

SCHEDULE 4 – PERSONNEL RECORDS

For confidentiality guidance see [MRS Title 30-A, §2702. PERSONNEL RECORDS](#)

Series	Series Title	Description	Retention
4.1	Applications for Employment - Not Hired	Cover letters, application forms, references, etc.	2 years
4.2	Employee Disciplinary Records	This record series documents possible discipline of local agency employees. This record series may also be filed in the employee's personnel file. Based upon personnel policies and procedures, discipline may be a verbal reprimand, written reprimand, suspension without pay, demotion, criminal action or termination.	60 years after separation unless collective bargaining contract requires that disciplinary documents be destroyed earlier than the contract shall be followed
4.3	Employee Drug Tests	Records of drug test and results for employees of local government agency	5 years
4.4.a	Health Records - Clinics Sponsored by Local Government Agency	Immunizations, cholesterol/blood pressure screenings, etc. Does not include records maintained by government-operated hospitals or similar health care facilities.	10 years
4.4.b	Health Records - Individuals	Health records of local government employees, individuals visited by municipal nurses, etc. Does not include records maintained by government-operated hospitals or similar health care facilities.	30 years after separation
4.5.a	Job Descriptions - No Grievances Pending	Description of duties performed or to be performed by particular positions.	Retain current version only
4.5.b	Job Descriptions Grieved with Collective Bargaining	Description of duties performed or to be performed by particular positions.	Follow applicable collective bargaining agreement
4.6.a	Personnel Records - Employment History	Employment history (including dates of employment, salary history, full time/part time status).	60 years after separation unless employer has been notified that the former employee has died; in which case 10 years after former employee's death
4.6.b	Personnel Records - Form I-9	Federally required proof that employee has a legal right to work in the U.S.	3 years after separation
4.6.c	Personnel Records - Transitory	All records not vital or contributing to the continuing value of the employee file for retirement or other long-term purposes beyond separation including: training and workshop records, employee evaluations, resumes, complaints or general correspondence records.	6 years after separation or until destruction is permitted by applicable collective bargaining agreement

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4.7	Retirement and Pension Records	All records needed to document an employee's retirement rights and status.	See Payroll Records
4.8	State and Federal Personnel Reports	Reports and regulatory statistics maintained for State or Federal agencies (such as affirmative action and equal opportunity records, OSHA-required records, etc.)	6 years
4.9.a	Training Materials - Employee Training	Employee records for any voluntary or mandatory training provided in-house or by another organization. Records may include certificates of completion (such as Freedom of Access – Right to Know), grades and requests and approval for training.	6 years after separation
4.9.b	Training Materials - Informational	Training and education of employees: Information about available training/education opportunities.	Update as needed
4.9.c	Training Materials – Training, Conference, Workshop Conducted by Agency	Information used to conduct training sessions or for conferences and workshops. May include training materials, registration and confirmation records, flyers and/or brochures, other presentation material or related documentation.	3 years after end of training/event
4.10	Union Agreements	Collective bargaining agreements with unions representing employees of local government agency.	Retain until new agreement is signed and time limit for filing grievances under old agreement has expired
4.10.a	Union Records - Grievance and Arbitration Files	Related correspondence; union grievances and negotiation documentation; signature page of people attending meeting; notes on meeting; written decision; demand for arbitration; arbitration award; exhibits; briefs; notice of hearing; settlement agreement.	50 years
4.10.b	Union Records - Union Agreements (Signed)	Collective bargaining agreements with unions representing employees of local government agency.	10 years
4.11	Volunteer Records	Records documenting those who participate as volunteers for local government. These records are maintained as a reference and to verify that a person has worked as a volunteer. May contain: Application, names of volunteers, addresses, directory information, program volunteering for, time and attendance records, registers, sign-in sheets and activity information.	5 years
4.12	Wellness program records	Records of employee participation in program designed to encourage behaviors thought to result in improved health.	Current year
4.13.a	Workers Compensation Records - Completed Claim	First report plus other records, when claim is finalized by a lump sum settlement.	1 year after close of case
4.13.b	Workers Compensation Records - First Report of Injury	No lost work time, so that the only record required is the initial report of injury.	1 year after close of case

Series	Series Title	Description	Retention
4.13.c	Workers Compensation Records - Long Term Claim	First report plus other records where time is lost from work, and case is not finalized by lump sum payment.	20 years after last payment