

Maine State General Schedules

NOTICE

A state record whose retention period has expired may not be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated; its destruction shall not occur until the completion of the action and the resolution of all issues arising from it. A record can also not be destroyed if the retention period occurs during any of these proceedings.

The Maine State General Schedules contain guidelines for complying with legal, fiscal, and administrative requirements for records retention and provides authorization to dispose of common records on a regularly scheduled basis.

The purpose of the General Schedules is to:

- provide agencies with uniform guidelines for the retention and disposition of common administrative, fiscal, and personnel records
- ensure that agencies retain these records as long as needed for internal administration, and to meet legal and audit requirements
- promote the cost-effective management of records
- provide agencies with authorization to dispose of obsolete records covered by the schedules on a regularly scheduled basis after minimum retention periods have been met.

These general schedules provide retention and disposition authorizations for records commonly created and maintained by state agencies to support administrative, personnel, and fiscal activities. For the purposes of these schedules, state agency means any department, division, board, bureau, office, council, or commission having statewide responsibility, specific functions or policies.

Sources of Additional Information and Assistance

Each agency must have a designated **Records Officer**, who coordinates the agency's records management program and serves as the primary contact for agency staff seeking information on use of general schedules. The Records Officer is responsible for agency-wide records management planning, program development, training, and technical assistance, including records inventorying and scheduling. Agency staff should contact their Records Officer for advice on how to use the general schedules and also their agency specific schedules. The agency Public Records Access Officer, who is responsible for implementing agency programs to comply with the Freedom of Access Act, can provide advice on public access questions.

The General Schedules indicate the minimum length of time listed records series must be retained by a state agency before destruction or archival preservation. Records series listed on the General Schedules are those that are commonly found in most state agencies. In addition to the common records listed in the General Schedules, each agency has unique records series and is responsible for creating agency specific retention schedules.

Federal or state statutes or regulations requiring longer retention periods override retention periods written in the General Schedules. If an agency is required to keep records longer than what is required by the General Schedules, an agency schedule should be created.

¹ Unless noted retention times are in terms of years. If there is a retention time for Retention of Copies, this will be the responsibility of the Creating Agency; unless noted, this is disposition destroy.

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Electronic Records

The widespread use of computers and computer systems raises the question of how government agencies should apply records management standards to electronic records. Maine law defines public records, in part, as "all documentary material, *regardless of media or characteristics*, made or received in connection with the transaction of official government business. This means that electronic records fall under the definition of public records. Records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium in which the records are created and/or stored.

All state government personnel who develop, use and maintain electronic records must be trained to use this schedule for determining the *minimum* time that records are to be kept to satisfy the administrative, fiscal and legal needs of the agency.

Remember, all state government employees are responsible for maintaining the integrity of records whether those records are stored electronically or in hard copy. Information must be accessible to the appropriate parties until all of the legal, fiscal, and administrative retention periods have been met, regardless of the medium.

Correspondence and Email

E-mail is generally used for routine correspondence, much nonbusiness related correspondence but can also be used for official correspondence. The retention periods listed on the General Schedule apply equally to all correspondence, whether e-mail or paper. Please remember that being the custodian of the record (retaining the official record copy) may be different depending on whether a staff member is the sender or the recipient. A message from the Governor to all state employees might be maintained as Official Correspondence by the Governor's Office. That same piece of correspondence would be simply informational or "transitory" for most state employees. In lengthy, business-related e-mail discussions involving a number of agency staff, you may keep a copy if: (1) you add anything of value to the discussion or contribute beyond simply agreeing or disagreeing; or (2) you were the last person to add anything of value to the discussion, in which case you should keep the entire thread.

Executive Correspondence is a permanent record that documents the major activities, functions and programs of an agency and the important events in its history. Examples of Official Correspondence include policy memoranda dictating or establishing policy, directives, official notifications of agency decisions or actions, or summaries of an agency's cumulative experience or history. Most of this correspondence will be at the Commissioner level.

General Correspondence is correspondence that is not crucial to the preservation of the administrative history of the agency. It is generally of a non-policy nature and without permanent value. It deals only with the general agency operations, operations which are better documented by other records maintained by the agency. Examples of General Correspondence include assistance to clients, explanations of policy, requests for information, or business-related discussions within an agency. General correspondence is usually retained about 2 years (see General Schedule 13 for more information.)

Non-Business Related Correspondence is correspondence that is not relevant to the conduct of agency business. Examples of Non-Business Related Correspondence include spam or junk mail, personal messages, or unsolicited messages from coworkers such as jokes, news reports or announcements. Non-Business Related Correspondence should be deleted or destroyed immediately.

² Unless noted retention times are in terms of years. If there is a retention time for Retention of Copies, this will be the responsibility of the Creating Agency; unless noted, this is disposition destroy.

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Informational and reference materials are aids of a technical or non-technical nature used in the conduct of official business, but not essential to that business. The disposition for such materials is “destroy when no longer useful” to the agency. Examples of informational and reference materials may include externally created brochures and publications, duplicate copies of memoranda which do not require action, literature not related to day-to-day activities, and some tracking tools, such as logs.

Definition of General Schedule Terms

- The *record copy* is a single copy of a record retained by its assigned custodian as the official record of a government transaction.
- The *agency copy* is kept by the agency that initiates the transaction. Agency copies are not convenience copies which may be destroyed when no longer useful, because they may not be exact duplicates of the record copies that the creating agency has sent for processing. The General Schedules require agency copies to be retained for specific time periods.

Example:

The Division of Purchases maintains record copies of contracts with vendors. Each agency that sends contracts to Purchases for processing and approval also maintains its own copies of these contracts, which must be kept for the retention period required by **General Schedule 1**.

General Schedule 1: Item 8: Contracts and RFP's
Bureau of Purchases retention 7 years (*Record Copy*)
Agency retention 3 years (*Agency Copy*)

Schedule and Series Example

Below is an example of the structure with explanations of the General Schedules/Series.

General Schedule Number:	Title of Schedule
Series No	TITLE OF SERIES Series Description
Agency of Record:	Who is responsible for the Record Copy
Retention of Record Copy:	How many years is the Record Copy retained
Disposal:	What is the “final fate” of the record – destroy or archival
Retention of Copies:	How many years are agency copies kept before being destroyed (unless otherwise noted)
Date Adopted:	The date this series was created or updated

3 Unless noted retention times are in terms of years. If there is a retention time for Retention of Copies, this will be the responsibility of the Creating Agency; unless noted, this is disposition destroy.

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General Schedule Number: 1 Vendor Series

1 BIDS, REQUISITIONS & PURCHASE ORDERS

Prices submitted by vendors; prices received on special commodities; requisitions.

Agency of Record:	Division of Purchases
Retention of Record Copy:	7
Disposal:	Destroy
Retention of Copies:	3
Date Adopted:	6/4/2015

2 PETTY CASH

The records being retained will include the requests for a petty cash check, possibly the request for reimbursement, bank statements, checkbook registers; cancel/voided checks, deposit slips and documentation; and miscellaneous correspondence regarding the petty cash account.

Agency of Record:	Creating Agency
Retention of Record Copy:	7
Disposal:	Destroy
Retention of Copies:	N/A
Date Adopted:	10/23/2008

3 DELIVERY SLIPS

Confirmation of delivered materials. (Previously kept as contents duplicated on third copy of purchase order).

Agency of Record:	Creating Agency
Retention of Record Copy:	3
Disposal:	Destroy
Retention of Copies:	N/A
Date Adopted:	6/4/2015

4 VENDOR'S INVOICE

Invoice sent to agency by vendor for payment.

Agency of Record:	Accounts & Control
Retention of Record Copy:	7
Disposal:	Destroy
Retention of Copies:	3
Date Adopted:	12/7/1990

5 ACCOUNTS PAYABLE

Accounts payable sent to agency by Accounts and Control to authenticate payment.

Agency of Record:	Accounts & Control
Retention of Record Copy:	7
Disposal:	Destroy
Retention of Copies:	3
Date Adopted:	12/7/1990

⁴ Unless noted retention times are in terms of years. If there is a retention time for Retention of Copies, this will be the responsibility of the Creating Agency; unless noted, this is disposition destroy.

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General Schedule Number: 1 **Vendor Series**

6 EXPENSE ACCOUNTS ET AL

Expense accounts, utility bills, cell phone billing, health insurance bills and inter-departmental bills.

Agency of Record: Accounts & Control
Retention of Record Copy: 7
Disposal: Destroy
Retention of Copies: 3
Date Adopted: 6/4/2015

7 VENDOR SERIES CORRESPONDENCE

Incoming or outgoing correspondence in any media format relating to the vendor series.

Agency of Record: Creating agency
Retention of Record Copy: 3
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 6/4/2015

8 CONTRACTS and RFP's

Contracts for services performed by non-state agencies.

Agency of Record: Division of Purchases
Retention of Record Copy: 7
Disposal: Destroy
Retention of Copies: 3
Date Adopted: 6/4/2015

9 CHECK CANCELLATIONS

Forms used to request cancellation of a State check, and forms used to request replacement check (including forgery application).

Agency of Record: Accounts & Control
Retention of Record Copy: 7
Disposal: Destroy
Retention of Copies: 3
Date Adopted: 3/11/1991

(Series 10 is obsolete)

11 INTERNAL SELLER'S BILL

Intra-governmental bills (one State agency billing another for goods or services) and related forms.

Agency of Record: Accounts & Control
Retention of Record Copy: 7
Disposal: Destroy
Retention of Copies: 3
Date Adopted: 3/11/1991

5 Unless noted retention times are in terms of years. If there is a retention time for Retention of Copies, this will be the responsibility of the Creating Agency; unless noted, this is disposition destroy.

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General Schedule Number: 1 Vendor Series

12 DEBTOR INVOICE

Accounts receivable invoices (bills sent by the State to individuals, businesses, etc. for goods or services) and related forms, including the invoice transaction input form.

Agency of Record: Accounts & Control
Retention of Record Copy: 7
Disposal: Destroy
Retention of Copies: 3
Date Adopted: 3/11/1991

13 PAYMENT VOUCHER FORM

Keep with related series, or retain agency copy 3 years if kept separately.

Agency of Record: Accounts & Control
Retention of Record Copy: 7
Disposal: Destroy
Retention of Copies: 3
Date Adopted: 3/11/1991

14 ACCOUNTING DISTRIBUTION SHEET

Keep with agency copy with related record series. If kept separately, retain 3 years and destroy.

Agency of Record: Accounts & Control
Retention of Record Copy: 7
Disposal: Destroy
Retention of Copies: 3
Date Adopted: 3/11/1991

15 ACCOUNTS PAYABLE TRANSMITTAL FORM

Accounts payable transmittal form to accompany payment voucher submitted to Bureau of Accounts & Control.

Agency of Record: Accounts & Control
Retention of Record Copy: 7
Disposal: Destroy
Retention of Copies: 3
Date Adopted: 3/11/1991

16 PROCUREMENT CARD RECEIPTS

Receipts documenting use of State-issued employee procurement cards.

Agency of Record: Creating Agency
Retention of Record Copy: 7
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 6/4/2015

6 Unless noted retention times are in terms of years. If there is a retention time for Retention of Copies, this will be the responsibility of the Creating Agency; unless noted, this is disposition destroy.

Maine State General Schedules – Revised June 2015

General Schedule Number: 2 Accounting Series

1 ENCUMBRANCE LEDGER

Ledger maintained by agency to show expenditures and dedicated revenues to insure that allotment will not be overdrawn. Summarized on controller's analysis of income and expenditure. June and December record copies are archival; others destroyed after retentions as shown.

Agency of Record:	Accounts & Control
Retention of Record Copy:	7
Disposal:	See Description
Retention of Copies:	3
Date Adopted:	9/20/1989

2 ADVICE OF ALLOTMENT

Form sent to agency by Bureau of Budget indicating money allotted for expenditures. Information repeated on controller's encumbrance and expenditure ledger, which is actually the record copy. June and December only are archival.

Agency of Record:	Accounts & Control
Retention of Record Copy:	7
Disposal:	See Description
Retention of Copies:	3
Date Adopted:	9/20/1989

3 REQUEST FOR ADJUSTMENT OF ALLOTMENT

Request by agency for adjustment of allotment during a fiscal year. Information repeated on controller's encumbrance and expenditure ledger, which is actually the record copy. June and December only are archival.

Agency of Record:	Accounts & Control
Retention of Record Copy:	7
Disposal:	See Description
Retention of Copies:	3
Date Adopted:	9/20/1989

4 ANALYSIS OF INCOME AND EXPENDITURE

Used by agency to verify the encumbrance ledger. June and December only are archival.

Agency of Record:	Accounts & Control
Retention of Record Copy:	7
Disposal:	See Description
Retention of Copies:	3
Date Adopted:	9/20/1989

7 Unless noted retention times are in terms of years. If there is a retention time for Retention of Copies, this will be the responsibility of the Creating Agency; unless noted, this is disposition destroy.

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General Schedule Number: 2 Accounting Series

5 SUMMARY OF APPROPRIATION EXPENDITURES AND INCOME

Monthly summary of expenditures and income kept by warrant and journal number to balance encumbrance ledger.

Agency of Record:	Accounts & Control
Retention of Record Copy:	7
Disposal:	Destroy
Retention of Copies:	3
Date Adopted:	9/20/1989

6 INCOME & EXPENDITURE SUMMARY BY CHARACTER & OBJECT

Quarterly report by character and object.

Agency of Record:	Accounts & Control
Retention of Record Copy:	7
Disposal:	Destroy
Retention of Copies:	3
Date Adopted:	9/20/1989

7 OUTSTANDING PURCHASE ORDER LIST

List of outstanding purchase orders at month end. Verifies purchase orders brought forward at end of quarter or fiscal year.

Agency of Record:	Accounts & Control
Retention of Record Copy:	5
Disposal:	Destroy
Retention of Copies:	3
Date Adopted:	9/20/1989

8 JOURNALS

Journals used to indicate transfers of funds, error correction and journal entries used in lieu of accounts payable.

Agency of Record:	Accounts & Control
Retention of Record Copy:	7
Disposal:	Destroy
Retention of Copies:	3
Date Adopted:	9/20/1989

9 ACCOUNTING SERIES CORRESPONDENCE

Incoming or outgoing correspondence in any media format relating to accounting series.

Agency of Record:	Creating Agency
Retention of Record Copy:	3
Disposal:	Destroy
Retention of Copies:	N/A
Date Adopted:	6/4/2015

8 Unless noted retention times are in terms of years. If there is a retention time for Retention of Copies, this will be the responsibility of the Creating Agency; unless noted, this is disposition destroy.

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General Schedule Number: 2 Accounting Series

10 PROJECT TRACKING DOCUMENTS

Project input documents, miscellaneous project charges forms, and related documents.

Agency of Record:	Creating Agency
Retention of Record Copy:	3
Disposal:	Destroy
Retention of Copies:	N/A
Date Adopted:	3/11/1991

11 ACCOUNTING SERIES

Audit reports for a given fiscal year or period.

Agency of Record:	Dept. of Audit
Retention of Record Copy:	3
Disposal:	Archival
Retention of Copies:	3
Date Adopted:	6/4/2015

9 | Unless noted retention times are in terms of years. If there is a retention time for Retention of Copies, this will be the responsibility of the Creating Agency; unless noted, this is disposition destroy.

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General Schedule Number: 3 Payrolls & Authorizations

1 PAYROLL REGISTER - EXCEPTION COPY

(Last page only.) Contains gross wage and deductions for given pay date and authorized signatures of agency.

Agency of Record:	Accounts & Control
Retention of Record Copy:	8
Disposal:	Destroy
Retention of Record Copy:	8
Retention of Copies:	3
Date Adopted:	9/20/1989

2 PAYROLL REGISTER - PAID COPY

Actual paid copy of payroll registers, contains all paycheck information for each State employee.

Agency of Record:	Accounts & Control
Retention of Record Copy:	60
Disposal:	Destroy
Retention of Copies:	3
Date Adopted:	9/20/1989

3 HUMAN RESOURCE PROFILE

(Formerly Personnel Management Data Form--"Turnaround Form.") Personnel authorizations effecting changes in employee's pay. Retention periods counted from date file becomes inactive.

Agency of Record:	Bureau of Human Resources
Retention of Record Copy:	60
Disposal:	Destroy
Retention of Copies:	3
Date Adopted:	12/18/2001

4 PAYROLL DEDUCTION AUTHORIZATIONS

Listing of all voluntary payroll deductions from employee checks (i.e., health insurance, union dues, credit union, etc.) Agency copy's retention period counted from termination of employee.

Agency of Record:	Agency of Employment
Retention of Record Copy:	3
Disposal:	Destroy
Retention of Copies:	1
Date Adopted:	9/11/2003

5 HEALTH AND DENTAL INSURANCE EXCEPTIONS

Lists all payroll deductions to the monthly health and dental insurance billings.

Agency of Record:	Accounts & Control
Retention of Record Copy:	3
Disposal:	Destroy
Retention of Copies:	3
Date Adopted:	9/11/2003

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General Schedule Number: 3 Payrolls & Authorizations

6 MS TAMS

Weekly online time and attendance record completed and electronically signed by employee and verified by supervisor showing hours worked, vacation, sick leave and overtime. Retain last audited year through current State audit.

Agency of Record:	Creating Agency
Retention of Record Copy:	3
Disposal:	Destroy
Retention of Copies:	N/A
Date Adopted:	6/4/2015

(Series 7 is obsolete)

8 STATE VEHICLES FOR COMMUTING FORMS

Information collected each year documenting the value of using an employee-assigned state vehicle for commuting from home to work site. The Controller's office maintains this as part of the supporting records to Form W-2.

Agency of Record:	Accounts & Control
Retention of Record Copy:	3
Disposal:	Destroy
Retention of Copies:	3
Date Adopted:	9/24/2003

11 Unless noted retention times are in terms of years. If there is a retention time for Retention of Copies, this will be the responsibility of the Creating Agency; unless noted, this is disposition destroy.

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General Schedule Number: 4 Income Series

1 CASH RECEIPT STATEMENT/INCOME STATEMENT

Form used to deposit money with State Treasury.

Agency of Record: Accounts & Control
Retention of Record Copy: 7
Disposal: Destroy
Retention of Copies: 3
Date Adopted: 3/11/1991

2 BANK DEPOSIT SLIP

Used by agency for direct deposit with bank.

Agency of Record: Treasury
Retention of Record Copy: 2
Disposal: Destroy
Retention of Copies: 3
Date Adopted: 9/20/1989

3 AGENCY RECEIPTS

Receipts issued by agency for money collected; 2 copies retained by agency: 1) Detached copy with collected money given to individual who prepares income statement, destroy after 2 years and State Audit; 2) Copy in receipt book, retain last audited year through current audit then destroy.

Agency of Record: Creating Agency
Retention of Record Copy: 3
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 9/20/1989

4 CASH JOURNALS

Daily listing of cash received showing date, name of individual or corporation sending money and amount.

Agency of Record: Creating Agency
Retention of Record Copy: 7
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 6/21/1985

5 ACCOUNTS RECEIVABLE

Bill heads sent out by State agencies for services performed or goods sold.

Agency of Record: Creating Agency
Retention of Record Copy: 3
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 9/20/1989

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General Schedule Number: **4** **Income Series**

6 UNISSUED LICENSES

Pre-numbered licenses which have not been issued and become obsolete after the current year.

Agency of Record:	Creating Agency
Retention of Record Copy:	3
Disposal:	Destroy
Retention of Copies:	N/A
Date Adopted:	9/20/1989

7 INCOME SERIES CORRESPONDENCE

Incoming and outgoing correspondence in any media format relating to income series.

Agency of Record:	Creating Agency
Retention of Record Copy:	3
Disposal:	Destroy
Retention of Copies:	N/A
Date Adopted:	6/4/2015

13 | Unless noted retention times are in terms of years. If there is a retention time for Retention of Copies, this will be the responsibility of the Creating Agency; unless noted, this is disposition destroy.

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General Schedule Number: 5 Budget Series

1 BIENNIAL BUDGET REQUEST

Copy retained by agency to prepare work program and as a reference in preparing new budget.

Agency of Record: Bureau of the Budget
Retention of Record Copy: 10
Disposal: Destroy
Retention of Copies: 4
Date Adopted: 2/19/1986

2 WORK PROGRAM

Program made out from budget figures approved by the Legislature.

Agency of Record: Bureau of the Budget
Retention of Record Copy: 10
Disposal: Destroy
Retention of Copies: 4
Date Adopted: 2/19/1986

3 BUDGET SERIES CORRESPONDENCE

Incoming or outgoing correspondence in any media format relating to the budget series.

Agency of Record: Creating Agency
Retention of Record Copy: 4
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 6/4/2015

4 FINANCIAL ORDERS UNDER \$45,000 (APPROVED BY STATE BUDGET OFFICER)

Financial orders below \$45,000 can be approved by the State Budget Officer, and do not go to the Secretary of State for permanent retention.

Agency of Record: Bureau of the Budget
Retention of Record Copy: 4
Disposal: Destroy
Retention of Copies: 4
Date Adopted: 10/31/2002

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General Schedule Number: 6 Financial Order Series

1 FINANCIAL ORDER (EXPENSE/TRANSFER BUDGET)

Orders approved by the Governor relating to intradepartmental transfers, requests for expenditures not authorized by other means, etc. Orders pertaining to short term obligations (including so-called "Budget Orders," for the purpose of bringing funds out of allotment reserve) may be destroyed after 2 years and audit. Orders pertaining to long term obligations (contracts, leases, etc.) destroy after final action and audit. Supporting documents shall have the same retention periods as the orders/obligations to which they relate.

Agency of Record:	Secretary of State - CEC
Retention of Record Copy:	Transfer to Archives
Disposal:	Archival
Retention of Copies:	2
Date Adopted:	3/11/1991

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General Schedule Number: 7 Attorney General Opinions

1 ATTORNEY GENERAL OPINION

Opinions relating to the interpretation of the law. Record copy is retained by Attorney General for current business; other copies may be destroyed when opinion is no longer applicable.

Agency of Record:	Attorney General
Retention of Record Copy:	2
Disposal:	Archival
Retention of Copies:	Destroy when opinion is no longer applicable
Date Adopted:	8/15/1975

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General Schedule Number: 8 Inventory Series

1 CAPITAL EQUIPMENT INVENTORY CARDS

Card containing pertinent information concerning State owned equipment.
Destroy inactive or obsolete cards after audit and reconciliation.

Agency of Record: Creating Agency
Retention of Record Copy: 1
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 6/21/1985

2 QUARTERLY EQUIPMENT REPORT

Report of all equipment purchased, sold, traded in, surplused and discarded during a quarter. Record copy retained by BPI for current business; agency copy destroyed after 5 years if inventory cards are reconciled.

Agency of Record: Bureau of Public Improvements
Retention of Record Copy: Contingent Upon Event - See Description
Disposal: Destroy
Retention of Copies: 5
Date Adopted: 6/21/1985

3 CAPITAL EQUIPMENT RECONCILIATION

Yearly report made up from the four quarterly equipment reports. Must balance with total on equipment card. Record copy retained by BPI for current business; agency copy destroyed after 5 years if inventory cards are reconciled.

Agency of Record: Bureau of Public Improvements
Retention of Record Copy: Contingent Upon Event - See Description
Disposal: Destroy
Retention of Copies: 5
Date Adopted: 6/21/1985

4 EQUIPMENT ADJUSTMENT SLIP

Form used to adjust transfers in and out of an agency. Destroy with quarterly reports.

Agency of Record: Creating Agency
Retention of Record Copy: 5
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 6/21/1985

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General Schedule Number: **8 Inventory Series**

5 SURPLUS PROPERTY DISTRIBUTION LIST

Form used to transfer equipment to surplus from agency. Destroy agency copies with quarterly reports; record copy held by Division of Purchases for current business.

Agency of Record:	Division of Purchases
Retention of Record Copy:	Contingent Upon Event - See Description
Disposal:	Destroy
Retention of Copies:	5
Date Adopted:	6/21/1985

6 INVENTORY SERIES CORRESPONDENCE

Incoming or outgoing correspondence in any media format relating to the inventory series. Destroy with quarterly reports.

Agency of Record:	Creating Agency
Retention of Record Copy:	5
Disposal:	Destroy
Retention of Copies:	Not Applicable
Date Adopted:	6/4/2015

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General Schedule Number: 9 Records Management Series

1 AUTHORIZATION FOR RECORDS CENTER USE CARD AND DESIGNATION OF RECORDS OFFICERS

Application for issuance of Records Center Access Cards including designating Records Officers and Assistant Records Officers for various State Agencies.

Agency of Record: Records Management Services
Retention of Record Copy: 5
Disposal: Destroy
Retention of Copies: 2
Date Adopted: 6/4/2015

2 AUTHORIZATION FOR RECORDS CENTER USE - Access Cards

Destroy upon expiration of card or separation of employee.

Agency of Record: Creating Agency
Retention of Record Copy: Contingent Upon Event - See Description
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 1/25/1989

(Series 3 is obsolete)

4 RECORDS CENTER DISPOSITION NOTIFICATION

Record of State records removed from State Records Center and destroyed, according to authorized retention schedule and with written consent of agency records officer.

Agency of Record: Records Management Services
Retention of Record Copy: 10
Disposal: Archival
Retention of Copies: 2
Date Adopted: 1/25/1989

5 DISPOSAL LIST, MSA 2

One-time permission for destruction of State records. Transferred to Archives Services Division 2 years from date approved.

Agency of Record: Records Management Services
Retention of Record Copy: 2
Disposal: Archival
Retention of Copies: 2
Date Adopted: 1/25/1989

6 REQUEST FOR RECORDS RETENTION SCHEDULE, MSA/RM 22

Includes MSA 59 (Record Series Inventory) and record samples. Agency copies destroyed 2 years from schedule/series termination.

Agency of Record: Records Management Services
Retention of Record Copy: Transfer to Archives
Disposal: Archival
Retention of Copies: 2
Date Adopted: 1/25/1989

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General Schedule Number: 9 Records Management Series

(Series 7 is obsolete)

(Series 8 is obsolete)

9 TRANSMITTAL OF RECORDS, MSA 33, AND CONTINUATION

Record of boxes accepted for Records Center storage and their contents. Retention periods counted from disposal of last box on each sheet.

Agency of Record:	Records Management Services
Retention of Record Copy:	5
Disposal:	Destroy
Retention of Copies:	2
Date Adopted:	6/4/2015

10 REQUEST FOR REFERENCE SERVICE, MSA 70

Request for reference service from State Records Center. Agency copy may be destroyed as soon as records are returned to Records Center.

Agency of Record:	Records Management Services
Retention of Record Copy:	2
Disposal:	Destroy
Retention of Copies:	Contingent Upon Event - See Description
Date Adopted:	6/4/2015

11 AGENCY RECORDS DESTRUCTION NOTICE, MSA 192

Listing of records destroyed by State agencies with authorization of departmental and/or general schedules.

Agency of Record:	Records Management Services
Retention of Record Copy:	5
Disposal:	Archival
Retention of Copies:	2
Date Adopted:	1/25/1989

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General Schedule Number: 10 Personnel Series

1 EMPLOYEE PERSONNEL RECORDS

Applications, salary history, job histories, leave authorizations, termination documents, related documents and correspondence. Note: If collective bargaining contract requires that disciplinary documents be destroyed earlier than described above, the contract shall be followed.

Agency of Record: Bureau of Human Resources
Retention of Record Copy: 60
Disposal: Destroy
Retention of Copies: 4
Date Adopted: 6/4/2015

2 INCIDENT FILE RECORDS

Records of employee commendation/counseling; corrective action memos; related correspondence between employer and employee. Destroy after yearly performance appraisal has been prepared and grievance deadline has expired, unless grieved. If grieved, destroy 3 years after resolution of grievance.

Agency of Record: Creating Agency
Retention of Record Copy: See Description
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 3/8/1990

3 REQUISITION FOR EMPLOYEE

Requisition for employee forms; registers (job referral lists); structured interview materials; related correspondence. If grieved, destroy 3 years after resolution of grievance.

Agency of Record: Creating Agency
Retention of Record Copy: 3
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 6/4/2015

4 CLASS SPECIFICATIONS (NOT APPEALED)

Records are set up for each class or position. Included in the records are: Job Spec, Admin Report of Work content (FJA-1), Bulletin Announcement, PER-50, and related documents and correspondence. Also JA-20 and cover form to FJA-1 material.

Agency of Record: Bureau of Human Resources
Retention of Record Copy: 30
Disposal: Destroy
Retention of Copies: Destroy When Updated
Date Adopted: 6/5/2015

21 | Unless noted retention times are in terms of years. If there is a retention time for Retention of Copies, this will be the responsibility of the Creating Agency; unless noted, this is disposition destroy.

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5 CLASS SPECIFICATIONS (APPEALED)

Records are set up for each class or position. Included in the records are: Job Spec, Admin Report of Work Content (FJA-1), appeals and award decisions, Bulletin Announcement, PER-50, and related documents and correspondence. Also JA-20 and cover form to FJA-1 material. Agencies are not responsible for maintaining appeal materials.

Agency of Record: Bureau of Human Resources
Retention of Record Copy: 40
Disposal: Destroy
Retention of Copies: Destroy When Updated
Date Adopted: 6/5/2015

6 ADMINISTRATIVE REPORT OF WORK CONTENT (FJA-1)

Individual job description/task statements for each position in State service. A new FJA-1 is prepared whenever duties are changed. BHR will maintain grieved FJA for 3 years following resolution of grievance; all other FJA's (agency copies and BHR record copy) may be replaced whenever changes are made in job.

Agency of Record: Bureau of Human Resources
Retention of Record Copy: 3
Disposal: Destroy
Retention of Copies: Destroy When Updated
Date Adopted: 3/8/1990

7 POSITION DETAIL RECORD

Computer-generated history of each position in State service. Shows current and previous incumbents, salary scale, and classification.

Agency of Record: Bureau of the Budget
Retention of Record Copy: 3
Disposal: Destroy
Retention of Copies: Destroy When Updated
Date Adopted: 6/4/2015

8 HUMAN RESOURCE PROFILE

See General Schedule 3 (Payrolls and Authorizations Series). This form is frequently treated by State agencies as part of the employee's payroll record, because it is the document used to authorize change/increase in rate of pay.

Agency of Record: Bureau of Human Resources
Retention of Record Copy: 60
Disposal: Destroy
Retention of Copies: 3
Date Adopted: 12/18/2001

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9 WORKERS COMPENSATION FILES FOR STATE EMPLOYEES

Employer's First Report of Occupational Injury, Employee's Report of Injury, Supervisor's Report of Injury, Wage Statements, Medical Release Forms, Employer's Supplemental Report, Memorandum of Payment or Notice of Controversy Form, Informal Conference Report, Medical Reports and related correspondence. Although the Bureau of Human Resources is the agency of record, most documents are actually held by the agency employing the individual worker. The full retention period should be applied to these documents.

Agency of Record: Office of Employee Health and Benefits – Workers Compensation Division
Retention of Record Copy: 13
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 6/4/2015

10 DIRECT HIRE APPLICATIONS

Certain positions may be filled directly by the department or agency which has the vacancy. The Federal Fair Employment Practices Act requires that these applications and accompanying documents (transcripts, letters of reference, etc.) be retained two years, after which they may be destroyed.

Agency of Record: Creating Agency
Retention of Record Copy: 2
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 1/15/1996

11 EMPLOYEE MEDICAL RECORDS

All medical records created at the request of the employing department. OSHA requires that these medical records be maintained for 30 years after the employee leaves state service.

Agency of Record: Creating Agency
Retention of Record Copy: 30
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 10/23/2008

12 EMPLOYEE TRAINING RECORDS

All certifications, certificate and related documentation, For employee required/state training. Destroy 4 yrs. after employee separates from state service.

Agency of Record: Creating Agency
Retention of Record Copy: 4
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 10/23/2008

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13 Job Interview Packs

This is all materials prepared and collected for the actual interview process. This is separate from the materials in Series 10 Direct Hire Applications. This includes all structured interview materials and related correspondence.

Agency of Record:	Creating Agency
Retention of Record Copy:	4
Disposal:	Destroy
Retention of Copies:	N/A
Date Adopted:	6/4/2015

14 Personnel Performance Forms - Record of Employee Performance

Agency personnel folder is to be sent to new employing agency whenever a State employee is transferred/promoted/restored to service. When employee separates from State service, last employing agency will retain complete personnel folder 4 years. Documents that would provide proof of State service (such as job history, salary history, etc.) may not be destroyed unless agency Personnel Officer has verified that information is duplicated in employee's Bureau of Human Resources file. If information is not so duplicated, document must be transferred to Bureau of Human Resources before remainder of file can be destroyed.

Agency of Record:	Creating Agency
Retention of Record Copy:	4
Disposal:	Destroy
Retention of Copies:	N/A
Date Adopted:	6/4/2015

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General Schedule Number: 11 MFASIS-HR REPORTS

1 REPORTS GENERATED BY MFASIS SYSTEM

The Maine Financial and Administrative Statewide Information System (MFASIS-HR) is a biweekly payroll/personnel/position control system that supports all employees in all branches of state government. MFASIS-HR provides flexible functionality for state human resources and payroll administrators and assures conformity to state and federal financial and legal requirements. MFASIS-HR is comprised of four major subsystems: Human Resources - Personnel; Payroll; Position Control; and Benefits Administration. Destroy when superseded by more current information. In no case should a report be retained longer than the record series to which the report relates (see General Schedules 1-10).

Agency of Record:	Creating Agency
Retention of Record Copy:	Destroy When Updated
Disposal:	Destroy
Retention of Copies:	N/A
Date Adopted:	6/4/2015

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General Schedule Number: 12 MINUTES OF MEETINGS

1 MINUTES OF MEETINGS - BOARDS AND COMMISSIONS

Minutes of official meetings of boards and commissions, as transcribed from secretary's notes or abstracted from recording of meeting and incorporated into the board or commission's files. Note: Earlier transfer of minutes to the Archives, or a Records Center retention period, may be arranged by contacting Records Management.

Agency of Record: Creating Agency
Retention of Record Copy: 10
Disposal: Archival
Retention of Copies: N/A
Date Adopted: 2/23/1993

2 MEETING NOTES - BOARDS AND COMMISSIONS

Shorthand notes and other notes made by the secretary or secretary pro tem in the course of the meeting, used at a later time to prepare official minutes for the board or commission's approval and adoption. Destroy as soon as the board or commission acts on the minutes as presented by the secretary.

Agency of Record: Creating Agency
Retention of Record Copy: Contingent Upon Event - See Description
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 2/23/1993

3 RECORDINGS OF MEETINGS - BOARDS AND COMMISSIONS

Audio or video recordings of official meetings of boards or commissions. If a verbatim transcript is prepared, it may be retained for 5 years and the audio or video tape may be reused/destroyed. Note: Boards/commissions are not required to tape their meetings; but if they do so, the recordings are official state records and may not be destroyed except as permitted by this schedule.

Agency of Record: Creating Agency
Retention of Record Copy: 5
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 2/23/1993

4 MINUTES AND FILES OF GENERAL OFFICE MEETINGS

Minutes, agendas and meeting files from office staff meetings, internal committees, and other internal meetings which meet to coordinate activities, work out problems, serve as sounding boards, or as vehicles for communication but where agency policy decisions are not coordinated.

Agency of Record: Creating Agency
Retention of Record Copy: 2
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 6/4/2015

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General Schedule Number: 13 State Agency Correspondence

1 COMMISSIONER/EXECUTIVE CORRESPONDENCE

Incoming or outgoing correspondence in any media format of a commissioner or other governing official. Correspondence may pertain to the functions, policies, procedures or programs of an agency. The records will most often document executive decisions made regarding agency interests (not filed as part of another approved record series). Note: Each department has the option of retaining its commissioner's correspondence on site for longer than 2 years.

Agency of Record: Creating Agency
Retention of Record Copy: 2
Disposal: Archival
Retention of Copies: N/A
Date Adopted: 6/4/2015

2 PROGRAM CORRESPONDENCE

Incoming and outgoing correspondence in any media format created in the course of administering agency functions and programs. Administrative correspondence documents work accomplished, transactions made, or actions taken. This correspondence documents the implementation of agency functions rather than the creation of functions or policies. Business-related correspondence that is related to a core function with an associated retention schedule should follow the associated schedule. File with related record series, or (if there is no related series) establish appropriate departmental retention schedule.

Agency of Record: Creating Agency
Retention of Record Copy: Variable (see description)
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 6/4/2015

3 GENERAL CORRESPONDENCE

Incoming and outgoing correspondence in any media format to or from employees that are made or received in connection with the transaction of public business, and that are not covered by a more specific records series. Consists of routine correspondence of a general nature that are associated with administrative practices but that do not create policy or procedure, document the business of a particular program or act as a receipt. Includes, but is not limited to: Requests for and provision of information/advice; agency-initiated information/advice.

Agency of Record: Creating Agency
Retention of Record Copy: 2
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 6/4/2015

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General Schedule Number: 13 STATE AGENCY CORRESPONDENCE

4 TRANSITORY CORRESPONDENCE

Incoming and outgoing correspondence in any media format that is purely informational in nature, only documenting information of temporary, short-term value (normally would not need to be kept more than 30 days). These records would not be needed as evidence of a business transaction and not covered by a more specific records series. Includes, but is not limited to: miscellaneous notices or memoranda which do not relate to the functional responsibility of the agency (notices of government events, employee meetings, etc.); letters of thanks; invitations and responses to invitations; basic information requests that require no special compilation or research (such as hours open); letters of transmittal that do not add any information to that contained in the transmitted material; and notices including memoranda and other records that do not serve as the basis of official actions, such as holiday notices, charity and fund appeals, etc.

Agency of Record: Creating Agency
Retention of Record Copy: Retain until no longer needed
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 6/5/2015

5 NON-BUSINESS RELATED CORRESPONDENCE

Non-business related correspondence is correspondence in any media format that is not relevant to the conduct of agency business. Any correspondence not received or created in the course of state business, may be deleted immediately, since it is not an official record: the "Let's do lunch" (not a State-business lunch) or "Can I catch a ride home" type of note. This would include spam or junk mail, personal message, or unsolicited messages from coworkers such as jokes, news reports or announcements which are non-work related. Promotional material from vendors, and similar materials that are "publicly available" to anyone, would also not be considered official records unless incorporated into a file for specific program purposes and reference needs.

Agency of Record: Creating Agency
Retention of Record Copy: Delete/destroy immediately
Disposal: Destroy
Retention of Copies: N/A
Date Adopted: 6/4/2015

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General Schedule Number: 14 Rules Adopted by State Agencies

1 APA (ADMINISTRATIVE PROCEDURES ACT) RULES

All rules adopted under the APA are filed with the Secretary of State (Bureau of Corporations, Elections and Commissions). This filing constitutes the record copy, which is maintained at CEC for 20 years after it expires, is repealed, or is superseded. It is then transferred to Archives for permanent retention. 5 MRSA 8056 subsection 2 requires each State agency to maintain a complete set of its currently effective rules. The Bureau of Corporations, Elections and Commissions also advises that the adopting agency permanently retain the copy of each expired, repealed or superseded rule that is stamped "Accepted for Filing," because this is the agency's legal proof that it complied with the APA and had a right to enforce the rule.

Agency of Record:	Secretary of State
Retention of Record Copy:	20
Disposal:	Archival
Retention of Copies:	Destroy When Updated
Date Adopted:	4/14/1994

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General Schedule Number: 15 Quality Management Records

1 AGENDAS AND MINUTES OF QUALITY COUNCIL MEETINGS

A record copy of agendas and minutes of all Department, Bureau, and Division Quality Council meetings shall be maintained by the department's Quality Management Coordinator. Minutes more than 3 years old may be transferred to Archives at the Coordinator's discretion.

Agency of Record:	Creating Agency
Retention of Record Copy:	3
Disposal:	Archival
Retention of Copies:	N/A
Date Adopted:	4/12/2000

2 MINUTES AND FINAL REPORTS OF PROCESS ACTION, PROCESS PLANNING, AND WORK TEAMS

Minutes and final reports of all Process Planning Teams, Work Teams, and officially chartered Process Action Teams shall be maintained by the department's Total Quality Management Coordinator. Minutes more than 3 years old may be transferred to Archives at the Coordinator's discretion.

Agency of Record:	Creating Agency
Retention of Record Copy:	3
Disposal:	Archival
Retention of Copies:	N/A
Date Adopted:	4/12/2000

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General Schedule Number: 16 State Employee Charitable Programs

1 Maine State Employees Combined Charitable Appeal Campaign (MSECCA)

These records support the Maine State Employees Combined Charitable Appeal Campaign (MSECCA) program, a coordinated campaign to encourage financial support from state employees for various charitable agencies. The records are used for accountability of how employee's contributions are distributed to the various charitable organizations. All records pertaining to Federal and Agency submission applications and Committee decisions, correspondence, campaign audit reports, administrator contracts, Planning & Admission Committee meetings.

Agency of Record:	Governor's Office
Retention of Record Copy:	10
Disposal:	D
Retention of Copies:	3
Date Adopted:	10/23/2008

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General Schedule Number: 17 Freedom of Access Act

1 FREEDOM OF ACCESS ACT REQUESTS

A written request for copies of Public Records that are in the custody of State Government or its Agencies.

Agency of Record:	Creating Agency
Retention of Record Copy:	1
Disposal:	Destroy
Retention of Copies:	N/A
Date Adopted:	6/4/2015

32 | Unless noted retention times are in terms of years. If there is a retention time for Retention of Copies, this will be the responsibility of the Creating Agency; unless noted, this is disposition destroy.