

This policy applies to all employees, contracted individuals, and elected officials of Carlton County, and County Board committee appointees. In the event that this policy conflicts with a current collective bargaining agreement, the latter controls. Should there be any conflict between this policy and State or Federal law, the latter controls.

Travel Guidelines

When traveling for county business, the following guidelines have been established:

- The County Board of Commissioners shall approve all travel costs through the annual budget process.
- Any travel outside Minnesota or Wisconsin requires approval of the County Board prior to occurrence and payment.
- Department heads will authorize all travel for their departments, and will ensure that funds are budgeted and available for all costs of participation in any conference, training or program and related travel. If funds are not available within the approved budget, then the department head must obtain Board approval.
- Department heads will ensure that out-of-state or overnight events are selected only when comparable events cannot be found locally within a reasonable time frame.
- Department heads will ensure that employees take advantage of reimbursements provided by the host organization(s).
- Employees may, with department head approval, be authorized time for travel the day prior to and/or the day following the training, convention or meeting date(s) when extended travel is required.
- Employees will not be reimbursed for expenses attributable to family members or others during county business trips.
- Employees who drive vehicles on county business must have a valid driver's license of the appropriate classification or an appropriate permit. It is the employee's responsibility to notify Human Resources if there is any reason why they cannot drive a vehicle.
- Employees are required to have liability insurance in effect on all personal vehicles used for county purposes or while performing county business.
- Employees are required, consistent with MN Stat. § 169.686, to use the appropriate passive restraint and/or seat belt when operating a motor vehicle in connection with county business.
- Except for emergency vehicles operating under statutory guidelines, no county vehicles shall be driven in excess of posted speed limits.

Travel with Privately Owned Automobiles

Employees, with department head approval, may be reimbursed for traveling on official county business with a privately owned automobile at the prevailing rate as set by the County. Documentation of mileage, such as a distance map showing the route traveled, must be provided upon request.

Travel to, from, and between alternate worksites will be reimbursed as follows.

- The normal worksite for employees assigned to multiple worksites is the worksite scheduled for the day on which the expense was incurred.
- Alternate worksite examples are client visits, meetings, conferences, trainings, etc.

Carlton County Travel and Expense Reimbursement Policy

- Mileage is paid on the most reasonable direct route as follows:
 - When traveling from the normal worksite to an alternate worksite and then returning to the normal worksite, reimbursement will be for actual miles traveled.
 - When traveling to an alternate worksite **from** the employee's residence, reimbursement will be for actual miles traveled between the employee residence and the alternate worksite, or from the normal worksite to the alternate worksite, whichever is less.
 - When traveling from an alternate worksite **to** the employee's residence, reimbursement will be for actual miles traveled from the alternate worksite to the normal worksite or from the alternate worksite to the employee residence, whichever is less.
 - When traveling to multiple worksites, reimbursement will be for actual miles traveled between worksites. Reimbursement for miles traveled to first worksite and from last worksite is subject to the restrictions previously stated.

Reimbursement for extended travel is paid on the basis of the prevailing mileage rate or the most reasonable, cost-effective airfare, whichever is less. When personal vehicles are used for extended travel where commercial transportation is not available, reimbursement is made on an actual mileage basis.

When two or more employees are traveling in one car, reimbursement is made to only one employee.

Parking expenses may be reimbursed when parking is related to county business at other than the normal location. Payment will be for the actual cost and itemized receipts must be submitted, except in the case of parking meters, which may be reimbursed without receipt on an on-your-honor basis.

Fines and towing charges for moving or parking violations are the responsibility of the employee driver.

Travel with County-owned Vehicles:

County-owned vehicles may be used only for authorized county business, including personal use that is clearly incidental to the use of the vehicle for county business. County-owned vehicles are for the exclusive use of employees and other individuals directly involved in county business and must be used according to established policy.

County-owned pool vehicles can be reserved by completing a reservation form found on the county website or by contacting the appropriate staff at the employee's worksite.

A daily log book will be located in and maintained on each county-owned pool vehicle. This log book will show date of use, initials of operator, department, and the beginning and ending odometer reading.

Employees using county-owned pool vehicles should be familiar with the procedure for reporting accidents in these vehicles. Instructions and Incident Record Forms may be found in each county-owned pool vehicle.

County-owned pool vehicles may be picked up before a scheduled travel day and/or returned the day after scheduled travel and parked at the employee's residence **when doing so minimizes travel**.

Riders are allowed in county-owned pool vehicles as a part of the employee's work, for county projects or when doing so promotes efficiency. Any ride-along policies are to be applied in a manner consistent with Minnesota Counties Intergovernmental Trust (MCIT) requirements.

County-owned pool vehicles should be fueled at county pumps, or by using county gas cards whenever possible. Reimbursement may be made for fuel and incidentals purchased for county-owned vehicles when appropriate documentation and receipts are provided.

Parking expenses may be reimbursed when parking is related to county business at other than the normal location. Reimbursement will be for the actual cost and itemized receipts must be submitted, except in the case of parking meters, which may be reimbursed without receipt on an on-your-honor basis.

Fines and towing charges for moving or parking violations are the responsibility of the employee driver.

Vehicles assigned to an employee for daily use, known as take-home vehicles, may not be assigned by any department head unless approved by the County Board, except for the Sheriff and the County Engineer, who may authorize take-home vehicles for staff in their offices.

Any department which is specifically assigned vehicles shall establish procedures for the use of the vehicles consistent with this policy.

Travel by Commercial Transportation

Employees may travel by commercial transportation when authorized by the department head. The transportation method shall be chosen based on the most reasonable and cost-effective method available.

Reimbursement will be for the actual cost of authorized transportation. Itemized receipts must be provided for reimbursement.

Permissible forms of transportation:

- Rental Cars
 - Parking expenses may be reimbursed when parking is related to county business at other than the normal location. Payment will be for the actual cost and itemized receipts must be submitted, except in the case of parking meters, which may be reimbursed without receipt on an on-your-honor basis.
 - Fines and towing charges for moving or parking violations are the responsibility of the employee driver.
- Taxi, Bus, Rail or Shuttle
 - Reimbursement for taxi, bus, rail or shuttle service is authorized when no private vehicle is available.
- Airlines

Travel Expenses for Lodging, Meals and Incidentals

When authorized and while on county business, employees may be reimbursed for lodging, meals and incidental expenses. Reimbursement may be subject to employment withholding taxes per IRS statutes.

- Lodging
 - The most reasonable, cost-effective lodging available should be chosen.
 - Reimbursable expenses include those nights when a conference, seminar, meeting, etc. is actually in session. The nights prior to and/or following the event, if authorized by the department head, may also be reimbursed.
 - Reimbursement will be for the actual cost of lodging and taxes.
 - Itemized receipts are required.
- Meals While on Day Trips
 - Meal expenses incurred while on authorized county business may be reimbursed in either of the following circumstances:
 - When employees are outside the boundaries of Carlton County; or
 - When employees are required by a department head or the County Board to remain in a conference, seminar or meeting or to work through the meal period regardless of location.
 - Meal reimbursement will be for the actual cost, including taxes, not to exceed the rates set annually by the County.
 - Expenses for alcoholic beverages are not reimbursable.
 - Tips are not reimbursable.
 - Itemized receipts are required.
- Meals While at Conferences, Seminars or Trainings
 - When meals are included in registration or tuition fees, they will be paid in full as part of the registration fees. Reimbursement for meals which are already included in registration fees will not be allowed.
 - When meals are not included in registration fees, meal reimbursement will be for the actual cost,

Carlton County Travel and Expense Reimbursement Policy

including taxes, not to exceed the rates set annually by the County.

- Expenses for alcoholic beverages are not reimbursable.
 - Tips are not reimbursable.
 - Itemized receipts are required.
- Incidentals
 - When authorized by the department head, incidentals such as internet access, printing or similar items may be reimbursed at actual cost.
 - Itemized receipts are required.

Other Employee Expenses

When authorized by the department head and allowed under collective bargaining agreements or departmental policy, employees may be reimbursed for other expenses, such as uniforms, safety equipment and licenses.

- Itemized receipts are required
- Cell phone reimbursements are covered under a separate policy.

Advances

In the event of an emergency situation only, cash advances may be issued with the approval of the department head and the county Auditor/Treasurer. Such requests are the exception to normal practice and must be documented in detail as to the nature of the emergency, purpose of travel and amount needed. Proper documentation of final costs must be provided within seven days once travel is complete.

Reimbursement and Payments

Whenever possible, employees should make travel and lodging arrangements in advance and request that the county be billed directly.

Authorized travel expenses which are not billed directly to the county or charged to a county credit card shall be paid by the employee and the employee shall be reimbursed upon approval of a Travel Expense Claim.

Expenses **will not** be reimbursed if they are submitted to accounting staff later than 60 days after the expense is incurred.

All expense claims, whether billed directly to the county, charged to a county credit card, or for employee reimbursement, shall include the name of the attendee; the reason for travel (including the title, location and dates of trainings or conferences, if applicable); itemized details of expenses and any other additional information related to the travel. Itemized invoices and receipts must be included.

The Auditor/Treasurer's office shall present such claims to the County Board for approval monthly.



Carlton County, Minnesota Voucher Approval and Claims Payment Policy

Adopted: May 8, 2018

Revised:

Voucher Approval and Claims Payment Policy

This policy conforms to Minnesota Statutes 375.18 governing obligations and claims incurred by the County in the conduct of County business. It is designed to provide the basis for determining whether there is authority for County expenditure, if the expenditure serves a public purpose, if the expenditure is necessary and directly related to County business, and if the expenditure is just and correct and that no part has been previously paid. The County Board shall delegate the authority to pay certain claims made against the county to the County Auditor/Treasurer.

This policy applies to all vouchers and claims for payment of Carlton County. In the event that this policy conflicts with Federal, State, or Local law, the latter controls. Any unusual circumstance that does not fit within the normally established guidelines shall be referred to the County Board for consideration and final payment shall not be made without Board authorization.

The provisions of the Policy do not apply to salary or wages authorized by law to be paid through the payroll process.

I. Voucher Preparation/Approval

A. County Auditor/Treasurer Responsibilities

1. It shall be the responsibility of the County Auditor/Treasurer to do the following:
 - a. Designate appropriate administrators to approve the payment of claims (Public Health and Human Services Director, County Engineer, and designees)
 - b. Approve the format of voucher claim forms which, at a minimum, shall contain the following information:
 - i. Claimant's name
 - ii. Service or product for which claim is being made
 - iii. Date of delivery for such service or product
 - iv. Amount of claim for such service or product
 - v. Verification as to receipt of service or product by department head or designee
 - vi. Verification as to accounting (coding, etc.)

B. Department Head Responsibilities

1. It shall be the responsibility of the department head or designee to do the following:
 - a. Prepare a new voucher for each product or service for which claim is being made, including claimant name, service or product provided, date of delivery, amount and expenditure coding
 - b. Confirm quantities and prices are consistent with order (inconsistencies shall be resolved prior to approval)
 - c. Ensure sufficient documentation exists to identify the claim

- d. Provide description of expense if not clearly presented by claimant
- e. Provide correct general ledger account coding
- f. Provide an original authorized signature
- g. Provide the appropriate accounting department with a list of designees responsible for approving vouchers.

C. Accounting Department Responsibilities

1. It shall be the responsibility of the accounting department to do the following:
 - a. Compare voucher to invoice and receipts for verification of products or services provided
 - b. Check voucher for accuracy (i.e., calculations, sales taxability, expenditure coding, etc.)
 - c. Complete voucher coding for processing purposes
 - d. Approve completed voucher as to accuracy and completeness
 - e. Prepare and submit reports showing vendor, product or service, and amount for approval by the appropriate administrator
 - f. Process voucher for payment after approval by appropriate administrator
 - g. Prepare monthly disbursement reports for County Board approval.

D. County Board Responsibilities

1. It shall be the responsibility of the County Board to review and approve the monthly disbursement reports.

II. Claims Payments

- A. Per Statute 471.425 regarding prompt payment of claims, vouchers will be prepared by the department head or designee as soon as practical as per Section I.B.
- B. To facilitate processing and payment, the Auditor/Treasurer will establish deadlines for submission and processing of vouchers.
- C. Payment of claims and obligations of the county may be made by warrant, check, credit cards or other forms of electronic payment as approved by the County Board.