

**Maine State Archives**

# **Local Government Record Retention Schedules**

Prepared by the Records Management Division  
In Accordance with Maine Title 5, Chapter 6, §95-B  
Approved by the Archives Advisory Board  
May, 2024 Edition (Version 1)

# Maine Local Government Record Retention Schedules

These retention schedules can be used by all local governments and their agencies and offices. "**Local Government**" means a municipality, a quasi-municipal organization (such as a school administrative district, water or sewer district, etc.), an office of county government (such Register of Deeds, County Sheriff, etc.), and offices of District Attorney.

The schedules list those records which any local agency may create or receive in the transaction of official business. For a local agency to have an effective records management program, these retention schedules must be used on a regular basis.

Retention schedules indicate the minimum length of time records must be retained before they can be destroyed or whether records must be retained for archival preservation. The Maine State Archives issued these retention schedules pursuant to [Maine Title 5, Chapter 6, §95-B](#). This approval provides the legal basis for local agencies to incorporate these schedules as part of an active records management program.

The purpose of these schedules is to:

- establish retention requirements for temporary records and ensure records are retained as long as needed for administrative, legal and fiscal purposes;
- ensure records with enduring historical and other research value are identified and retained permanently; and
- facilitate the systematic disposal of unneeded records.

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## MANAGEMENT OF RECORDS

For the purposes of this document, the terms “shall” or “must” indicate a requirement and the terms “should” or “may” indicate a recommendation or best practice.

### RECORDS RETAINED

The schedules apply to records regardless of the format or media in which they exist, including electronic records. According to [MRS Title 5, §92-A](#), "Record" means all documentary material, regardless of media or characteristics and regardless of when it was created, made or received or maintained by an agency in accordance with law or rule or in the transaction of its official business. This includes records of historic and archival value to the State, regardless of the date of their generation, including all documents determined to have such value to the State by statute and, when appropriate, by the State Archivist. "Record" does not include extra copies of printed or processed material of which official or record copies have been retained, stocks of publications and processed documents intended for distribution or use, or records relating to personal matters that may have been kept in an office for convenience.

Records which are to be retained shall be preserved by the creating agency or deposited with an approved alternative institution (see Appendix A). The State Archivist shall accept all permanent records of any deorganized Maine municipality.

### RECORDS AUTHORIZED FOR DESTRUCTION

Once records have fulfilled their administrative, fiscal, or legal function they should be disposed of as soon as possible in accordance with these Records Retention Schedules. Records can be destroyed by shredding, pulping, burning, or other acceptable means. If files are to be removed from the original record and kept under another series, it shall be specifically noted in the description and/or retention so specific files are “removed,” not “destroyed.”

It is up to the governing body of each respective Local Government Agency to set up final review and disposal procedures for records which have reached the end of their retention time. Any records disposed of must be recorded on Disposition Forms. These forms must be retained permanently. (*See Appendix H for sample form.*) For more information on record disposition refer to LG1.30.

Local government agencies must receive and retain a **certificate of destruction** for any records collected by/sent to recycling facilities to ensure: 1) only records actually due for destruction are collected; 2) records intended for recycling are not at risk of removal by unauthorized persons, both while on site at the local government agency's offices and after removal to the recycling facility; 3) there is reasonable assurance that the recycling process will completely obliterate all information from the records.

## **DISPOSITION OF LOCAL GOVERNMENT RECORDS**

No record shall be destroyed except by these schedules, unless authorized by state or federal law or rule. Records retained per municipal policy may be retained longer, but not less than, state law or rule. Any records not listed in the Local Government Retention Schedules, or which are not otherwise written in Maine statute or Federal law, must be approved in advance, and in writing, by the State Archivist and the Archives Advisory Board. Default retention is permanent for any records not listed in the Local Schedules.

Requests for alternative retention of records or for retention of records not specified in the Local Schedules can be made in writing to the State Archivist, accompanied by sample copies of the records involved. Communications can be addressed to: State Archivist/Local Government Records, Maine State Archives, 84 State House Station, Augusta, Maine 04333; or email [katherine.mcbrien@maine.gov](mailto:katherine.mcbrien@maine.gov).

## **RECORD RETENTION SCHEDULES**

These record retention schedules shall be used to identify those local government records that shall be retained permanently by the local government agency and to provide retention periods for records that have temporary value. All municipal, quasi-municipal, and county government offices shall follow the records retention requirements as provided.

## **RECORDS SUBJECT TO AUDIT OR LITIGATION**

A Local Government record whose retention period has expired cannot be destroyed if any litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the record is initiated or reasonably anticipated; 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. For more information on this subject, see the Maine [FOAA website](#).

## **ELECTRONIC RECORDS**

Records retention schedules apply to records regardless of their physical format. Therefore, records created or maintained in electronic format must be retained in accordance with the minimum retention requirements presented in these schedules.

All local government personnel who develop, use, and maintain electronic records must be trained to use the schedules for determining the *minimum* time records are to be kept fulfilling administrative, fiscal, and legal requirements of the agency.

All local 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 legal, fiscal, and administrative retention periods have been met, regardless of the medium.

*For further information on Records / Electronic Records see Appendix D and E.*

## CORRESPONDENCE

Correspondence can be produced in many formats including paper and electronic records. Correspondence records are covered by Schedule 9. The retention periods listed on this schedule apply equally to all correspondence, whether electronic 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; whether messages are copies where no action is required; and whether other copies exist. Here are a couple of examples: A message from the Town Manager sent to all employees might be maintained as Official Correspondence by the Town Manager. That same piece of correspondence received by employees would be considered informational or transitory (unless action is required). In lengthy, business-related email discussions involving several 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.

**Official 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 decisions or actions, or summaries of cumulative experience or history. Most of this correspondence will be for administrative officers or board officials. Not everything written at this level will have archival value. Records must be based on content and always be evaluated.

**General Correspondence** is correspondence that is not crucial to the preservation of the administrative history of the city/town office. It is of a non-policy nature and without permanent value dealing only with general operations. These can include general requests and inquiries from the public which do not constitute an official FOAA request, but which may require some research. Examples of General Correspondence include explanations of policy, requests for information, or business-related discussions within an office.

**Program Correspondence** relates to specific government programs documenting work accomplished, transactions made, or actions taken. These records are created while administering functions and programs and should be filed as part of the program records or per the retention schedule established for the specified program. Retention will vary depending on the retention schedule. An example of correspondence related to a program could be any relevant communications related to election files or contracts. Relevant correspondence would generally be retained as long as other documents for the program.

**Transitory Correspondence** consists of records that are created primarily to communicate information of short-term value. These are records of temporary usefulness that are not an integral part of a records series of an agency, that are not regularly filed within an agency's recordkeeping system, and that are required only for a limited time for the completion of an action. Examples of transitory messages include, but are not limited to, reminders to employees about scheduled meetings or appointments; most telephone messages (whether in paper, voice mail, or other electronic form); announcements of office events such as holiday parties or group lunches; and recipient copies of announcements of agency sponsored events such as exhibits, lectures, workshops, etc. Transitory messages are not intended to formalize or perpetuate knowledge and do not set policy, establish guidelines or procedures, certify a transaction, or become a receipt.

## **SOCIAL MEDIA**

Many agencies are using social media to communicate with citizens and gather feedback. Social media refers to the various activities integrating web technology, social interaction, and user-generated content. Social media is used internally and externally to share routine information, support business processes, and connect the public to local government. Social media includes blogs, microblogs (Twitter), video sites (YouTube, TikTok), image sharing services (Flickr, Instagram), networking sites (Facebook, LinkedIn), and other interactive sites.

Social media is also a records creation platform, and those records must be managed throughout their lifecycle, just like any other record. All posted material is public record. A process to save and retain all postings (outgoing and incoming), must be instituted in accordance with the State's Records Retention Law. This requirement applies regardless of the form of the record (digital text, photos, audio, video, etc.). Agencies shall not rely upon the social media provider's in-house policies for this purpose.

Agencies need to understand what is involved in using social media as a means of communicating and distributing information to their constituents. Using social media requires thoughtful consideration of access, resources, technology, records management, and security.

If social media is already being used, the agency or municipality must conduct an inventory to determine how those platforms are being used and what type of records are being created so there is a broad sense of the scope of the activity and value of the records being generated (what should be captured and for how long).

## **TEXT MESSAGES**

Text messages about the work of the agency are public records. Texting on personally owned devices about the work of the agency are still public records. Retention of text messages is the responsibility of the agency and is based on the function/content of the message, not its format. Like social media, using text messages for government communication complicates the process of capture and preservation. The Maine State Archives does not recommend using text messaging for more than transitory communications (unless there is a capture tool in place). In the instance that a text message becomes an official record, the Archives requires sending the text message content to an official local government email address for retention. Agencies must clearly understand the limits of using third-party tools and the potential risks of using text messaging for anything other than transitory messages.

## **PUBLICATIONS**

Publication includes those items which are printed or made available online and open to the public. They document agency-related functions or activities, but not material issued for internal administrative use. Publications and reports contain important facts and statistics about the operation of the agency and its policies and are retained permanently because they provide information which aids in understanding the administrative functioning of the agency.

## **MINUTES OF MEETINGS**

Boards, commissions, councils, task forces, etc., that were established by statute or Executive Order, or that establish or administer policy are examples of entities for which minutes must be created and retained per [MRS Title 1, §403. MEETINGS TO BE OPEN TO PUBLIC; RECORD OF MEETINGS](#). For more information on meeting minutes, refer to Schedule 10.

**NOTE:** State Archives recommends retaining these records in the form of written minutes. These are historic records which capture local government proceedings. Ensuring audio/video recordings are accessible and usable indefinitely would prove to be extremely challenging.

## **INFORMATIONAL AND REFERENCE MATERIALS**

These are materials which may aid in or support the conduct of official agency business but are not critical to continued operations and typically are considered non-record materials; items often produced outside the agency; and duplicate copies or material retained elsewhere. These materials are retained solely for the ease of access and reference. When reference materials are not included as part of another record series (a program study, for example), they should only be kept until no longer needed and then destroyed. Examples of informational and reference materials: externally created brochures and publications, duplicate copies of memoranda which do not require action by the receiving unit, literature not related to day-to-day activities, and some tracking tools, such as logs.

## **COPIES OF RECORDS (CONVENIENCE COPIES)**

Agencies often make copies of records for internal use for reference purposes. The original record would be designated as the official record and be retained according to an approved records retention schedule. Agencies can destroy all other copies when they are no longer useful but retain no longer than the official record. For FOAA purposes, a convenience copy shall not be retained longer than the official record. Otherwise, if there is a FOAA request, that **copy** (which should have been destroyed) will have to be produced.

**IMPORTANT NOTE:** Copies can sometimes have other purposes with an associated retention if they have a specified purpose separate from the official record (but never longer than the official record). These are not considered convenience copies but are retained to fulfill an administrative, fiscal, or legal purpose for the agency.

## HOW TO USE THE SCHEDULES

Records (regardless of media) are scheduled for retention by the office which has legal accountability. Additional copies held only for convenience are not records and can be destroyed when no longer needed. (No copies shall be retained longer than the original *record copy* and beyond required retention periods.) Drafts and working documents which add supportive information, or which are incorporated into official files become part of that file and have the same retention period as the other records contained therein. (See Appendix F for more information on drafts.)

The retention column indicates either 1) a limited period after which the records will be destroyed, or 2) the word "Permanent," indicating the records **cannot be destroyed** and must be retained permanently.

**Retention starts at some trigger event** - something which occurs to initiate the beginning of the retention period. Typically, for most local government records, it is when a record is considered closed (when the normal business process has concluded). For other records it could be based on a specific event such as the approval of Board minutes; termination of employee; or settlement of claim. The start of the retention period should be noted in the associated retention schedule.

By default, any retentions not specifically noted in these schedules begin when records are considered closed.

### Confidential Records

For confidentiality restrictions on records, agencies can refer to state and federal law or consult with their legal counsel. There may be records that are confidential by statute or records which are confidential in part. There may also be conditions where certain final judgements may be released, even though most of the case file remains confidential. As one example, most personnel files are confidential, however there are exceptions (see [MRS Title 30-A, §2702. PERSONNEL RECORDS](#)).

**Local Government Record Retention Schedules will remain in effect until replaced, withdrawn, or superseded by the Maine State Archives.**

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STATUTORY AUTHORITY: 5 MRSA, Chapter 6, §95-B

EFFECTIVE DATE: May 16, 2018

AMENDED: August, 24, 2018 (School Schedule revision); September 9, 2019 (correction of description, Election Schedule 5.2);  
October 14, 2020 (correction of confidential records description and removal of notations)

REVISION: May 16, 2024 (Version 1 revision)

## Overview of Schedule Changes for Version 1

Schedule	Previous Schedule Number	Revision Status
Schedule 1 Administrative Records	1	Revised
Schedule 2 Financial Records	2	Revised
Schedule 3 Payroll Records	3	Revised
Schedule 4 Personnel Records	4	Revised
Schedule 5 Election Records	5	Revised
Schedule 6 Licenses and Permits (Parts 1 and 2)	6	Revised
Schedule 7 Vehicle Registrations	7	Revised
Schedule 8 Vital Records	8	Revised
Schedule 9 Correspondence	New (previously part of Admin)	New
Schedule 10 Meeting and Board Records	New (previously part of Admin)	New
Schedule 11 Electronic/Information Technology Records	New	New
Schedule 12 Building/Land Records	9	Revised
Schedule 13 Parks and Recreation Records	10	Revised
Schedule 14 Public Works	11	Revised
Schedule 15 Assessor's Records	12	Revised
Schedule 16 Tax Records	13	Revised
Schedule 17 County Clerks, Commissioners, Treasurers	14	Revised
Schedule 18 Register of Deeds	15	Registry made no changes
Schedule 19 Register of Probate	16	No changes
Schedule 20 District Attorneys	17	Review pending
Schedule 21 Law Enforcement	19	Revision pending
Schedule 22 Jail Records	20	Revision pending
Schedule 23 Fire Department	21	Revision pending
Schedule 24 Schools	18	Revision pending

# RECORD RETENTION SCHEDULES

**Section A**  
**Administration/General Office,**  
**Human Resources**

## Local Government Schedule 1 - Administrative Records

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies shall be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, see Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG1.1	<b>Accident/Incident Reports, Employees and Public</b>	Includes personal injury, incidents, property damage, vehicle accidents, other accidents and/or complaints. The information is used for potential claims and the need for investigations. Additionally, OSHA requires agencies with more than ten employees to maintain a record of occupational injuries and illnesses. This record series may include: personal information, location of incident, type of accident, incident/accident specifics, if an employee was involved, a description of incident/complaint, action taken by staff members, witnesses, medical treatment sought (if any), work leave/restrictions and other related information.	No claim: retain 3 years from date of report then destroy Claim: retain 6 years after settlement or denial of the claim NOTE: for minors, retain records until age of majority, then follow above retention periods
LG1.2	<b>Administrative Calendars</b>	Employee calendars, facility use schedules, meeting schedules.	Retain calendars for current year then destroy
LG1.3	<b>Annual Reports Created by Local Government (one copy)</b>	E.g., town reports, comprehensive reports of counties, school districts, etc. (See also Reporting series and Publications)	Archival records, retain permanently
LG1.4a	<b>Bond Records, Contractor/Surety</b>	A surety (security or contract) bond issued by an insurance company or a bank to guarantee satisfactory completion of a project by a contractor. A job requiring a payment and performance bond will usually require a bid bond, to bid the job. Used to fulfill a contractual obligation. If a contract isn't fulfilled, loss is recovered through the surety bond.	Retain 6 years after expiration then destroy
LG1.4b	<b>Bond Records, Employee/Fidelity</b>	Supplementary employee insurance which protects local government agencies. Also known as a fidelity bond. Fidelity bonds reimburse employers for damages or losses that can arise from theft, forgery, fraud or embezzlement by company staff.	If applicable, retain 6 years after expiration then destroy
LG1.5	<b>Charters</b>	Charters, bylaws, mission statement or other similar documents establishing the responsibilities and authority of the local government agency.	Archival records, retain current versions, amendments and previous versions permanently
LG1.6	<b>Citizen Complaints</b>	Communications from citizens making a complaint, as well as the associated agency response. This record series may contain: correspondence, nature of complaint and steps taken by the office to answer the complaint.	Retain 3 years after final resolution then destroy

<b>LG1.7</b>	<b>Clinics Sponsored by Local Government Agency</b>	Immunizations, cholesterol/blood pressure screenings, etc. Does not include records maintained by government-operated hospitals or similar health care facilities.	Retain 10 years then destroy
<b>LG1.8</b>	<b>Comprehensive Plans (Adopted)</b>	These records document the plans for the future growth and development of the community. A comprehensive, long-range general plan addresses present and future needs of local government; and growth and development of all or any part of the land within the municipality/county. The plans may contain elements such as: Land Use Plan, Transportation and Circulation, Economy, Environment, Community Facilities Plan.	Archival records, retain permanently
<b>LG1.9a</b>	<b>Disaster or Emergency - Preparedness Plans</b>	Disaster and emergency preparedness plans for staff and facilities. Records may include, but are not limited to, correspondence, memoranda, risk assessments and studies, disaster/contingency and evacuation plans and building maps, supporting materials used to develop plans, and training and materials.	Retain until superseded then destroy
<b>LG1.9b</b>	<b>Disaster or Emergency - Response/Recovery Records</b>	Records documenting responses to and recovery from significant emergency or major disaster (such as major fires, flooding, pandemics, etc.) where non-routine methods and procedures are used, including the utilization of special resources and outside assistance. These types of incidents will typically disrupt or suspend normal operations.	Archival records, retain permanently
<b>LG1.10</b>	<b>Equipment/Asset Inventory</b>	Records relating to the inventorying of the agency's capital, expendable and consumable assets (including equipment, office furniture, autos and other items owned by the local government). Updated when new items are purchased and old items are sold or given away. Used to track each item and know its whereabouts and for the annual audit. Series may contain: Name of the asset, description, location, purchase date, serial or other identifying number, original cost and current value. Also documents related to the purchase, upgrading, and maintenance of equipment such as motor vehicles, computers, etc.	Retain for 4 fiscal years after date of inventory or until disposition of asset and completion of Local Audit, whichever is sooner then destroy.
<b>LG1.11a</b>	<b>Events and Programs - Historic</b>	Records that document significant events or the history and development of the agency and its programs. (Refer to Appendix G for further guidance.)	Archival records, retain permanently
<b>LG1.11b</b>	<b>Events and Programs - Routine</b>	Records which document involvement in routine celebrations/ceremonies/events which do not contribute to policy or the history of the agency. Records may include: photographs, audio/visual recordings; planning documents; social media records.	Retain 3 years then destroy

LG1.12	<b>Freedom of Access Act Requests (FOAA)/Public Records Requests</b>	Records relating to requests from the public for access to the agency's public records in accordance with Title 1, Chapter 13, Subchapter 1. Records may include correspondence relating to the request; records documenting the public records provided to the requestor (copies or lists of the records provided, etc.). Records close upon completion of request.	Retain 1 year from the completion of request then destroy
LG1.13	<b>General Assistance Records - Applications and Case Files</b>	Records related to general assistance provided to residents for basic necessities such as affordable housing, utilities, and food.	Retain 3 years after closure of case then destroy
LG1.14a	<b>Grants - Denied Applications</b>	Documentation of grants in which the application has been denied. May include applications, grant evaluation summaries, working papers, letters of denial, and other related documentation.	Retain 1 year after grant application denied then destroy
LG1.14b	<b>Grants - Issued by Local Government</b>	Records may include grant announcement parameters, grant applications, grant evaluation summaries, notification of grant awards, grant project status, fiscal reports, correspondence related to grant monitoring, audit reports, progress and compliance reports prepared and submitted by the grantee and related documentation.	Retain 6 years after end of grant period then destroy
LG1.14c	<b>Grants - Received by Local Government</b>	Documentation of grant projects and funds received and expended. May include copies of Requests for Proposals (RFPs), applications, notifications of grant awards, fiscal reports and supporting documentation, reports and correspondence related to grant monitoring, audit reports, status reports, compliance reports, grant modification requests, and progress reports. Excludes final reports, publications or major studies related to the grant (covered by other archival schedules under this schedule).	Retain 6 years after end of grant period then destroy
LG1.15a	<b>Hazardous Chemicals - Chemical Identification List and Related Records</b>	Each work site where hazardous chemicals are used or stored must maintain a list, with SDS (see 1.15.b) and any related documents.	Retain 20 years after removal or destruction
LG1.15b	<b>Hazardous Chemicals - Safety Data Sheets</b>	Safety Data Sheets explain the hazards and describe the measures that should be taken if employees are exposed to chemicals stored or used at the work site.	Retain current version until updated
LG1.16	<b>Historical Records of Local Government</b>	Records that document significant aspects of the history of the community and its citizens; that document the history and activities of a local government or any of its departments, programs, or projects except such records noted elsewhere in these schedules. <b>NOTES:</b> Be certain that materials do not fall within other records series. See Appendix G for further information regarding Appraising Records for Archival Value.	Archival records, retain permanently

<b>LG1.17</b>	<b>Hospital Liens</b>	Liens filed with the municipality by a local hospital against a patient who has failed to arrange for payment for care.	Retain 6 years after filing, then destroy. If there is a lawsuit filed within 6 years of filing, retain until resolved plus 6 years, then destroy. NOTE: for minors, retain records until age of majority, then follow above retention periods
<b>LG1.18</b>	<b>Insurance Claims</b>	Includes both claims filed against local government agency, and claims filed against others by local government agency.	Retain until settled plus 6 years
<b>LG1.19a</b>	<b>Insurance Policies, All Other</b>	Policies carried by local government agency to protect itself against all other losses except liability claims. Including: medical, automobile, fire, theft, life, and all other insurance policies purchased by the agency.	Retain 6 years after expiration
<b>LG1.19b</b>	<b>Insurance Policies, General Liability</b>	Policies carried by local government agency to protect itself against liability claims.	Retain 20 years after expiration (includes current and previous versions)
<b>LG1.20</b>	<b>Labor Citations - Safety Violations</b>	Record of safety violations discovered during inspection of local government facilities. <b>NOTE:</b> An uncorrected violation cannot be destroyed.	Current plus one year
<b>LG1.21</b>	<b>Legal Files</b>	Records of all legal actions in which local government has been involved.	Retain 6 years after issue is resolved; landmark or precedent setting cases may need to be retained for a longer period.
<b>LG1.22</b>	<b>Mail Delivery and Receipt</b>	Receipts for registered, certified or other mail sent out by an agency as well as undeliverable registered or certified mail items returned by the post office for any reason (including: notices for sewer liens and tax liens). The records are typically filed with the agency's copy of the item mailed. NOTE: In instances when there is a legal need to demonstrate that a mailing was sent to a particular address, retain undeliverable/returned mail for as long as legally necessary.	Retain 1 year then destroy (unless needed longer for legal purposes)
<b>LG1.23</b>	<b>Multimedia Records (Not Recordings of Meetings)</b>	This series documents activities and functions in multimedia format. Such activities may document the administrative functioning of an agency, its programs, operations, and training and contribute to the understanding of the administrative history of an agency. When creating multimedia records, it is important to identify the event being recorded and people participating.	Retention is variable depending on subject matter. Retention would be based on the content/value of the material and subsequent series.

<b>LG1.24</b>	<b>Oaths/Appointments</b>	Appointments to boards, commissions, or other offices with accompanying oaths of office, usually in a bound volume or "book."	Retain until the end of term plus 10 years.
<b>LG1.25</b>	<b>Ordinances; Orders and Resolves</b>	Laws, statutes and/or regulations approved and enacted by the local government agency's governing body. All ordinances, adopted orders and resolves, including proposal documentation. These records are sometimes included with Official Minutes of Meetings.	Archival records, retain permanently
<b>LG1.26a</b>	<b>Policies and Procedures - Major</b>	Major administrative policies and procedures generally are issued by the chief administrative officer or executive level to address municipal or county-wide operations, critical functions, or issues of public visibility or concern or to regulate activities outside the agency. Major policies and procedures are formally promulgated and often take the form of formal directives, formal policy memoranda, printed or published procedures, bulletins, orders, rules, notices, or formal policy and procedural manuals.	Archival records, retain permanently.
<b>LG1.26b</b>	<b>Policies and Procedures - Routine (Internal Operations)</b>	Administrative policies and procedures governing routine, day-to-day operation of an office or program unit. These records may include memoranda, orders, guidelines, manuals, or other instructions which can be directive in nature but pertain to the internal administration of an agency or program unit and would not impact citizens or be of any historical significance to the agency.	Retain until superseded then destroy
<b>LG1.27</b>	<b>Proclamations</b>	Items that document honorary or significant days of events related to local government.	Retain until no longer needed
<b>LG1.28</b>	<b>Public Relations Records - Routine Information</b>	News, press releases, or any public relations files maintained or issued by an agency which documents routine information but does not document historically significant events.	Retain 6 years after day of issue then destroy
<b>LG1.29</b>	<b>Publications</b>	Publications created by local government for public distribution, regardless of format, that document agency history, functions, or activities. Publications contain important facts and statistics about the operation of the agency and its policies; providing information which aids in the understanding of agency history and its administrative functions.	Archival records, retain permanently

LG1.30	<b>Records Destruction Documentation</b>	Records documenting authorized destruction of agency records. These include forms or other records which the agency uses to document the disposal of its records. Destruction documentation is intended for program records under local government retention schedules documenting the major functions of the agency and not for transitory/general records. The purpose is to protect local government if there is ever a question regarding proper record destruction. Includes both paper and electronic records. Each record series being disposed of should include the following information: schedule/series number; series title; inclusive dates of the records; media type; file list; record volume/file size; manner and date of disposition.	Archival records, retain permanently
LG1.31a	<b>Reports and Studies File - General Office</b>	Records concerning the internal performance of an agency and its departments, programs, or projects, or the internal planning of future programs or projects, not of a historic or policy-setting nature.	Retain monthly, bimonthly, or semi-annually office reports 3 years then destroy. Retain daily activity reports, workload measurements, and other reports prepared on a daily or periodic basis 1 year then destroy.
LG1.31b	<b>Reports and Studies File - Major</b>	Major studies initiated at the executive level and/or conducted in response to a legislative order, executive order, federal requirement, or court order. Generally, addresses agency-wide operations or issues, affects the most important or most critical functions, or addresses areas of public visibility or concern.	Archival records, retain permanently
LG1.32a	<b>Reports Filed with Federal or State Agencies – Interim Records/Reports</b>	Required interim or periodic reports sent to state/federal government. Records may include reports relating to licenses, permits, accreditations, certifications, inspections, and other required reports related to general functions and operations. Often used to create final reports.	Retain 6 years then destroy
LG1.32b	<b>Reports Filed with Federal or State Agencies – Annual/Final Report</b>	See Reports and Studies File - Major. Final versions of reports required by state/federal government.	Archival records, retain permanently
LG1.33	<b>Surveillance Records</b>	Recordings which document the activities in public areas of local government facilities used as a security measure in the identification of persons who cause disturbances or violate laws. Cameras may be located in areas such as lobbies, hallways, entrances to government buildings, local government offices and other public access areas.	Retain until determined that no security incident has occurred, then destroy. If incident or investigation, retain until resolved.
LG1.34a	<b>Surveys - Responses by Local Government Employees</b>	Individual responses to surveys or questionnaires.	Retain until no longer needed then destroy

<b>LG1.34b</b>	<b>Surveys - Sent by Local Government</b>	Citizen and customer service surveys and related records addressing agency services, policies, and other concerns. Compiled information would be included in a finalized report. (See LG1.29b or LG1.30b)	Retain 1 year then destroy
<b>LG1.35</b>	<b>Training Information Records (Training or Workshop Materials Created by the Agency)</b>	Information used to conduct training sessions/workshops. May include training materials, registration and confirmation records, flyers and/or brochures, other presentation material or related documentation, including audiovisual training aids and taped training sessions.	Retain registration records 3 years after end of training/event then destroy. Retain training records 3 years after superseded or obsolete then destroy.
<b>LG1.36</b>	<b>Warrants - Municipal</b>	Municipal warrant used to call a town meeting, with associated election notice. Warrants typically list an agenda of items to be voted on by those present, which may be an open town meeting, (those present would consist of registered voters in the town) or a representative town meeting (anyone may attend, but only town meeting members - elected representatives - are allowed to vote).	Archival records, retain permanently

## Local Government Schedule 2 - Financial Records

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies shall be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, see Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG2.1	<b>Accounts Payable and Disbursement Records</b>	Including but not limited to: claims, bills, invoices, statements, copies of checks and purchase orders, expenditure authorizations, and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other employment-related expenses.	Retain 6 years then destroy Note: contract related records would be retained 6 years after expiration of contract
LG2.2	<b>Accounts Receivable Records</b>	Including but not limited to: bill copies or stubs, statements, billing registers, account cards, direct deposits, cash receipts, credit card receipts, receipt books, cash transfers, daily cash reports, cash drawer reconciliations, and similar records (such as returned checks and associated fees) that serve to document money owed to or received by a local government and its collection or receipt.	Retain 6 years then destroy Note: contract related records would be retained 6 years after expiration of contract
LG2.3	<b>Audit Reports</b>	Report issued by auditor following each official audit.	Archival records, retain permanently
LG2.4	<b>Audits, Internal (Working Papers)</b>	Calculations and other backup materials used by auditors to generate final report.	Retain 6 years after final report created then destroy
LG2.5	<b>Banking Records</b>	Records relating to the agency's banking activities and documenting its banking transactions including, but not limited to: bank statements, canceled checks, deposits, receipts, etc. Typically included with receivables.	Retain 6 years then destroy
LG2.6	<b>Bankruptcy Notices</b>	Notices filed with local government official by individuals who have been declared bankrupt, in order to have debt(s) owed to local government agency dismissed.	Retain 10 years after debt dismissed then destroy
LG2.7	<b>Bids and Proposals</b>	Records related to the purchase of goods and services which do not require a contract, including purchase requisitions and justifications, vendor solicitations, requests for proposal, price quotations, purchase orders, receipts, and other supporting documentation.	Retain 6 years after completion of service or purchase of goods then destroy Not Selected: Retain 2 years after award then destroy
LG2.8	<b>Bills of Sale for Property That Must Be Filed with Municipal Clerk</b>	Bills of sale for property owned by a local government agency, such as a house located on rented land.	Retain 6 years after property is sold or removed then destroy

<b>LG2.9</b>	<b>Bond Records, Financial</b>	Bonds (financial, representing funds invested) purchased or sold by local government.	Retain 6 years after expiration then destroy
<b>LG2.10a</b>	<b>Budget Records - Approved Annual Budget</b>	Final copy of the adopted budget, listing anticipated revenues and expenses for year. This series does NOT include working papers, drafts, budget requests, or other supporting documentation.	Archival records, retain permanently
<b>LG2.10b</b>	<b>Budget Records - Supporting Documents</b>	Documentation supporting the approved annual budget, including but not limited to working papers, agency staff analyses, drafts, or other working documents used to draw up the final budget, including estimates and requests submitted for compilation by individual departments.	Retain 6 years after approval of budget then destroy
<b>LG2.11</b>	<b>Contracts/Leases</b>	Records related to the purchase of goods and services or leases requiring a contract, including purchase requisitions and justifications, vendor solicitations, requests for proposal, price quotations, contracts, bid proposals, specifications, and other supporting documentation.	Retain 6 years after expiration of related contract then destroy Not Selected: Retain 2 years after award then destroy
<b>LG2.12a</b>	<b>Ledgers/Journals - Daily Transactions</b>	Records documenting the daily transactions concerning receipts and disbursements of funds. May include details of daily receipts and expenditures such as deposit or payment amounts, date, payee, purpose, fund credited or debited, and check number, etc.. These records are considered temporary accounting records which are used to create a local government agency's permanent ledger.	Retain 6 years after yearly report created then destroy
<b>LG2.12b</b>	<b>Ledgers/Journal - Permanent</b>	Summary accounting records, showing line item totals of income and expenditures for year. (May also be referred to as annual or final fiscal reports.)	Archival records, retain permanently
<b>LG2.13</b>	<b>Sewer Commitments</b>	Since the law change, these commitments are to be retained like other financial records.	Retain 6 years then destroy
<b>LG2.14</b>	<b>Vouchers</b>	Official authorization (i.e., internal document) used in order to collect and organize the necessary documentation and approvals before paying on a claim or bill. May include name of department fund, check number, date, amount of claim, and authorizing signature.	Retain 6 years then destroy
<b>LG2.15</b>	<b>Warrants - Financial</b>	Final warrant with authorizing signatures to release payment.	Retain 10 years then destroy

## Local Government Schedule 3 - Payroll Records

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies shall be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, see Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG3.1	<b>Deduction Authorizations</b>	Records documenting an individual employee's authorization to withhold taxes or other authorization to allow deductions from the employee's pay.	Retain 3 years after separation then destroy
LG3.2	<b>Direct Deposit Authorization</b>	This record series documents an employee's authorization for direct deposit of their paycheck in the bank by the local government agency.	Retain until superseded or end of employment then destroy
LG3.3	<b>Employee Salary History</b>	See Personnel Schedule (Employee Personnel Records)	-
LG3.4a	<b>Payroll Register – Pay Period</b>	Earnings and withholdings of employees for each pay period; used to compile the year end Payroll Register. Records include: date, employee names, gross pay, withholdings and deductions, pay rate.	Retain 6 years after year-end report compiled then destroy
LG3.4b	<b>Payroll Register - Year End</b>	Registers, reports, or similar records detailing the cumulative or year-to-date earnings, withholdings, and deductions for local government employees.	Retain 50 years after separation then destroy
LG3.5	<b>Payroll Reports</b>	Various reports which may be generated for all employees or an individual employee. Reports might also be created for pay cycles to verify the accuracy of the payroll.	Retain 6 years if needed for audit or other fiscal purposes then destroy If not needed for audit or other fiscal purposes retain until no longer needed then destroy
LG3.6	<b>Pension or Retirement Records</b>	See Personnel Schedule (Employee Personnel Records)	-
LG3.7	<b>Tax Forms</b>	Forms and reports used to report the collection, distribution, deposit, and transmittal of payroll and other tax related information for employees. Including: W-2 or W-3, Wage & Tax Statement; W-4, Employees Withholding; Form 940, Unemployment Tax; Form 941, Quarterly Tax; 1099 Forms, Miscellaneous income or other distributions.	Retain 6 years after fiscal reporting year then destroy
LG3.8	<b>Time and Attendance Records (Timesheets)</b>	Weekly recordings of hours worked; vacation, sick, or compensatory time used by employees; and exceptions to normally scheduled hours.	Retain 6 years then destroy
LG3.9	<b>Wage Attachments/ Garnishments</b>	Garnishment of employee wages. Records may include: child support records, bankruptcy records, tax levies, and any other court-ordered garnishments or voluntary attachments stating the total amount to be collected and the amount to be deducted from each payroll.	Retain 6 years after file becomes inactive then destroy

## Local Government Schedule 4 - Personnel Records

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies shall be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, see Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG4.1	<b>Employee Disciplinary Records</b>	<p>This record series documents possible discipline of local agency employees. Based upon personnel policies and procedures, discipline may be a verbal reprimand, written reprimand, suspension without pay, demotion, criminal action or termination.</p> <p><b>NOTE:</b> It is recommended that disciplinary records are filed separate from the employee personnel file (see LG4.4).</p>	<p>Retain 10 years after separation unless collective bargaining contract requires that disciplinary documents be destroyed earlier than the contract shall be followed.</p> <p><b>NOTE:</b> Retention is counted for active service, not calendar time. If an employee leaves service with active discipline in the file that discipline remains until employee returns or file is destroyed per this schedule.</p>
LG4.2	<b>Employee Drug Tests</b>	Records of drug test and results for employees of local government agency.	Retain 5 years then destroy
LG4.3	<b>Employee Medical and Exposure Records</b>	<p>These are occupational medical records retained for employees potentially exposed to toxic or hazardous substances. Exposure records may include (but not limited to): environmental (workplace) monitoring or measuring of a toxic substance or harmful physical agent; biological monitoring results which directly assess the absorption of a toxic substance or harmful physical agent by body systems; material safety data sheets indicating that the material may pose a hazard to human health. Medical records may include (but not limited to): medical and employment questionnaires or histories; results of medical examinations and laboratory tests; medical opinions, diagnoses, progress notes, and recommendations; employee medical complaints.</p>	Retain 30 years after separation from service then destroy (per OSHA requirement 29 CFR 1910.1020)

LG4.4	<b>Employee Personnel Records</b>	Records may include: applications of hired personnel, salary history, performance appraisals, job histories, leave authorizations, mandatory training (including certificates of completion), routine medical records (including requests/approvals for FMLA), termination documents, related documents, and correspondence.	Retain 10 years after separation/termination (no longer an employee of local government). If an employee returns within those 10 years, the file becomes reactivated. <b>NOTE:</b> For disciplinary records see LG4.1
LG4.5	<b>Employee Recruitment and Hiring Records</b>	All records which document the selection process and justify the selection decision, including but not limited to: Job description and announcements; Applications and resumes; Scoring and selection criteria; Interview questions and evaluations; Criminal history and reference checks.	Retain 3 years after completion of recruitment/hiring process then destroy (unless grieved). If grieved destroy 3 years after resolution of grievance. <b>NOTE:</b> For hired employees, application/resume becomes part of Employee Personnel Records (4.4).
LG4.6	<b>Employee Workshop and Conference Materials (Not Mandatory)</b>	Records concerning conferences, workshops, or other training attended by employees, (other than mandatory training filed in personnel folder). File includes curriculum materials, agenda with applicable dates and other related records.	Retain 1 year after event then destroy
LG4.7	<b>Form I-9</b>	Federally required proof that employee has a legal right to work in the U.S.	Retain 3 years after separation then destroy
LG4.8	<b>Grievance/Investigation Case Records</b>	Agency copies of grievances made by employees against an agency or investigations by agency against an employee, including initial statements, responses, appeals, decisions, and supporting materials such as correspondence, exhibits, depositions, notes, recordings, transcripts, referrals, appeals, and copies of arbitration decisions.	Retain 3 years after final resolution then destroy
LG4.9	<b>Job Descriptions</b>	Description of duties performed or to be performed by particular positions.	No grievances pending - Retain current version only Grieved with collective bargaining - follow applicable collective bargaining agreement.
LG4.10a	<b>Union Records - Grievance and Arbitration Files</b>	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.	Retain 50 years after final decision then destroy
LG4.10b	<b>Union Records - Union Agreements (Signed)</b>	Collective bargaining agreements with unions representing employees of local government agency.	Retain 50 years after approved agreement then destroy

<b>LG4.11</b>	<b>Volunteer Records</b>	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.	Retain 3 years after end of service then destroy
<b>LG4.12</b>	<b>Wellness program records</b>	Records of employee participation in program designed to encourage behaviors thought to result in improved health.	Retain current year then destroy
<b>LG4.13a</b>	<b>Workers Compensation Records - Completed Claim</b>	First report plus other records, when claim is finalized by a lump sum settlement.	Retain 1 year after close of case then destroy
<b>LG4.13b</b>	<b>Workers Compensation Records - First Report of Injury</b>	No lost work time, so that the only record required is the initial report of injury.	Retain 1 year after close of case then destroy
<b>LG4.13c</b>	<b>Workers Compensation Records - Long Term Claim</b>	First report plus other records where time is lost from work, and case is not finalized by lump sum payment.	Retain 20 years after last payment then destroy

## Local Government Schedule 5 - Election Records

**NOTE:** Municipal election officials should not destroy records without first checking applicable statutes, which are noted for each series, to make certain that these statutes have not been changed. Questions concerning the retention of election records should be referred to the [Division of Elections](#). The series below apply to paper or digital records.

Series	Series Title	Description	Retention
LG5.1	<b>Absentee Batch Lists Used for Early Processing Tabulation and FINAL Absentee Voter File Following Election Certification</b>	Certifies that the ballots cast during early processing of absentees were accounted for.	2 years per Title 21-A, §23(7-B)
LG5.2	<b>Ballots Used for County Elections, Municipal Elections, Referenda Elections or Special Legislative Elections</b>	Ballots used for county elections (if separate from state ballot), municipal elections, referenda elections or special legislative elections. These ballots must be retained for 2 months.	2 months per Title 30-A, §2528(9); Title 21-A §23(7-A) Confidential
LG5.3	<b>Ballots, All Other Elections</b>	Ballots used for county elections, municipal elections, referenda elections or special legislative elections. Ballots with candidates for federal offices must be kept for 22 months unless sooner released to the Secretary of State or required by the Secretary of State to be kept longer.	22 months per Title 21-A, §23(7) Confidential
LG5.4	<b>Election Records / Miscellaneous Documents Not Specified in 1-7</b>	All election records not otherwise listed on this disposition schedule.	2 years per Title 21-A, §23(13)
LG5.5	<b>FINAL Printed Voter Participation Report Following Election Certification</b>	Retain complete report.	2 years per Title 21-A, §23(7)
LG5.6	<b>Incoming Voting Lists</b>	The list of all the voters in a municipality which is used by election officials at a voting place to record which voters have been issued a ballot at an election.	5 years per Title 21-A, §23(7-A)
LG5.7	<b>Municipal Candidate (Local Only) Petitions and Nomination Papers</b>	Petitions filed by candidates for municipal office, and nomination papers filed by citizens seeking to run for municipal office.	6 months per Title 30-A, §2528(4C)

<b>LG5.8</b>	<b>Municipal Elections (Local Only) Campaign Finance Reports Filed with Municipality</b>	The campaign report of monies received and expended for a municipal election campaign in a city or town with a population of 15,000 or more. (Any municipality with a population of less than 15,000 may choose to be governed by Title 21-A, Chapter 13, subchapter 4).	8 years per Title 30-A, §2502
<b>LG5.9</b>	<b>Municipal Referendum Petitions (Local Only)</b>	Petitions filed by citizens desiring to bring matters to municipal referendum.	6 months per Title 30-A, §2528(5)(4)
<b>LG5.10</b>	<b>Official Election Results &amp; State Reporting Forms</b>	Every municipality must keep an official election binder or file which has all federal, state and local results.	Permanent
<b>LG5.11</b>	<b>Posted Notices, Specimen Ballots, Instruction Posters to Which Materials Pertain</b>	Posted notices concerning election matters, specimen or sample ballots provided for public information, and instruction posters for voter information.	Destroy after election per Title 21-A, §23(14)
<b>LG5.12</b>	<b>Receipt for Certified Copies of Voting List</b>	Receipt for certified copies of voting list.	6 months per Title 21-A, §23(5)
<b>LG5.13</b>	<b>Record of Receipts for Ballots Issued and Received - Municipal</b>	Record of receipts for ballots issued and received (municipal).	6 months per Title 21-A, §23(4)
<b>LG5.14</b>	<b>Record of Receipts for Ballots Issued and Received - State</b>	Record of receipts for ballots issued and received (state).	6 months per Title 21-A, §23(4)
<b>LG5.15</b>	<b>Registration and Enrollment Applications - All Other Voters</b>	Registration and enrollment cards for all voters currently active or inactive.	Retain until voter is removed from voting list per Title 21-A, §23(1)
<b>LG5.16</b>	<b>Registration and Enrollment Applications - Voters Removed from Voting List</b>	Registration and enrollment cards for voters who have been removed from the current voting list.	2 years per Title 21-A, §23(1)
<b>LG5.17</b>	<b>State Absentee Envelopes, Applications and Instructions</b>	The clerk shall keep the absentee ballot envelopes, including the unopened envelopes containing rejected absentee ballots, the applications for absentee ballots and the list of voters who were issued absentee ballots in the clerk's office or other secure location under the control of the clerk. Records include rejected, cancelled, or duplicate requests made by a voter. Ballots will be removed and processed by the end of the election day.	2 years following any election, per Title 21-A, §23 (7-B)
<b>LG5.18</b>	<b>State Citizen Initiative and People's Veto Petitions Certified by the Municipal Clerk's Office</b>	Paperwork filed with clerk's office prior to submission to SOS. Attach to petition log.	6 months after certification or state filing date per Title 21-A, §23(3A)
<b>LG5.19</b>	<b>State Primary Nomination Petition Certified by the Municipal Clerk's Office</b>	Paperwork filed with clerk's office prior to submission to SOS. Attach to petition log.	6 months after certification or state filing date per Title 21-A, §23(3)

## Local Government Schedule 6

### Part 1 - Applications, Licenses and Permits: Business/Special Event / Miscellaneous

**NOTES:** For the purpose of this schedule the intent would be to keep the application, working documents, and finalized license/permit. If complaint or violation, file with working documents. (See also Licenses and Permits Part 2: Building/Lands/Public Works).

Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies shall be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, see Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG6.1	<b>Alcoholic Beverages (On Premises Consumption)</b>	Licenses for businesses to sell alcoholic beverages for on premises consumption.	Retain 3 years after expiration of license or denial of application
LG6.2	<b>Buildings Used for Public Assembly</b>	Permits for buildings used for public meetings.	Retain 3 years after expiration of license or denial of application
	<b>Burial Permits</b>	See Vital Records	-
LG6.3	<b>Burning</b>	Permit to kindle a fire within a municipality's limits, within stated limitations.	Retain 3 years after expiration of license or denial of application
LG6.4a	<b>Business/Special Event - Entertainment (Not Listed Elsewhere in this Schedule)</b>	License or permit for entertainment operations. Including but not limited to: games of chance (beano, bingo), pool rooms, bottle clubs (BYOB), bowling alleys, horse-drawn cabs, motion picture theaters, music/dancing at private clubs, pinball machines, gambling machines, public exhibitions, roller skating rinks, shooting galleries.	Retain 3 years after expiration of license or denial of application
LG6.4b	<b>Business/Special Event - Food Services (Not Listed Elsewhere in this Schedule)</b>	License or permit to operate food services. Including but not limited to: farmers markets, lunch wagons, restaurants, public markets, victualers	Retain 3 years after expiration of license or denial of application
LG6.4c	<b>Business/Special Event - Lodging (Not Listed Elsewhere in this Schedule)</b>	License or permit for lodging facilities. Including but not limited to: inns, bed and breakfast, lodging houses, rentals, AirB&B.	Retain 3 years after expiration of license or denial of application
LG6.4d	<b>Business/Special Event - Merchandise (Not Listed Elsewhere in this Schedule)</b>	License or permit to sell merchandise. Including but not limited to: auctions, flea markets, itinerant vendors/transient sellers, junk dealers (not automobiles), pawnbrokers, second-hand dealers, yard sales.	Retain 3 years after expiration of license or denial of application
LG6.4e	<b>Business/Special Event - Service Based (Not Listed Elsewhere in this Schedule)</b>	License or permit for other, miscellaneous operations. Including but not limited to: rendering facilities, taxicabs/vehicles for hire, massage establishments/therapist, hair salons, barber shops, tattoo parlors.	Retain 3 years after expiration of license or denial of application
LG6.5	<b>Cable Television Franchise</b>	Franchise granted to company to supply cable television service to subscribers within municipality.	Retain 6 years after expiration of license or denial of application

<b>LG6.6</b>	<b>Carnival or Circus</b>	Permit to hold carnival or circus.	Retain 6 years after expiration of license or denial of application
<b>LG6.7</b>	<b>Clams/Shellfish</b>	License to harvest clams or other shellfish.	Retain 3 years after expiration of license or denial of application
<b>LG6.8</b>	<b>Closing Out Sales</b>	Permit to hold a going out of business or other type of closing out.	Retain 5 years after expiration of license or denial of application
<b>LG6.9a</b>	<b>Concealed Handguns (Permit to Carry) - Documentation and Application</b>	Municipalities may receive written applications to issue a permit to carry concealed handguns. Applicants must be within their issuing authority, demonstrate good moral character, be over age 18, and not disqualified to possess a firearm. Permits are valid for 4 years. Documentation and application are kept for the life of the permit plus one year.	See description for retention information. Confidential, 25 MRSA §2006 (1)
<b>LG6.9b</b>	<b>Concealed Handguns (Permit to Carry) - Record of Permit Issued</b>	Issuing authorities (including municipalities - 25 MRSA §2002) permitted by law to issue concealed handgun permits must make a permanent record of each permit to carry concealed handguns in a suitable book or file kept for that purpose. The record must include the information contained in the permit itself. The record is confidential except that the following information about each permit holder is not confidential and is a public record: the municipality of residence; the date the permit was issued; and the date the permit expires.	Permanent Confidential, 25 MRSA §2006(2); except for the information specified 25 MRSA §2006(2)(A-C)
<b>LG6.10a</b>	<b>Dogs/Kennels - Licenses</b>	License to keep a dog, or license to keep up to a specific number of dogs.	Retain 3 years
<b>LG6.10b</b>	<b>Dogs/Kennels - Rabies Vaccination Certificates</b>	Copy of rabies vaccination certificates sent by Department of Agriculture to municipal office.	Dog vaccinations - keep until expired Cat vaccinations - no retention
<b>LG6.11</b>	<b>Explosives, Storing and Transportation</b>	Permit to transport or store explosives.	Retain 6 years after expiration of license or denial of application
<b>LG6.12</b>	<b>Fireworks Displays, Fireworks Sales, Fireworks Permits</b>	Contracts entered into by local government agencies for the purchase of goods, services, leasing of property, which store or retail fireworks.	Retain 6 years after expiration of license or denial of application
<b>LG6.13</b>	<b>Hunting and Fishing</b>	Hunting and fishing licenses and related permits. Retain financial paperwork generated from the license or paper copies sent to Inland Fisheries and Wildlife for 6 years. License information is retained in the IF&W MOSES system for 50 years.	See description
<b>LG6.14</b>	<b>Junkyards/Automobile Graveyards</b>	Permit to operate a junkyard or other business that stocks inoperative motor vehicles. Complaints or municipal violations are subject to the same retention.	Retain 5 years from date of issue
<b>LG6.15</b>	<b>Mobile Home/Trailer Parks</b>	Permit to operate a mobile home/trailer park.	Retain 2 years after park is discontinued

<b>LG6.16</b>	<b>Mobile Home/Over-Limit Vehicles - Moving Permits</b>	Over limit permits are required when a company and/or individual must move a load when the entire vehicle and load configuration exceeds the legal limit(s) established in statute.	3 years
<b>LG6.17</b>	<b>Moorings</b>	Permit to place and use a boat mooring.	3 years
<b>LG6.18</b>	<b>Partnerships, Withdrawals, and Sole Proprietorships</b>	Record of how each business operating within the municipality is organized.	Retain 6 years after the business ceases to operate
<b>LG6.19</b>	<b>Septage Disposal Sites</b>	Permit to dispose of human waste on a certain property.	Permanent
<b>LG6.20</b>	<b>Special Entertainment (Special Amusements)</b>	Permit for a private club to allow any live music, dancing or entertainment of any sort. Permits included for both those clubs which allow the sale and consumption of liquor on the premises and those that do not. ( <b>NOTE:</b> Must have a state liquor license which runs concurrent with expiration of said liquor license.	3 years
<b>LG6.21</b>	<b>U.C.C. (Uniform Commercial Code)</b>	Filing with Corporations, Elections & Commissions (Sec. of State) to document debt secured by personal property. (This would also include Chattel Mortgages.)	10 Years (or 5 years after maturity of instrument)

## Local Government Schedule 6

### Part 2 - Applications, Licenses and Permits: Building and Lands/Public Works

**NOTES:** For the purpose of this schedule the intent would be to keep the application, working documents, and finalized license/permit. If complaint or violation, file with working documents. (See also Building/Lands and Public Works)

Schedules pertain to records in any format - paper, electronic or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies shall be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG6.22	<b>Air Emissions License Applications</b>	Licenses granted to businesses that discharge atmospheric pollutants.	Retain until license expires For minor sources license is in effect for 5 years. For major sources license is in effect for 10 years.
LG6.23	<b>Building - Never Built</b>	Application and all supporting detail when the building is never constructed.	Retain for 6 years then destroy
LG6.24a	<b>Building - Permit and File Information</b>	Building permit and filing information which documents application by a property owner to build and/or alter a building on property. Records are used to ensure compliance with established requirements and may include: original application, copy of permit, description of building to be constructed or changes made to existing building.	Retain for life of the building plus one year then destroy
LG6.24b	<b>Building - Plans and Specifications</b>	This record series documents the planning and construction of residential facilities including detailed plans and specifications accompanying the building permit application. Records are needed in support of final completion and to ensure all compliancy requirements have been met.	Retain 6 years after certificate of compliance and (if applicable) certificate of occupancy issued then destroy
LG6.25	<b>Conversion of Seasonal Dwelling</b>	Permit to convert a seasonal dwelling for year-round use.	Retain for life of building then destroy
LG6.26	<b>Drains, Connecting Private to Public</b>	License to connect a private drainage pipe to a public system.	Permanent
LG6.27	<b>Driveway Permits</b>	Permit to construct a driveway (sometimes called a Curb Cutting Permit).	Retain until driveway no longer exists then destroy
LG6.28	<b>Electrical Equipment/Installations</b>	Permit to install new electric service, or to upgrade or otherwise substantially alter an existing installation.	Retain 3 years then destroy
LG6.29	<b>Installations in Public Right of Way (Water, Sewer, Natural Gas, etc.)</b>	Water, sewer, natural gas, and other utility service installations that cross a public right of way.	Retain 1 year after installation is removed
LG6.30	<b>Municipal Building Permits for State Buildings</b>	Building permit for a structure owned by the State of Maine.	Retain for life of building, plus one year then destroy

LG6.31	<b>Oil Terminal Facility Applications</b>	State-licensed facility for storage of fuel oil.	Retain until license expires then destroy
LG6.32a	<b>Plumbing - External</b>	Plumbing permits granted in 1974 and afterward, for work done outside of building.	Permanent <b>NOTE:</b> Permits prior to 1974 are not required to be retained
LG6.32b	<b>Plumbing - Internal</b>	Plumbing permits granted in 1974 and afterward, for inside of building only.	Retain 4 years after installation then destroy
LG6.33	<b>Poles and Wires</b>	Utility pole permits.	Retain for life of pole plus 1 year then destroy
LG6.34	<b>Public Building Construction/Public Accommodation Occupancy (Accessibility for the Disabled)</b>	Permit to construct a public building or public accommodation that must be accessible to the disabled.	Life of building, plus one year
LG6.35	<b>Street Excavations</b>	Permit to dig in a street.	Retain 3 years, after expiration
LG6.36a	<b>Subdivisions Permits</b>	Permit to divide a parcel of land into smaller lots for resale or development.	Retain 3 years, after expiration
LG6.36b	<b>Subdivision Plans</b>	These files document the developmental history of subdivision plans submitted to the Planning Commission for compliance review with applicable development ordinances and standards.	Retain permanently until/unless it is confirmed these files are retained at the Registry of Deeds
LG6.37	<b>Timber Harvesting Permits (Forest Operations Notification)</b>	Forest Operations Notifications (FON) are required for those who are going to have a timber harvest on their property and the harvested wood will be delivered to a mill or offered for sale. (See exceptions list on Maine Forest Service <a href="https://www.maine.gov/dacf/mfs/rules_regs/fons.html">https://www.maine.gov/dacf/mfs/rules_regs/fons.html</a> .)	Once closed, retain until no longer needed. ( <b>NOTE:</b> Forestry keeps these records for 15 years.)
LG6.38a	<b>Waste Transfer</b>	Permit to transport trash.	Retain 5 years then destroy
LG6.38b	<b>Waste Transfer Facility Permits</b>	Any land area, structure, location, equipment or combination of them, used for the handling of solid waste. These include but are not limited to solid waste transfer stations, landfills, incinerators, processing facilities, composting facilities, storage facilities and agronomic utilization sites.	Retain for the life of the waste transfer permit, plus one year.
LG6.39	<b>Wetlands Applications</b>	Application to drain or otherwise alter a wetland. Since this is handled by the Department of Environmental Protection, it only needs to be documented at the municipal level until the public hearing process has been completed.	Retain until after public hearing then destroy
LG6.40	<b>Zoning Permits (Including Shoreland Zoning)</b>	Permit for an appropriate use within a particular zone of a municipality, including within a shoreland zone.	Retain 3 years after expiration then destroy

## Local Government Schedule 7 - Vehicle Registrations

**NOTE:** Municipalities must either keep paper copies of records below or ensure they have access to electronic records kept within state systems for required retention periods.

Series	Series Title	Description	Retention
LG7.1	<b>ATVs, Boats, Snowmobiles, Utility Vehicles</b>	Registrations for all terrain vehicles, boats, snowmobiles and utility vehicles.	Retain 6 years then destroy
LG7.2	<b>Non-Documented Boats, Airplanes / Coast Guard Support</b>	Keep all supporting documentation for excise paid and federal allowances.	Retain 5 years then destroy
LG7.3	<b>Roadway Registrations</b>	Registrations for automobiles, campers, motorcycles, mobile homes, trucks, trailers, etc. Must keep paper records (pink copies) for 5 years. BMV retains registration information electronically for 25 years.	See description
LG7.4	<b>State Registration Reports (BMV, IF&amp;W)</b>	Bureau of Motor Vehicle or Inland Fisheries & Wildlife month-end audit reports, municipal request for supplies and inventory transmittal sheets.	Retain 5 years then destroy

## Local Government Schedule 8 - Vital Records

**NOTES:** Records for births, marriages, and deaths are considered "Closed Records" per Title 22 §2706 and as noted below. Requestor must meet requirements for requesting record (proof of direct and legitimate interest).

The Maine State Archives does not recommend destroying original archival (permanent) records which are scanned. If an agency does destroy originals, they do so at their own risk.

Series	Series Title	Description	Retention
LG8.1	<b>Authorization for the Burial or Removal of Cremated Remains VS - 50</b>	Authorized Person filing or where / when cremated remains are disposed of or removed from any public cemetery. Seven day filing requirement with the State Registrar.	Permanent - Title 22 Section 2843 Subsection 3-A
LG8.2	<b>Births (Form VS-10)</b>	Record of births filed within the municipality. Considered closed for 75 years. Requestor must meet requirements for requesting record (proof of direct and legitimate interest)	Permanent
LG8.3	<b>Burial Transit Permit</b>	Permit to transport human remains.	Permanent
LG8.4	<b>Deaths (Form VS-30)</b>	Record of deaths filed within the municipality. Considered closed for 25 years. Requestor must meet requirements for requesting record (proof of direct and legitimate interest)	Permanent "Closed Records", Title 22 §2706. Requestor must meet requirements for requesting record (proof of direct and legitimate interest)
LG8.5a	<b>Marriage - Certificates (Form VS-20)</b>	Record of finalized marriage filed within the municipality. Considered closed for 50 years. Requestor must meet requirements for requesting record (proof of direct and legitimate interest)	Permanent
LG8.5b	<b>Marriage - Consent Given by Parents, Legal Guardians, or Judges of Probate</b>	A marriage license cannot be issued to persons under 18 years of age without the written consent of their parents, guardians or persons to whom a court has given custody. In the absence of persons qualified to give consent, the judge of probate in the county where each minor resides may grant consent after notice and opportunity for hearing. (Note: The clerk or State Registrar of Vital Statistics cannot issue a marriage license to a person under 16 years of age.) Considered closed for 50 years. Requestor must meet requirements for requesting record (proof of direct and legitimate interest).	Permanent

LG8.5c	<b>Marriage - Intentions (Form VS-2A) / Marriage License (Form VS-2B)</b>	Intentions and all supporting documents filed by parties planning to marry. Once executed and filed by clerk, it becomes the marriage certificate. Considered closed for 50 years. Requestor must meet requirements for requesting record (proof of direct and legitimate interest)	See description
LG8.5d	<b>Marriage – Nonexecuted</b>	A couple has 90 days to execute the marriage. If couple fails to marry, it becomes null and void.	Retain 1 year from when originally filed.
LG8.6	<b>Sub-Registrar Appointments &amp; Oaths</b>	May appoint one or more suitable and proper persons in a municipality as sub-registrars, who are authorized to issue permits for transportation and final disposition of dead human bodies in the same manner as is required of the state registrar or municipal clerk.	Retain 3 years after term of office ends.
LG8.7	<b>Vital Event Request Form / Researcher Request Form (VS-31 Voids)</b>	The clerk shall keep the request form related to vital events (marriage, death, births, and divorce) in the clerk's office or other secure location under the control of the clerk. If the form is requested through the mail, any copies of required identification along with documentation showing direct and legitimate interest used for release must be attached and retained. Any voided security paper (VS-31), related to the request, shall be attached to the form and retained per the normal schedule.	Retain 1 year then destroy. <b>NOTE:</b> Vital Records Office keeps these 3 years.

## Local Government Schedule 9 - Local Government Correspondence

**NOTES:** Correspondence may include incoming or outgoing messages, depending on who is responsible for retaining the official record. Correspondence can be in any media format (email messages, printed letters, responses, and related records).

Series	Series Title	Description	Retention
LG9.1	<b>Executive/Official Correspondence</b>	Correspondence pertaining to the formulation, planning, and implementation of the programs, services, or projects of a local government and the regulations, policies, and procedures that govern them. These records help in the establishment of an administrative history, providing a record of policy formulation, how and why decisions are made and how these decisions impacted the local government and the public. These records are typically created by administrative officers or board officials and will most often document executive decisions made regarding agency interests (not filed as part of another approved record series). Examples include records related to the establishment of ordinances, policy, rules and regulations.	Archival records, retain permanently
LG9.2	<b>General Correspondence</b>	Correspondence made or received in connection with the transaction of public business, not covered by a more specific records series. Consists of routine correspondence of a general nature associated with administrative practices which 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.	Retain 2 years then destroy
LG9.3	<b>Non-Business-Related Correspondence</b>	Correspondence neither received or prepared for use in connection with the transaction of public or governmental business, nor containing information relating to the transaction of public or governmental business. Examples may include: spam or junk mail, personal messages, or unsolicited messages from coworkers such as jokes, news reports or announcements which are non-work related and promotional materials from vendors.	Delete/destroy immediately
LG9.4	<b>Program Correspondence</b>	Correspondence related to specific local government programs which documents work accomplished, transactions made, or actions taken. These records are created while administering agency functions and programs and should be filed as part of the program records or per the retention schedule established for the specified agency program.	Program correspondence is variable - file with related record series

<b>LG9.5</b>	<b>Transitory Correspondence</b>	Records of short-term interest, which have minimal or no documentary or evidential value. Transitory records are not essential to the fulfillment of statutory obligations or to the documentation of agency functions. Examples of transitory records include: routine requests for information or publications which require no administrative action, no policy decision, and no special compilation or research for reply; announcements of office or government events such as holiday parties, charity events or similar records; records documenting routine activities containing no substantive information, such as routine notifications of meetings; letters of thanks, invitations, and responses to invitations.	Retain until no longer needed (should be no longer than 30 days)
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## Local Government Schedule 10 – Meeting and Board Records

**NOTES:** Boards, commissions, councils, task forces, etc., that were established by statute or Executive Order, or that establish or administer policy are examples of entities for which minutes shall be created and retained per MRS Title 1, §403. MEETINGS TO BE OPEN TO PUBLIC; RECORD OF MEETINGS.

Series	Series Title	Description	Retention
LG10.1	<b>Associations and Organizations File</b>	Records concerning local, state, or national associations, organizations, and committees with which the agency or staff is involved.	Retain 2 Years then destroy
LG10.2	<b>Board of Appeals Files</b>	Case files, including proposal initially refused by Planning Board, documents submitted in support or opposition to appeal, related correspondence.	Archival records, retain permanently.
LG10.3a	<b>Committee/Board Appointment Records</b>	This record series consists of records relating to the appointment of individuals to serve on committees, boards, advisory councils, etc. Records may include, applications, letters of recommendation, letters of appointment, letters of acceptance, oaths of office, and related correspondence.	Retain 3 years after term of office ends or board member leaves service; or committee/board is abolished then destroy
LG10.3b	<b>Committee/Board Appointment Records: Non-Selected Applicants</b>	This record series consists of records relating to applicants not selected to serve on committees, boards, advisory councils, etc. Records may include, applications, letters of recommendation, and related correspondence and supporting documentation.	Retain 2 years then destroy; unless personnel action/litigation, then keep records until the later of 2 years or resolution of the action/litigation.
LG10.4	<b>Meeting Notes - Boards and Commissions</b>	Preliminary notes made by the secretary during the meeting, used to prepare the official minutes for approval and adoption.	Retain until official minutes are approved then destroy
LG10.5a	<b>Minutes and Files of General Office Meetings and Internal Committees</b>	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. Records may also include audio-visual/electronic recordings.	Retain all records 2 years then destroy
LG10.5b	<b>Minutes and Files of Policy Setting Meetings (Other Than Boards)</b>	Minutes, agendas, and meeting files of the governing body of an agency or of meetings that formulate policy, rules or regulations. May include audio-visual/electronic recordings.	See LG10.6 for retention requirements.

<p><b>LG10.6</b></p>	<p><b>Minutes of Meetings - Boards and Commissions</b></p>	<p>All official meetings held or conducted by boards and commissions, where official minutes are kept with an accurate record of votes and actions. Records may include, but not limited to: agendas, meeting/agenda packets (briefs, reference materials, etc.); speaker sign-up, written testimony; minutes. Minutes typically contain the date, time, place, attendance, approval of prior meeting's minutes, motions made, votes, and actions taken. Records may include audiovisual/electronic recordings documenting the actual proceedings.  <b>NOTE:</b> Materials of Executive Session are highly confidential. Except for one sealed copy, all materials are to be destroyed. Records are only opened under court order or legal advisement.</p>	<p>Official meeting materials as described are archival records, retain permanently.  <b>Recordings:</b> Retain audio, video, electronic (including webcast) and other recordings of meetings 5 years after approval of meeting minutes then destroy. If recordings are the only documentation of the meeting as noted in Title 1, §403, subsection 2, they would be considered a permanent record.  <b>NOTE:</b> State Archives recommends retaining these records in the form of written minutes.</p>
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## Local Government Schedule 11 - Electronic/Information Technology Records

**NOTES:** There is no single retention period that applies to all electronic messages or communications, whether they are sent by email, instant messaging, text messaging, multimedia messaging, chat messaging, social networking, voice mail/voice messaging, or any other current or future electronic messaging technology or device. Retention periods are determined by the content, nature, and purpose of records, and are based on their legal, fiscal, administrative, and historical values, regardless of the format in which they reside or the method by which they are transmitted. Electronic communications, as with records in other formats, can have a variety of purposes and relate to a variety of program functions and activities. The retention of any electronic message will generally be the same as the retention for records in any other format that document the same program function or activity. Electronic communications would typically fall under the Correspondence Schedule.

For additional information regarding electronic records, see Introduction and Appendix E.

Series	Title	Description	Retention
LG11.1	<b>Data Documentation (Metadata)</b>	Records (sometimes known as metadata) generally created during system or application development or modification and necessary to access, retrieve, manipulate, and interpret data in an automated system, that explain the meaning, purpose, structure, logical relationships, and origin of the data elements. May include: data element dictionary, file layout, codebook or table, and other records that explain the meaning, purpose, structure, logical relationships, and origin of the data elements.	Retain 3 years after discontinuance of system or application, but not before system or application data is destroyed or transferred to a new structure or format.
LG11.2	<b>Digitization and Scanning Files</b>	These are records that are being scanned for the purpose of the entire record being captured in another format. Source documents for short-term (10 years or less) are eligible for scan and destroy once verified and indexed. Source documents for long-term records shall be retained for the entire retention period unless/until there is a migration plan in place. Source material for archival/permanent records will be retained permanently. Scanned electronic records must be retained per applicable retention schedule.	See description
LG11.3	<b>Email Messages</b>	Email messages are similar to other forms of communicated messages, such as correspondence, memoranda, and circular letters. Email messages also contain features commonly associated with traditional records systems, including calendars, directories, distribution lists, and attachments such as word processing documents, spreadsheets, or images that are incorporated into an email message.	Retain according to Local Government Correspondence Schedule.

LG11.4	<b>Network Site/Equipment Support Files</b>	Records documenting support services provided to specific sites and computer-to-computer interfaces on a network, including site visit reports, trouble reports, service histories, and correspondence and memoranda.	Retain site visit reports, trouble reports, and routine correspondence 3 years after creation then destroy. Retain service histories and other summary records after the related equipment or site is no longer in use. Destroy all records after retention has been met.
LG11.5	<b>Social Media Records</b>	Social media refers to the various activities integrating web technology, social interaction, and user-generated content. Social media is used internally and externally to share routine information, support business processes, and connect the public to local government. Social media includes blogs, microblogs (Twitter), video sites (YouTube), image sharing services (Instagram), networking sites (Facebook), and other interactive sites. NOTE: Maine State Archives recommends developing policies and procedures for regular identification, retention and capture of social media records.	If the information posted or received on a social media platform documents government business, the post is likely a government record. Retain posts which are public records for at least the minimum retention period listed for those records in the Local Government Schedules. If the information in a post exists elsewhere or is not the official record copy, it may be duplicate information with no retention requirements. If a post simply points to external resources, it may be transitory information and can be deleted as soon as the agency purpose has been served.
LG11.6	<b>Summary or Extracted Data Files</b>	Summary or aggregate data from a master file or database, including “snapshots” of data, created solely to distribute data to individuals or program units for reference and use, but not altered or augmented to support program-specific needs.	Retain until after data is distributed and, if necessary, receipt is acknowledged then destroy.
LG11.7	<b>Websites</b>	Websites provide access to records that document an agency's duties and activities. Records commonly found on websites include: publications, meeting minutes, annual reports, photos, press releases, policies and procedures, and mission statements. Websites may also serve as access points for database records. Websites may be static with content added and removed on a regular schedule or interactive and dynamic where content is pulled from a database at the user's request. Analyze and inventory content to confirm what records are duplicates (found elsewhere) and what records are unique (only captured on website).	Retain duplicate copies of records until no longer needed then destroy. Retain official records (not captured elsewhere) per applicable Local Schedule.

# Section B

## Municipal/County Departments

(not Public Safety or Schools)

**Local Government Schedule 12 - Building and Land** (for permits and licensing records see Schedule 6, Part 2)

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies should be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG12.1	<b>Abandoned Property</b>	Any records associated with the management of abandoned properties including but not limited to regulating the care, maintenance and security of property determined to be abandoned and addressing the property defects after notice and opportunity to comply has been given to responsible parties. According to statute, the municipality may recover its costs from the responsible parties.	Retain until all actions are settled/closed plus 6 years then destroy NOTE: Properties associated with historic sites/buildings may not be destroyed
LG12.2	<b>Aerial Photographs</b>	Systematic documentation of land use; not casual photos, which may be destroyed when no longer useful.	Archival records, retain permanently
LG12.3	<b>Buildings and Grounds Records</b>	Record of construction (if applicable), purchase, and on-going repair and alteration of buildings owned and/or operated by local government agency.	Destroy when building no longer exists, or transfer records to its new owner
LG12.4	<b>Deeds to Properties</b>	Deeds (plus any related documents) to a local government agency's real property. These deeds must also be recorded at the appropriate County Register's Office.	Must be recorded at Register of Deeds and retrievable by the municipality through the Registry before any records can be destroyed.
LG12.5	<b>Depreciation Schedules</b>	Depreciation schedules for non-real property owned by local government agencies.	Retain 6 years after disposal of property then destroy
LG12.6a	<b>Leases - Housing/Tenant Files</b>	Lease records relating to tenants in buildings/units owned, used or maintained by local government. Records may include, but is not limited to: Application, background check, etc.; Correspondence with tenants (including notifications, complaints and responses); Executed lease/agreement; Inspections.	Retain 6 years after termination of lease then destroy
LG12.6b	<b>Leases - Property</b>	"Real Property" related leases (land, buildings and fixtures) to which the local government agency is a party. Records may include: legal documents, correspondence, reports, etc., relating to the negotiation, fulfillment, and termination of the lease.	Retain 10 years after termination of lease then destroy

LG12.7	<b>Mortgages</b>	Mortgages on property owned by local government agency, and discharges of these mortgages. Must also be recorded at the appropriate Registry of Deeds.	Must be recorded at Register of Deeds and retrievable by the municipality through the Registry before any records can be destroyed.
LG12.8a	<b>Municipal Inspection Files, No Order Resulting</b>	These files contain records of inspections performed by such municipal officials as the Building Inspector, Fire Chief, Code Enforcement Officer, Plumbing Inspector, Electrical Inspector, Health Officer, or any other municipal officer whose official duties require making inspections and keeping a record of the results, where the inspection does not result in an order of eviction, compliance, correction or remediation.	Retain 3 years then destroy
LG12.8b	<b>Municipal Inspection Files, Order Resulting</b>	These files contain records of inspections performed by such municipal officials as the Building Inspector, Fire Chief, Code Enforcement Officer, Plumbing Inspector, Electrical Inspector, Health Officer, or any other municipal officer whose official duties require making inspections and keeping a record of the results, where the inspection results in an order of eviction, compliance, correction or remediation.	Retain 3 years from closure of case then destroy
LG12.9	<b>Property Records</b>	Other than deeds to real estate - documentation for purchase and maintenance of property that the local government agency records on an inventory.	Retain 6 years after disposal of property then destroy
LG12.10a	<b>Site Plans - Approved</b>	Final plans submitted to planning boards and land use committees, approved to allow the work to proceed.	Archival records, retain permanently
LG12.10b	<b>Site Plans - Work in Progress</b>	Plans superseded by subsequent changes in execution, and all sketches, notes, and supporting documents to completed (final) plan.	Retain until no longer needed then destroy
LG12.11	<b>Zoning Records</b>	Records related to zoning boundaries within the municipality. Records are typically blueprint maps which show streets, property lines, zoning boundaries, and area classifications.	Archival records, retain permanently

## Local Government Schedule 13 - Parks & Recreation

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies should be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG13.1	Equipment Loans	Records used to document recreational equipment loaned in connection with facilities. They are used to maintain a record of location of equipment. They include name of group; name, address, telephone number of person picking up equipment; date of issue; reservation date; date of return; location reserved; quantity and equipment picked up.	Retain 1 year then destroy
LG13.2	Facilities Reservation Records	Documents used for rental of parks and recreational facilities including sports facilities (such as ball fields). The files include date of request, name of group, number of people, name, address, and telephone number of requesting person, area and park requested, time, date, and amount paid.	Retain 2 years then destroy
LG13.3a	Parks and Recreation Facilities Records - Construction and Maintenance	Construction and maintenance of nature trails, playgrounds, and other facilities maintained by municipality, except for municipally owned and operated buildings.	Retain until 6 years after facility ceases to be operated then destroy
LG13.3b	Parks and Recreation Facilities Records - Historical	Records retained for historical and information purposes, including how the park or facility was created and any significant renovations which had an impact on the municipality. Records may include, but not limited to: correspondence, architectural drawings and specifications, photographs, maps, significant news stories.	Archival records, retain permanently
LG13.4	Recreation Programs	Records kept to document specific municipally sponsored recreation programs. These records may be used for reference in developing future programs. Records may include, but not limited to: flyers of specific programs, reservation summaries, copies of receipts for fees paid and other related program records.	Retain 3 years then destroy

<b>LG13.5</b>	<b>Registration Records</b>	These forms are used to register for municipal recreational programs such as arts and crafts classes, sports clinics, summer/day camps, animal obedience classes, library programs, parenting classes, CPR training, and any other events for which the public can register to participate or attend. Information may include, but not limited to, registrant's name, address, and telephone number; program name and date(s); parent's/guardian's name if registrant is a minor; and a signed liability waiver statement.	Retain 2 years then destroy
<b>LG13.6</b>	<b>Release Forms/Permission Slips</b>	This form is completed by individuals participating in municipal recreational activities. It is used to verify that participants have released all rights and claims for possible injuries in municipal recreational activities. Information may include: Release, dates of activity, name of participant, name/signature of parent/guardian, insurance documentation.	Retain 2 years then destroy

## Local Government Schedule 14 - Public Works (for permits and licensing records see Schedule 6, Part 2)

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies should be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG14.1a	<b>Airport Records - Airport Incident or Accident Reports</b>	Incident or accident report and related records.	Retain for 3 years then destroy <b>NOTE:</b> Records documenting serious incidents or accidents may have historical value and would be retained permanently.
LG14.1b	<b>Airport Records - Operation Certification Records</b>	Certification from the Federal Aviation Administration (FAA). Records may include operating certificate, application for certification and FAA inspection reports.	Archival records, retain permanently
LG14.1c	<b>Airport Records - Schedule and Usage Records</b>	Records may include monthly reports, passenger counts, cargo and load records.	Retain 6 years then destroy
LG14.2	<b>Cemetery Lots</b>	Record of ownership of lots in municipally operated cemeteries.	Archival records, retain permanently
LG14.3	<b>E911 Project Lists</b>	Road name assignments and related documents generated by municipalities' E911 compliance activities.	Archival records, retain permanently
LG14.4	<b>Excavation Permits</b>	Permit to dig within municipal limits.	Retain 3 years then destroy
LG14.5	<b>Field Books</b>	Measurements and survey notes for highways, streets, bridges, and other construction projects.	Archival records, retain permanently
LG14.6	<b>Highway/Road Maintenance Schedules</b>	This record series consists of highway/road maintenance schedules which document the starting date and projected date of completion for routine maintenance and repair.	Retain 1 year after superseded or revised
LG14.7	<b>Paving Records</b>	Record of street paving work. Data may include street name, job summary, firm, contract number, widths, lengths, and areas, intersection data, work details, inspection dates, diagrams, elevations, grade and curbing.	Retain 5 years then destroy
LG14.8	<b>Snowplow Files</b>	Records relating to snowplow routes and activity. May include maps, routes, correspondence, logs, crew lists, or other documentation relevant to snow removal.	Retain until updated, superseded, or obsolete.

<b>LG14.9</b>	<b>Street History Files</b>	Record of all changes taking place on each street within municipality. May include street description, deeds to land street occupies, street plans, letters of easement, right-of-way documents.	Archival records, retain permanently
<b>LG14.10</b>	<b>Traffic Light Files</b>	Record of traffic lights department is responsible for maintaining and servicing. May include intersection/signal diagrams, specifications, schematics, and work and repair orders.	Retain diagram records during functional life of signal. Retain maintenance records 3 years then destroy.
<b>LG14.11</b>	<b>Tree Files/Arborist</b>	Records of tree maintenance, planting, and removals. May include correspondence, removal or planting schedules, copies of agreements, reports, proposals, pamphlets, maps, grant information, and records on pesticide use including public hearing notices and copies of applicators' licenses and certifications.	Retain 3 years then destroy
<b>LG14.12</b>	<b>Work/Repair Requests, Complaints, and Orders</b>	For work or repairs initiated by citizen complaint or by internal request. Data may include name and number of complainant or requester, location, and type of work to be performed, dates and times of receipt and response. May include vehicle service requests.	Retain 3 years then destroy
<b>Water, Wastewater/Sewer and Solid Waste/Landfill Facilities</b>			
<b>LG14.13</b>	<b>Annual Reports</b>	Annual and final reports including comprehensive studies and reports, special studies and detailed reports, including facility inspection reports, sanitary surveys, environmental facility monitoring, overall operational reports and reports of emergencies, containing summary or detailed information of long-term value:	Archival records, retain permanently
<b>LG14.14</b>	<b>Closure Records</b>	Records include but are not limited to site investigation records, conceptual and final closure plans, environmental and facility monitoring records, close and post-closure registration report, closure construction certification report, and periodic inspection reports.	Retain two years after closure if records retained by DEP; retain permanently if DEP does not have files
<b>LG14.15</b>	<b>Engineering Maps, Plats, Plans</b>	Records documenting the location and configuration of water and sewer lines, water plant and wastewater plant. Records may show pressure valves/relief valves, as-built plans, check valves, fire hydrant pump stations, manholes, water services and sewer connections.	Archival records, retain permanently
<b>LG14.16</b>	<b>Hazardous Waste Collection and Disposal Records</b>	Summary reports and other records of substances and quantities collected and disposed of by outside transfer	Archival records, retain permanently

<b>LG14.17</b>	<b>History Files</b>	Contains background information on each site such as deeds, contracts, surveys, maps, plans, rights of way and legal descriptions.	Archival records, retain permanently
<b>LG14.18</b>	<b>Monitoring Reports</b>	Monitoring reports required by DEP. Testing for landfills and wastewater.	Retain 3 years after reporting to DEP. DEP retains the following: landfills and hazardous waste permanently; wastewater 10 years.
<b>LG14.19</b>	<b>Operation and Maintenance Manuals</b>	Maintenance manuals used by the operation and maintenance personnel for facilities, giving recommendations for most efficient operation, management and maintenance of the facility. The appendix to this manual contains plans/drawings showing the location and configuration of lines, fittings and processes. Pages are added or deleted periodically to revise and update this manual.	Retain until updated then destroy
<b>LG14.20</b>	<b>Septage and Transported Waste</b>	Records should show quantity of waste, type of waste, where waste originated from, who transported the waste and the results from any lab testing that was performed on the waste	Retain 5 years then destroy
<b>LG14.21</b>	<b>Water Testing Records</b>	Records of water testing and analysis conducted on water systems. Records may include, but are not limited to, water testing records, laboratory certificates of analysis, microbiological and other result reports.	Retention depends on type of testing. See <a href="#">DHHS Rule 231</a> for details.

## Local Government Schedule 15 - Assessor's Records

**NOTES:** For further information on tax items refer to Maine Revenue Services - <https://www.maine.gov/revenue/taxes/property-tax>

Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies should be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG15.1	Assessor's Returns	Reports completed and filed by assessors on property valuations within county.	Archival records, retain permanently
LG15.2	Callbacks	Record of property owners not available to assessor on first visit, who must be called to make an appointment so the assessor can gain access to the property	Retain 5 years then destroy
LG15.3	Declaration of Value Forms	Forms filed as part of real estate transfer showing selling price of property	Retain 5 years then destroy
LG15.4	Personal Property	Lists of taxable personal property owned by residents of municipality	Retain 6 years then destroy
LG15.5	Property Listings	Lists of real property in the municipality	Archival records, retain permanently
LG15.6	Property Tax Transfer	Record of property transferred from owner to owner,	Must be recorded at Register of Deeds and retrievable by the municipality through the Registry before any records can be destroyed.
LG15.7	Revaluations	Detail created by the process of re-valuing properties. Before these records can be destroyed, the summary information (new valuation and effective date) should be incorporated in the Assessor's permanent records.	Retain 6 years then destroy
LG15.8a	Tax Abatement Records, Municipal - Application for Abatement	Applications for tax abatement filed with municipality	Retain 3 years then destroy
LG15.8b	Tax Abatement Records, Municipal - Record of Abatements Granted/Refused	Record of abatements granted and refused by municipality	Archival records, retain permanently
<b>Tax Exemption Records</b>		This series is defined as any record that states the name of a person or business granted an exemption; the amount of that exemption, and the reason for granting it. Tax exemptions must be recorded in the Valuation Book in order for records described in this item to be destroyed.	

<b>LG15.9a</b>	<b>Tax Exemptions - Blind Exemptions</b>	An individual who is determined to be legally blind is eligible for a tax exemption.	Retain 3 years, after exemption has expired then destroy Not Confidential, per Title 36, §654
<b>LG15.9b</b>	<b>Tax Exemptions - Denial of Homestead Exemption</b>	If the assessor (or state tax bureau) determines that a property is not entitled to an exemption, and further determines that a property improperly received a homestead exemption for any of the 10 years immediately preceding this determination, the assessor shall supplementally assess the property for which the exemption was improperly received, plus costs and interest.	Retain 10 years then destroy Not Confidential, per Title 36, §686
<b>LG15.9c</b>	<b>Tax Exemptions - Estates of Veterans</b>	A veteran who served during a recognized war period and is 62 years or older; or, is receiving 100% disability as a Veteran; or, became 100% disabled while serving, is eligible for an exemption. Applications and attachments are considered confidential.	Retain 3 years, after exemption has expired then destroy Confidential, per Title 36, §653
<b>LG15.9d</b>	<b>Tax Exemptions - Maine Resident Homestead Property Tax Exemption</b>	Provides a measure of property tax relief for certain individuals that have owned homestead property in Maine for at least 12 months and make the property they occupy on April 1 their permanent residence.	Retain 3 years, after exemption has expired then destroy Not Confidential, per Title 36, §681-689
<b>LG15.9e</b>	<b>Tax Exemptions - Taxpayers List</b>	Only attached proprietary and confidential information is confidential and exempt from the provisions of Title 1, Chapter 13. For purposes of this section, "proprietary information" means information that is a trade secret or production, commercial or financial information the disclosure of which would impair the competitive position of the person submitting the information and would make available information not otherwise publicly available and information protected from disclosure by federal or state law or regulations.	Retain 3 years, after exemption has expired then destroy Confidential, per Title 36, §653
<b>LG15.10</b>	<b>Tax Maps</b>	Maps showing municipalities' lot numbers, owners, etc	Archival records, retain permanently
<b>LG15.11</b>	<b>Tree Growth Files</b>	Program to provide tax incentive to owners of forested land to manage it per guidelines.	Retain 3 years after last parcel or portion of a parcel included in original filing is totally withdrawn from program, then destroy
<b>LG15.12</b>	<b>Valuation/Commitment Records</b>	Valuation book, valuation cards, or any method used to track properties for that purpose. It is not necessary to retain a separate valuation list permanently, although one may be created for convenient use.	Archival records, retain permanently. Note: According to <a href="#">MRS Bulletin 15</a> books do not have to be bound. Recommitments or Adjustments retained permanently as part of Commitment

## Local Government Schedule 16 - Tax Records

**NOTES:** For further information on tax items refer to Maine Revenue Services - <https://www.maine.gov/revenue/taxes/property-tax>

Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies should be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG16.1	County Tax Reports	Annual reports incorporating audited county financial statements, provided to State Auditor.	Archival records, retain permanently
LG16.2	Duplicate Copies of Tax Bills	Duplicate copies of tax bills sent to taxpayers.	Retain 6 years then destroy
LG16.3	Excise Taxes (Auto)	Automobile excise tax documentation.	Retain 5 years then destroy
LG16.4	Tax Abatement Decrees Granted by Counties	Tax abatement decisions made by County Commissioners are records in the minutes of the Commissioners' meetings, which are retained permanently.	Retain 6 years then destroy
LG16.5	Tax Anticipation Notes	Notes from local government agency borrowing funds in anticipation of tax collection revenues.	Retain 6 years then destroy
LG16.6	Tax Collector's Settlement	Tax collector's settlement of funds collected from taxpayers.	Archival records, retain permanently
LG16.7	Tax Commitments	Tax collector's commitment of revenues.	Archival records, retain permanently
LG16.8	Tax Demand Notices	Demand that overdue taxes be paid.	Retain 6 years then destroy
LG16.9a	Tax Liens - Discharged	Tax liens that have been discharged after the taxpayer paid the bill. All tax lien discharges must be recorded at the appropriate Register of Deeds office.	Retain 10 years after discharge then destroy Register of Deeds keeps these permanently
LG16.9b	Tax Liens - Not Discharged	Tax liens still in effect because the bill has not been paid.	Retain until discharged then follow 16.9.a Register of Deeds keeps these permanently
LG16.10	Tax Acquired Property Documents (Municipalities)	Records municipality uses to create the tax commitment	Retain 10 years after settled then destroy
LG16.11	Taxpayer Lists	Municipalities may keep taxpayer lists in many formats. This item applies to whichever format the municipality regards as the official, or 'record copy'.	Retain until updated then destroy

## Local Government Schedule 17 - County Clerks, Commissioners, Treasurers

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies should be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG17.1	<b>Canceled Bonds</b>	Bonds that have been paid off by the county.	Archival records, retain permanently
LG17.2	<b>Census Reports</b>	County copies of US census reports.	Archival records, retain permanently
LG17.3	<b>County Commissioner Court Sessions</b>	County Commissioners are the counties' chief elected officials. They are ultimately responsible for the fiscal operations and policy decisions affecting county government. Court sessions would be similar to policy setting meetings (see Schedule LG10.5b).	Archival records, retain permanently
LG17.4	<b>Deputy Bonds</b>	Deputy sheriff performance bonds.	6 years, after expiration
LG17.5	<b>Distribution Book</b>	Record of tax dollars collected and expended, by line item.	Archival records, retain permanently
LG17.6	<b>Petitions for License</b>	Petitions for licenses granted at the county level.	6 years
LG17.7	<b>Revenue Sharing Records</b>	Record of revenue sharing funds received and expended by county.	Archival records, retain permanently

## Local Government Schedule 18 - Register of Deeds

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies should be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

**SPECIAL NOTE:** The Register of Deeds is the official recordkeeper for the series below. If a municipality is keeping items recorded at the Registry, these would typically be considered copies. Municipalities must verify that the Registry has records and follow appropriate series within the Local Schedules before any are destroyed.

Series	Series Title	Description	Retention
LG18.1	Attachments	Attachments filed against property for repayment of debt.	Archival records, retain permanently
LG18.2	Bankruptcies	Bankruptcy filings and related documents.	Archival records, retain permanently
LG18.3	Deeds	Deeds to real property.	Archival records, retain permanently
LG18.4	Discharges	Discharges of indebtedness.	Archival records, retain permanently
LG18.5	Foreclosures	Foreclosures; i.e., seizing of property to satisfy debt.	Archival records, retain permanently
LG18.6	Instruments	Legal documents not otherwise identified on this schedule, also filed with Register of Deeds.	Archival records, retain permanently
LG18.7	Liens	Notice of debt filed to prevent sale of encumbered property.	Archival records, retain permanently
LG18.8	Mortgages and Discharges	Document(s) recorded to provide legal evidence of a mortgage against real property, and document(s) confirming that a mortgage has been discharged, including supporting schedules, required legal forms, and correspondence for mortgages and mortgage discharges filed with Registry.	Archival records, retain permanently
LG18.9	Plans	Blueprints, specifications, drawings, and related documents submitted for recording.	Archival records, retain permanently

## Local Government Schedule 19 - Register of Probate

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies should be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG19.1	Adoptions	Adoptions processed by Probate Court prior to 8/8/1953 are not confidential. Adoptions processed on or after that date are confidential.	Archival records, retain permanently
LG19.2	Application for Emergency Involuntary Admission to a Mental Hospital	The 'blue' form used for this purpose.	Retain 1 year
LG19.3	Changes of Name	Changes of name requested from Probate Court.	Archival records, retain permanently
LG19.4	Correspondence with Judge of Probate Concerning Marriage of Persons Under 16 Years of Age	Correspondence with Judge about marriages involving persons less than 16 years old.	Retain 2 years
LG19.5	Decedents' Estates, Formal and Informal	Filing of estate papers with Register of Probate, including wills, inventories, etc. This does not include wills deposited for safekeeping only, since these are private property and not public records.	Archival records, retain permanently
LG19.6	Docket Books	Dockets of all Probate Court cases.	Archival records, retain permanently
LG19.7	Miscellaneous Petitions	Petitions for matters not covered by other series, such as authority to handle custody and control of remains.	Archival records, retain permanently
LG19.8a	Notice of Publication - Affidavits	Documentation that notice was published when the law requires this.	Archival records, retain permanently
LG19.8b	Notice of Publication - Newspaper Clippings	Clippings containing published notices.	Retain 1 year
LG19.9	Proceedings Under Rule 81	Proceedings taken to District or Superior Court.	Archival records, retain permanently
LG19.10a	Protective Proceedings, Emergency Child Protective	Cases in which Probate Court is petitioned to provide a guardian or conservator for an emergency child protective situation.	Archival records, retain permanently
LG19.10b	Protective Proceedings, Guardians and Conservators for Individuals for Adults	Cases in which Probate Court is petitioned to provide a guardian or conservator for adult individuals lacking capacity.	Archival records, retain permanently

<b>LG19.10c</b>	<b>Protective Proceedings, Guardians and Conservators for Minor Children</b>	Cases in which Probate Court is petitioned to provide a guardian or conservator for minor children lacking capacity.	Archival records, retain permanently
<b>LG19.11</b>	<b>Recording Information Not Duplicated in Other Series</b>	Books or film of incoming documents.	Archival records, retain permanently
<b>LG19.12</b>	<b>Surrender and Release Filings</b>	Filing in which a birth mother surrenders custody of her child to DHHS or an adoption agency. Confidential only if related to an adoption filed on or after 8/8/1953.	Archival records, retain permanently
<b>LG19.13</b>	<b>Trusts</b>	Trusts filed with Probate Court.	Archival records, retain permanently

**Local Government Schedule 20 - District Attorney – REVISION PENDING**

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies should be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

<b>Series</b>	<b>Series Title</b>	<b>Description</b>	<b>Retention</b>
<b>LG20.1</b>	<b>Copies of Court and Law Enforcement Records</b>	Copies of court and law enforcement records.	Destroy when no longer needed
<b>LG20.2</b>	<b>District Attorneys Notes</b>	District Attorneys notes about cases in progress.	Retain until any required action has been taken, or until any substantive information has been filed with appropriate record series
<b>LG20.3</b>	<b>District Court Cases</b>	All documents related to District Court cases.	1 year after case closed
<b>LG20.4</b>	<b>Extraditions</b>	Extraditions of offenders apprehended in other jurisdictions.	1 year
<b>LG20.5</b>	<b>Harassment Notice Files</b>	Case files for Harassment Notices.	1 year
<b>LG20.6</b>	<b>Juvenile Cases</b>	Cases in which the defendant is a juvenile.	Treat as District Court cases
<b>LG20.7</b>	<b>No Complaint Issued Files</b>	Cases that do not result in a complaint being issued.	1 year
<b>LG20.8</b>	<b>Pleas at Arraignment</b>	Pleas at arraignment.	1 year
<b>LG20.9</b>	<b>Subpoenas, Witness List and Fees</b>	Witness subpoenas, list of witnesses, and fees for subpoenas to be served.	1 year
<b>LG20.10</b>	<b>Superior Court Cases</b>	All documents related to Superior Court cases.	1 year after case closed
<b>LG20.11</b>	<b>URESAs Lists Received from DHHS</b>	Uniform Reciprocal Enforcement of Support Act lists of collections made by DHHS.	1 year

# Section C

## Public Safety

**The following three schedules have been reviewed and revisions are pending approval.  
Schedules below are from the 2018 version.  
However, for the purposes of overall revisions, schedule numbers have been updated.**

## Local Government Schedule 21 – Law Enforcement

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies should be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG21.1a	<b>Accident Records, Fatality</b>	Copies of records maintained by Traffic Division, State Police, for traffic accidents resulting in at least one death.	15 years, following accident
LG21.1b	<b>Accident Records, Nonfatality</b>	Copies of records maintained by Traffic Division, State Police, for traffic accidents in which no one was killed. Retained long enough so that any juvenile involved has time to attain maturity and file suit before records are destroyed.	25 years, following accident
LG21.2	<b>Arrest Records</b>	Record of arrest, including mug shots and fingerprints.	Until age 80 and State Police Bureau of Identification confirms no contact with criminal justice system for past 5 years
LG21.3	<b>Civil Process Services</b>	Records documenting service and attempts to serve civil processes, including but not limited to: Notice to Quit, Writ of Possession, Forcible Entry and Detainer, and Summons. Records include copy of document served, documentation of service, financial recordings/receipts, and related records. Information may include name of person receiving service, date and time of service or attempted service, fees received, and officer serving papers.	6 years
LG21.4	<b>Communications Records</b>	Log of radio transmissions. Also called Dispatch Records.	2 years
LG21.5	<b>Complaint Logs/Cards</b>	Log kept in any format by law enforcement agency, recording all complaints.	Permanent
LG21.6a	<b>Investigative Case Records, All Other</b>	All other investigative cases not covered under <del>19.6.b-19.6.e</del> 21.6a-21.6e.	7 years
LG21.6b	<b>Investigative Case Records, Criminal Cases - Cleared</b>	Investigation files for criminal cases that have been closed.	Until age 80 and State Police Bureau of Identification confirms no contact with criminal justice system for past 5 years
LG21.6c	<b>Investigative Case Records, Criminal Cases - Open</b>	Investigation files for criminal cases that remain open.	Until age 80 and State Police Bureau of Identification confirms no contact with criminal justice system for past 5 years
LG21.6d	<b>Investigative Case Records, Homicides</b>	Investigation files for homicides.	Permanent
LG21.6e	<b>Investigative Case Records, Sudden/Accidental Death</b>	Investigation files for sudden or accidental deaths (not classified as homicides).	Permanent

<b>LG21.7</b>	<b>Juvenile Records</b>	Records of juveniles who are the subject of investigations.	Until former juvenile is 23 years old
<b>LG21.8</b>	<b>Pawn Slips</b>	Record of pawn shop activity	6 years
<b>LG21.9</b>	<b>Summonses Issued by Animal Control Officers and Local Shellfish Wardens</b>	Summonses issued by local animal control officers and shellfish wardens.	3 years
<b>LG21.10</b>	<b>Telecommunication Terminal Logs (Teletype)</b>	Teletype from telecommunication terminals.	2 years
<b>LG21.11a</b>	<b>Telecommunication Terminal Messages (Master Copy Retained by State Police) - All Other</b>	All telecommunication terminal messages except NCIC. Cannot be destroyed if METRO (Maine Telecommunication and Radio Operations) Manual requires otherwise.	Current plus one year
<b>LG21.11b</b>	<b>Telecommunication Terminal Messages (Master Copy Retained by State Police) - NCIC III Inquiry Logs</b>	National Crime Information Center inquiry logs.	Until NCIC audit
<b>LG21.12</b>	<b>Uniform Crime Reports</b>	Uniform Crime Reports.	Current plus one year
<b>LG21.13</b>	<b>Uniform Traffic Ticket and Complaint</b>	Traffic tickets.	Until final court disposition

## Local Government Schedule 22 – Jail Records

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies should be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG22.1	"TPA"	Accounting for inmate canteen funds, or similar mechanisms - money from candy machines, etc. used for such items as newspapers and recreational equipment.	6 years
LG22.2	<b>Administrative Lockups</b>	Record of prisoners separated from the general population.	10 years
LG22.3a	<b>Administrator's Files - All Other Records</b>	Jail administrator's files that are record materials - that is, documents created or received in the course of business.	6 years
LG22.3b	<b>Administrator's Files - Copies and Informational Materials</b>	Jail administrator's nonrecord materials, such as publications and duplicate copies of records officially maintained elsewhere.	Until no longer needed
LG22.4	<b>Admission/Release Documents</b>	Used to prepare monthly report to Department of Corrections.	2 years
LG 22.5	<b>Audit Reports</b>	Report issued by auditor following each official audit.	10 years
LG 22.6	<b>Board of Prisoners</b>	Bills and receipts.	6 years
LG 22.7	<b>Contingency Reports</b>	Boarding of inmates for or at other jurisdictions.	2 years
LG22.8	<b>Correspondence from Sheriff's Office</b>	Communications between jail and Sheriff's Office.	2 years
LG22.9	<b>Cutlery Reports</b>	Before and after each meal, cutlery is counted to make sure none is missing.	2 years
LG22.10	<b>Daily Classification Log</b>	Record of how many prisoners in each classification are housed each day.	10 years
LG22.11	<b>Disciplinary Hearings</b>	Hearings conducted to determine whether or not discipline is required, and if so what it should be.	6 years
LG22.12	<b>Inmate Accounts</b>	Receipts and daily balance sheets for personal funds held on behalf of inmates.	6 years
LG22.13	<b>Inmate Cards</b>	Index to case files.	Destroy when case file is destroyed
LG22.14a	<b>Inmate Case Files - Admission/Release Forms</b>	Forms completed to document admission and release of inmate.	10 years
LG22.14b	<b>Inmate Case Files - Appearance Bonds</b>	Appearance bonds and other records used to establish date of release.	10 years
LG22.14c	<b>Inmate Case Files - Booking Cards</b>	Records made when an inmate is booked.	10 years

LG22.14d	<b>Inmate Case Files - Civil Papers</b>	Record of noncriminal papers served on this prisoner.	Retain for most recent incarceration only
LG22.14e	<b>Inmate Case Files - Commitment Orders</b>	Court order committing prisoner to custody of jail.	Permanent
LG22.14f	<b>Inmate Case Files - Disciplinary Hearing Records</b>	Case file copy of record of disciplinary hearing involving inmate.	Destroy after inmate reaches age 80 and State Police Bureau of Identification confirms no contact with Criminal Justice System in last 5 years
LG22.14g	<b>Inmate Case Files - District Attorney's Computation of Time Served</b>	The record of time served for the prisoner, as computer by the District Attorney.	Destroy after inmate reaches age 80 and State Police Bureau of Identification confirms no contact with Criminal Justice System in last 5 years
LG22.14h	<b>Inmate Case Files - Fingerprint Cards</b>	Card containing prisoner's fingerprints, created each time prisoner is processed.	Retain clearest prints only (this may mean retaining more than one card). Destroy after inmate reaches age 80 and State Police Bureau of Identification confirms no contact with Criminal Justice System in last 5 years
LG2.14i	<b>Inmate Case Files - Inmate Memos</b>	Incident file documenting all significant interactions of staff with prisoner.	6 years
LG22.14j	<b>Inmate Case Files - Inmate Photographs</b>	Photographs taken at required points of incarceration.	Retain most recent photo only
LG22.14k	<b>Inmate Case Files - Judgements and Other Records Used for Risk Classification</b>	Those records that must be used to judge the level of risk posed by the prisoner.	5 years or most recent incarceration
LG22.14l	<b>Inmate Case Files - Money Records</b>	Case file copy of records documenting prisoner's personal funds.	Retain for most recent incarceration only
LG22.14m	<b>Inmate Case Files - Printouts From Jail Database</b>	All printouts from the jail database concerning this inmate, including booking printouts.	2 years
LG22.14n	<b>Inmate Case Files - Property Records</b>	Personal property of inmate and prison property issued to inmate.	Retain for most recent incarceration only
LG22.14o	<b>Inmate Case Files - Request for Visitors</b>	Inmate's request to be visited by specific persons.	Retain for most recent incarceration only
LG22.14p	<b>Inmate Case Files - Request/Grievance Forms</b>	Used by inmate to make requests or file grievances.	6 years

<b>LG22.14q</b>	<b>Inmate Case Files - Trustee/Work Release Records</b>	Inmate's record of service as a trustee, or of being granted work release.	6 years
<b>LG22.15</b>	<b>Intake Logs</b>	Record in log format of all admissions to the jail.	10 years
<b>LG22.16</b>	<b>Judgments and Commitments</b>	Administrator's copies of the documents that authorize the jail to hold the prisoner.	10 years
<b>LG22.17</b>	<b>Key Log</b>	Record of keys issued and returned.	6 years
<b>LG22.18</b>	<b>Laundry Checklist and Inventory</b>	List of prisoner clothing going to laundry and being returned; inventory of all clothing items owned by a prisoner.	1 year
<b>LG22.19</b>	<b>Medical Records</b>	Prisoner medical records for use when treatment is needed when in custody.	10 years
<b>LG22.20</b>	<b>Officer Memos (Incident)</b>	Corrections officer notes concerning incidents that require documentation.	6 years
<b>LG21.21</b>	<b>Program Files</b>	Inmate attendance at jail programs.	2 years
<b>LG22.22</b>	<b>Random Cell Search Logs</b>	Logs kept of random cell searches and their findings.	6 years
<b>LG22.23</b>	<b>Rules and Regulations (Policies and Procedures)</b>	The policies and procedures under which the facility operates (Required by Maine Jail Standards).	Permanent
<b>LG22.24</b>	<b>Shave/Shower Log</b>	Record of when prisoners have shaved and showered.	6 years
<b>LG22.25</b>	<b>Summonses</b>	Legal demands for court appearances.	6 years
<b>LG22.26</b>	<b>Visitor Sign-In Sheets</b>	Sheets on which all visitors are required to sign in.	6 years
<b>LG22.27</b>	<b>Work Schedules</b>	Work schedules for jail staff.	Current year

## Local Government Schedule 23 – Fire Departments

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies should be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

Series	Series Title	Description	Retention
LG23.1	<b>Auto Fires</b>	Fire calls involving motor vehicles rather than structures.	5 years
LG23.2a	<b>Bomb Threat Reports - Anonymous</b>	Bomb threats in which the perpetrator is not identified.	7 years
LG23.2b	<b>Bomb Threat Reports - Identified</b>	Bomb threats in which the perpetrator is identified.	Until perpetrator reaches age 80 (IF State Bureau of Identification confirms no contact with Criminal Justice System in last 5 years)
LG23.3	<b>Complaints</b>	Complaints of fire hazards made to Fire Department.	File with inspections
LG23.4	<b>E-Bills (Firefighters Hired for Outside Jobs)</b>	Bills of services of firefighters working temporarily for other employers.	2 years
LG23.5	<b>Equipment Maintenance Records</b>	Repairs and routine maintenance of departmental equipment, including ladders, vehicles, etc. Records should not be destroyed if a claim against the Department is pending or anticipated, and the records would be needed as evidence.	2 years
LG23.6	<b>False Alarms</b>	False alarm reports.	2 years
LG23.7	<b>Fire Dispatch Records</b>	Record of truck(s) dispatched in response to a reported fire.	6 years
LG23.8	<b>Fire Prevention Files (Inspection Files)</b>	Fire inspections on buildings within municipality.	Life of building, plus 6 years
LG23.9	<b>Fire Prevention Permits</b>	Permits reissued each year for possession of explosives, flammables.	Current year
LG23.10	<b>Forest Fire Reports</b>	Reports of a possible forest fire.	3 years
LG23.11	<b>General Notices</b>	Notices issued to all firefighters by chief.	Permanent
LG23.12	<b>General Orders</b>	Orders issued by the chief to be followed until cancelled.	Permanent
LG23.13	<b>Incident Reports</b>	Answers to alarms.	2 years
LG23.14	<b>Investigation Files</b>	Investigation of fires that have taken place within municipality.	Permanent
LG23.15	<b>Juvenile Fire- Starter Case Files</b>	Records of juveniles who have started fires, and of steps taken to prevent recurrence.	Until former juvenile is 23 years old
LG23.16	<b>Manpower Reports</b>	Reports of all firefighters on duty and/or responding to calls.	10 years
LG23.17	<b>Monthly Hazard Reports</b>	Report of hazards discovered during monthly safety inspections.	2 years, after expiration

Series	Series Title	Description	Retention
LG23.18	<b>Narrative Reports</b>	Report on a fire, prepared by the officer in charge. Describes the actions taken and the cause, property owner, dollar loss, etc. This is made available to the owner and insurance companies.	6 years
LG23.19	<b>Official Reports Other Than Fire</b>	Reports, such as theft from vehicle, created by Fire Department but not concerning a fire.	1 year
LG23.20	<b>Run Sheets</b>	Form completed each time a truck leaves the station. Includes ambulances when these are municipally operated.	6 years
LG23.21	<b>Sprinkler Records</b>	Records of sprinkler systems in buildings protected.	Permanent
LG23.22	<b>Statistics</b>	Sent to Chief.	1 year
LG23.23	<b>Structure Fires</b>	Permanent records of fires that have damaged or destroyed buildings.	Permanent
LG23.24	<b>Underground Storage Tanks</b>	All records documenting location, construction, and condition of any underground storage tank (which would generally be used, or have been used, for fuel).	25 years after removal of tank
LG23.25	<b>Woodstove Inspections</b>	Inspections of woodstoves to verify their safe installation.	Until stove is removed

# Section D

## Schools

**The following schedule has been reviewed and revisions are pending approval.  
The schedule below is the 2018 version.  
However, for the purposes of overall revisions, schedule numbers have been updated.**

## Local Government Schedule 24 – School Records

**NOTES:** Schedules pertain to records in any format - paper, electronic (digital data) or other. Determine what the "record copy" of your documents will be and apply the full retention time to those records. No copies should be retained longer than what is considered the "record copy." For electronic recordkeeping requirements, See Appendix E. For general recordkeeping information refer to the Introduction.

School records are broken down into the following categories: General Student Records, Individual Student Records, Curriculum/Program Records, Correspondence Records, Administrative Records – General Operations, Administrative Records – Property (Facility/Equipment/Land), Financial Records, Personnel Records, Payroll Records, and School Board Records. Please note that some Series are duplicates or similar to those found elsewhere in the Local Government Record Retention Schedules.

### GENERAL STUDENT RECORDS

Series	Series Title	Description	Retention
LG24.1	Attendance Records - Daily	Used to notify administration of student absences; information transferred to permanent record.	Current year
LG24.2	Bus Transportation Lists	Record of bus taken by each student for the year.	2 years
LG24.3	Child Abuse/Neglect Reports	Reports of suspected abuse/neglect that are required by law; retention period is the same as at DHHS, where these reports are received and investigated.	10 years
LG24.4	Home School Student List	Annual records include: Name(s) of children, address, ages, years.	Permanent
LG24.5	Registrations for Recreational Activities	Registrations for students enrolled in recreational activities offered by the school.	6 years
LG24.6	Student Achievement Lists	Class rank lists (if applicable), award/honors lists, scholarships, honor rolls, etc.	Permanent
LG24.7	Student Permission Slips	Permission slips signed by parents allowing their students to participate in school activities such as field trips, viewing of films, etc.	6 years
LG24.8	Student Retention Lists	List of students retained instead of being promoted.	6 years

## INDIVIDUAL STUDENT RECORDS

Series	Series Title	Description	Retention
LG24.9	<b>Adult Education Student Records</b>	Name, address, Records of grades, courses taken, attendance, etc. for students participating in adult education programs.	Permanent
LG24.10	<b>Annual Registration/Emergency Information</b>	Information completed each year to register students for school and emergency contact information.	Current year
LG24.11	<b>Correspondence Concerning Individual Students</b>	Correspondence between school and parents/guardians; among school employees; with outside services providers, etc. regarding an individual student.	Until age 26
LG24.12	<b>Enrollment Application</b>	Document completed by all students who are entering the school unit, listing vital information about each student.	6 years
LG24.13	<b>Excuse Notes (Late/Absent/Dismissed)</b>	Notes from parents or guardians explaining student lateness, absence, or need for dismissal during the school day.	Current year
LG24.14	<b>HiSet Student Records</b>	Records retained related to the High School Equivalency Test, (HiSET), which measures whether students have the academic skills equivalent to a typical high school graduate.	Permanent
LG24.15	<b>Home School Records</b>	Records of those students being home schooled, whether temporarily or on-going.	Until age 26
LG24.16	<b>Kindergarten Screening</b>	Records created as children are evaluated against set standards to determine their readiness for enrollment in kindergarten.	5 years
LG24.17	<b>Private Tuition Agreements</b>	Records related to private tuition agreement for an individual student.	6 years
LG24.18	<b>Record of Student Records Released</b>	Record (including date and recipient) of all student records released by the school unit.	Until age 26
LG24.19	<b>Special Education Records</b>	Records pertaining to special education referrals and services provided to student.	Until age 26
LG24.20	<b>Student Assistance Team Records</b>	Student Assistance Team records.	Until age 26
LG24.21	<b>Student Contracts</b>	Contracts between students and teachers or administrators for improvement of problem behaviors; athletic contracts, etc. (Not special education related)	Until graduation
LG24.22a	<b>Student Discipline Records – Minor</b>	Records of student disciplinary actions except suspensions and expulsions.	Until graduation
LG24.22b	<b>Student Discipline Records – Suspension/Expulsion</b>	Records of student suspensions and expulsions	Until age 26

<b>Series</b>	<b>Series Title</b>	<b>Description</b>	<b>Retention</b>
<b>LG24.23</b>	<b>Student Health Records</b>	Records of student medications, illnesses, injuries (including injuries related to athletic activities), vaccinations, etc.	Until age 26
<b>LG24.24</b>	<b>Student Insurance Records</b>	Records of school-sponsored student insurance.	6 years
<b>LG24.25</b>	<b>Student Records – Permanent</b>	Records include: student name, address, phone, official high school transcript (if applicable), grades, attendance records, classes attended, grade level completed and year completed.	Permanent
<b>LG24.26</b>	<b>Student Records – Long Term</b>	Records include: notation for any special services received including: Title One, 504, services to Migrant children and ESL; standardized tests.	Until age 26
<b>LG24.27</b>	<b>Student Schedules</b>	Records of each student's class schedule.	Current year
<b>LG24.28</b>	<b>Superintendents' Agreements</b>	Records related to a Superintendents' agreement concerning individual student.	6 years
<b>LG24.29</b>	<b>Truancy</b>	Records concerning students truant from school.	Until graduation
<b>LG24.30</b>	<b>Work Permits</b>	Work permits on file for students under 16 years old.	Until graduation

## Curriculum/Program Records

Series	Series Title	Description	Retention
LG24.31	<b>Athletic Trainer/Sports Medicine - General</b>	Sports program records related to use of trainers, and to sports medicine.	6 years
LG24.32	<b>Curriculum (syllabi, lesson plans, etc.) - Routine Materials Used by Teachers</b>	Routine curriculum materials used by teachers.	Retain current information only
LG24.33	<b>Curriculum/Program Records</b>	Subject records maintained by school officials on curriculum and school programs, including Adult Education.	6 years
LG24.34	<b>Family/Community Program Records</b>	Records for family/community open houses, etc.	Current year
LG24.35	<b>Interscholastic/Extracurricular Activities</b>	Records documenting individual, team and group achievements in interscholastic/extracurricular activities and contests. Records include coach's/advisor's reports and team/group rosters.	Permanent
LG24.36a	<b>Library Records - Circulation</b>	Records relating to the borrowing, lending, and returning of items in the library's collection. Including, but not limited to: item circulation history and patron records.	Retain until no longer needed for Library business, then destroy
LG24.36b	<b>Library Records - Yearbooks</b>	Non-circulating record copy maintained by school (whether or not as part of its library collection).	Permanent
LG24.37	<b>Substitute Folders</b>	Folders containing lesson plans and resource materials for use by substitute teachers.	Current year
LG24.38	<b>Title One Parent Night Records</b>	Records of attendance at parents' night events and of programs offered on those occasions.	6 years

## CORRESPONDENCE RECORDS

Series	Series Title	Description	Retention
LG24.39	<b>Complaints from Public Regarding General Operations (not individual student or employee issues)</b>	Communications from public making a complaint, as well as the associated school response.	1 year from resolution of issue
LG24.40a	<b>Correspondence - Transitory</b>	Incoming and outgoing correspondence in any media format which is purely informational in nature and only documents information of temporary, short-term value; not covered by another record series or needed to document core functions/operations/services of the school unit. (Examples include: letters of transmittal, basic information requests such as hours open, notices/scheduling meetings, etc.)	30 days or until no longer needed
LG24.40b	<b>Correspondence - Substantive</b>	Any correspondence documenting core functions/operations/services of the school unit.	File with related record series
	<b>Correspondence Concerning Individual Students</b>	See Individual Student Records	
LG24.41	<b>Freedom of Access Requests</b>	Records relating to requests from the general public for access to the school's public records in accordance with Title 1, Chapter 13, Subchapter 1. Records may include: correspondence relating to the request; records documenting the public records provided to the requestor.	1 year from the completion of request

## ADMINISTRATIVE RECORDS – School Operations

Series	Series Title	Description	Retention
LG24.42	<b>Accident Reports - Employees or Public</b>	Accident reports completed when employees or public are injured on school property or during school activities.	6 years
LG24.43	<b>Administrative Calendars</b>	Employee calendars, facility use schedules, meeting schedules.	Current year
LG24.44a	<b>Administrative Records-Historical</b>	Materials documenting unique aspects or special traditions of the school or school unit.	Permanent
LG24.44b	<b>Administrative Records – General School Operations</b>	Accreditation Committee, Teacher Support Team; Student Retention Review Committee, etc.; minutes, agendas, etc. for staff meetings; records which document policy-implementing activities; employee handbooks; etc.	6 years
LG24.44c	<b>Administrative Records - Transitory</b>	Phone logs, duty rosters, teacher instructional staff list, etc.	Current year
LG24.45	<b>Administrative Working Documents</b>	Supporting documents which may be needed to understand and/or benefit the completed action, policy, study, etc.	See Appendix F, Working Documents and Drafts
LG24.46	<b>Appointments/Oaths</b>	Appointments to boards, commissions, or other offices with accompanying oaths of office, usually in a bound volume or "book."	End of Term Plus 10 Years
LG24.47a	<b>Bond Records, Contractor/Surety</b>	A surety (security or contract) bond issued by an insurance company or a bank to guarantee satisfactory completion of a project by a contractor. Used to fulfill a contractual obligation. If a contract isn't fulfilled, loss is recovered through the surety bond.	6 years after expiration
LG24.47b	<b>Bond Records, Employee/Fidelity</b>	Supplementary employee insurance which protects the school. Also known as a fidelity bond. Fidelity bonds reimburse employers for damages or losses that can arise from theft, forgery, fraud or embezzlement by staff.	6 years after expiration

Series	Series Title	Description	Retention
LG24.48	<b>Charters</b>	Charters, bylaws, mission statement or other similar documents establishing the responsibilities and authority of the school unit.	Permanent
LG24.49	<b>Federal, State and Private Grants</b>	Federal, state and private grant case files. Retain all records in accordance with grant requirements.	Until closed, plus 6 years
LG24.50	<b>Food Service Files</b>	All records of school food service operations.	3 years
LG24.51a	<b>Hazardous Chemicals - Chemical Identification List and Related Records</b>	Each work site where hazardous chemicals are used or stored must maintain a list, with SDS (see 1.15.b) and any related documents.	20 years
LG24.51b	<b>Hazardous Chemicals - Safety Data Sheets</b>	Safety Data Sheets explain the hazards and describe the measures that should be taken if employees are exposed to chemicals stored or used at the work site.	Current SDS only
LG24.52	<b>Insurance Claims</b>	Includes both claims filed against school unit, and claims filed against others by school unit.	Until settled plus 6 years
LG24.53a	<b>Insurance Policies, All Other</b>	Policies carried by school unit to protect itself against all other losses except liability claims. Including: medical, automobile, fire, theft, life, and other insurance policies purchased.	6 years after expiration
LG24.53b	<b>Insurance Policies, General Liability</b>	Policies carried by school unit to protect itself against liability claims.	20 years after expiration
LG24.54	<b>Labor Citations - Safety Violations</b>	Record of safety violations discovered during inspection of school facilities.	One year after resolution
LG24.55	<b>Legal Files</b>	Records of all legal actions in which the school unit has been involved.	Until issue is resolved, plus 6 years
LG24.56	<b>Mail Delivery and Receipt</b>	Receipts for registered, certified or other mail sent out by a school as well as undeliverable registered or certified mail items returned. The records are typically filed with the school's copy of the item mailed. Including, but not limited to: <ul style="list-style-type: none"> <li>• Certified/registered/insured mail logs and return receipts;</li> <li>• Private ground delivery registers/receipts</li> <li>• Signed pick-up and delivery receipts</li> </ul>	1 Year (unless needed longer for legal purposes)

Series	Series Title	Description	Retention
LG24.57	<b>Records Disposition Documentation</b>	Documentation of final disposition of records, describing records disposed of and manner and date of disposition; providing evidence that records have been disposed of per approved retention schedules.	Permanent
LG24.58a	<b>Reports Filed With Federal or State Agencies – Interim Records/Reports</b>	Interim or periodic reports used to create final reports.	6 years
LG24.58b	<b>Reports Filed With Federal or State Agencies – Annual/Final Report</b>	Final versions of reports.	Permanent
LG24.59	<b>School Calendar</b>	Official school calendar for the school year. Includes approved and revised calendars.	10 years
LG24.60	<b>Student Safety Drills</b>	Records include emergency drills in school, as well as safe riding skills and emergency evaluation on school buses.	6 years
LG24.61	<b>Surveillance Records</b>	Recordings which document the activities in public areas of school facilities used as a security measure in the identification of persons who cause disturbances or violate laws.	Retain until determined that no security incident has occurred, then destroy. If incident or investigation, retain until resolved.
LG24.62	<b>Warrants - Municipal</b>	Municipal warrant used to call a town meeting, with associated election notice. Warrants typically list an agenda of items to be voted on by those present, which may be an open town meeting, (those present would consist of any and all registered voters in the town) or a representative town meeting (anyone may attend, but only town meeting members - elected representatives - are allowed to vote).	Permanent
LG24.63	<b>Wellness Program (School)</b>	Implementing plans; record of compliance with community involvement and notification requirements; triennial assessment records.	6 years

## Administrative Records – Property Records (facility/equipment/land)

Series	Series Title	Description	Retention
LG24.64	<b>Buildings and Grounds Records</b>	Records of maintenance and improvements. Destroy records when facility no longer exists, or transfer records to new owner.	Life of facility (or as long as owned by school unit)
LG24.65	<b>Deeds to Properties Owned by Local Government Agencies</b>	Deeds (plus any related documents) to a school unit's real property. These deeds must also be recorded at the appropriate County Register's Office.	Permanent
LG24.66	<b>Depreciation Schedules</b>	Depreciation schedules for non-real property owned by school units.	6 years after disposal of property
LG24.67	<b>Equipment/Asset Inventory</b>	Records relating to the inventorying of the school's capital, expendable and consumable assets. Updated when new items are purchased and old items are sold or given away. Series may contain: Name of the asset, description, location, purchase date, serial or other identifying number, original cost and current value. Also documents related to the purchase, upgrading, and maintenance of equipment such as motor vehicles, computers, etc.	Retain for 4 fiscal years after date of inventory or until disposition of asset
LG24.68	<b>Equipment Maintenance Records</b>	Records of maintenance of school equipment.	3 years, plus current
LG24.69	<b>Leases - Property</b>	"Real Property" related leases (land, buildings and fixtures) to which the school unit is a party. Records may include: legal documents, correspondence, reports, etc., relating to the negotiation, fulfillment, and termination of the lease.	10 years after termination of lease
LG24.70	<b>Mortgages</b>	Mortgages on property owned by school unit, and discharges of these mortgages. Must also be recorded at the appropriate Registry of Deeds.	Permanent
LG24.71	<b>Property Records</b>	Other than deeds to real estate - documentation for purchase and maintenance of property that the school unit records on an inventory.	6 years after disposal of property
LG24.72	<b>School Construction Records</b>	Plans and related documents that provide history of school construction projects. Destroy records when building no longer exists, or transfer records to new owner.	Life of the building (or until no longer owned by school unit)
LG24.73a	<b>Site Plans - Approved</b>	Final plans submitted to planning boards and land use committees, approved to allow the work to proceed.	Permanent
LG24.73b	<b>Site Plans - Work in Progress</b>	Plans superseded by subsequent changes in execution, and all sketches, notes, and supporting documents to completed (final) plan.	Until no longer needed

## FINANCIAL RECORDS

Series	Series Title	Description	Retention
LG24.74	<b>Accounts Payable and Disbursement Records</b>	Including but not limited to: claims, bills, invoices, statements, copies of checks and purchase orders, expenditure authorizations, and similar records that serve to document disbursements, including those documenting claims for and reimbursement to employees for travel and other employment-related expenses.	6 years
LG24.75	<b>Accounts Receivable Records</b>	Including but not limited to: bill copies or stubs, statements, billing registers, account cards, direct deposits, cash receipts, credit card receipts, receipt books, cash transfers, daily cash reports, cash drawer reconciliations, and similar records (such as returned checks and associated fees) that serve to document money owed to or received by a school unit and its collection or receipt.	6 years
LG24.76	<b>Audit Reports</b>	Report issued by auditor following each official audit.	Permanent
LG24.77	<b>Audits, Internal (Working Papers)</b>	Calculations and other backup materials used by auditors to generate final report.	7 years Title 20-A, Chapter 22, §6051 requires that school units keep these records 7 years
LG24.78	<b>Banking, Accounts and Transactions</b>	Records relating to the school's banking activities and documenting its banking transactions including, but not limited to: <ul style="list-style-type: none"> <li>• Bank deposits (deposit slips) and withdrawals</li> <li>• Bank reconciliations and statements</li> <li>• Records documenting the status of and adjustments to accounts</li> <li>• Stop payment reports/requests (and supporting documentation)</li> <li>• Canceled checks, or images of canceled checks</li> </ul>	6 years
LG24.79a	<b>Bids and Proposals, Successful</b>	Bids and proposals made by potential vendors to provide the school with goods, services, revenue, or other benefits. Including, but not limited to: <ul style="list-style-type: none"> <li>• Request for proposal or bid, request for qualifications/quotations, specifications, etc.;</li> <li>• Public notices;</li> <li>• Bid proposals, evaluation documents, statements of qualification, applications, etc.</li> </ul>	6 years

Series	Series Title	Description	Retention
LG24.79b	<b>Bids and Proposals, Unsuccessful</b>	Bids and proposals made by potential vendors to provide the school with goods, services, revenue, or other benefits, which are not accepted. Includes bid proposals, evaluation documents, statements of qualification, applications, etc.	2 years
LG24.80	<b>Bond Records, Financial</b>	Bonds (financial, representing funds invested) purchased or sold.	6 years after expiration
LG24.81a	<b>Budget Records - Approved Annual Budget</b>	Final copy of the adopted budget, listing anticipated revenues and expenses for year. This series does NOT include working papers, drafts, budget requests, or other supporting documentation.	Permanent
LG24.81b	<b>Budget Records - Supporting Documents</b>	Documentation supporting the approved annual budget, including but not limited to working papers, agency staff analyses, drafts, or other working documents used to draw up the final budget, including estimates and requests submitted for compilation by individual departments.	6 years
LG24.82	<b>Contracts/Leases</b>	Contracts entered into by school unit for the purchase of goods, services; leasing of vehicles, equipment, etc.	6 years after completion
LG24.83a	<b>Ledgers/Journals - Daily Transactions</b>	Records documenting the daily transactions concerning receipts and disbursements of funds. May include details of daily receipts and expenditures such as deposit or payment amounts, date, payee, purpose, fund credited or debited, and check number, etc.. These records are considered temporary accounting records which are used to create a permanent ledger.	6 years
LG24.83b	<b>Ledgers/Journal - Permanent</b>	Summary accounting records, showing line item totals of income and expenditures for year. (May also be referred to as annual or final fiscal reports.)	Permanent
LG24.84	<b>School Trust Fund Records</b>	Records of all trust funds supporting school.	Permanent
LG24.85	<b>Student Activity Accounts</b>	Records for funds collected to support student activities.	3 years
LG24.86	<b>Vouchers</b>	Official authorization (i.e. internal document) used in order to collect and organize the necessary documentation and approvals before paying on a claim or bill. May include name of department fund, check number, date, amount of claim, and authorizing signature.	6 years
LG24.87	<b>Warrants - Financial</b>	Warrants for payment of obligations, (i.e. a written order instructing a specific payment to a specified recipient at a specific time).	6 years

## PAYROLL RECORDS

Series	Series Title	Description	Retention
LG24.88	<b>Deduction Authorizations</b>	Records documenting an individual employee's authorization to withhold taxes or other authorization to allow deductions from the employee's pay.	3 years after separation
LG24.89	<b>Direct Deposit Authorization</b>	This record series documents an employee's authorization for direct deposit of their paycheck in the bank.	until superseded or end of employment
LG24.90	<b>Employee Payroll Records</b>	Records kept for individual employee earnings history. May contain, but not limited to: salary history, department and position, earnings and deductions by pay period; gross earnings year-to-date, net pay.	60 years after separation
LG24.91a	<b>Payroll Register – Pay Period</b>	Earnings and withholdings of employees for each pay period; used to compile the year end Payroll Register. Records include: date, employee names, gross pay, withholdings and deductions, pay rate	6 years
LG24.91b	<b>Payroll Register - Year End</b>	Registers, reports, or similar records detailing the cumulative or year-to-date earnings, withholdings, and deductions.	60 years after separation
LG24.92	<b>Payroll Reports</b>	Various reports are generated for each pay cycle to verify the accuracy of the payroll. These reports may include payroll summaries, pay journals, check registers, account distributions, payroll liabilities, payroll transactions, payroll account creation reports, gross pay balance, deduction registers, etc.	6 years
LG24.93	<b>Pension or Retirement Records</b>	Pension or retirement account records that detail, by pay period and cumulatively, deductions, disbursements, adjustments, or other actions. (May be considered as part of Employee Payroll Records or Personnel File)	60 years after retirement
LG24.94	<b>Tax Forms</b>	Forms and reports used to report the collection, distribution, deposit, and transmittal of payroll and other tax related information for employees. Including: W-2 or W-3, Wage & Tax Statement; W-4, Employees Withholding; Form 940, Unemployment Tax; Form 941, Quarterly Tax; 1099 Forms, Miscellaneous income or other distributions	6 years after fiscal reporting year
LG24.95	<b>Wage Attachments/Garnishments</b>	Garnishment of employee wages. Records may include: child support records, bankruptcy records, tax levies, and any other court-ordered garnishments or voluntary attachments stating the total amount to be collected and the amount to be deducted from each payroll.	6 years after file becomes inactive

## PERSONNEL RECORDS

Series	Series Title	Description	Retention
LG24.96	Attendance Records	Attendance records if not covered by other record series.	3 years
LG24.97	Applications for Employment - Not Hired	Cover letters, application forms, references, etc.	2 years
LG24.98	Background Checks	Background checks conducted by school unit.	6 years
LG24.99	Employee Drug Tests	Records of drug test and results for school employees.	5 years
LG24.100	Employee Insurance	Records regarding employee participation in insurance programs (such as health, dental, etc., and including COBRA records)	6 years after termination
LG24.101	Employment History	Employment history (including dates of employment, annual 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
LG24.102	Form I-9	Federally required proof that employee has a legal right to work in the U.S.	3 years after separation
LG24.103	Health Records - Individuals	Health records of school 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
LG24.104	Job Descriptions	Description of duties performed or to be performed by particular positions.	Permanent
LG24.105	Leave Files	Requests and authorizations for vacation, compensatory, sick, Family and Medical Leave Act (FMLA), and other types of authorized leave, and supporting documentation.	3 years
LG24.106	Personnel Records – Long Term	Personnel records addressed in <a href="#">20-A M.R.S.A, Section 6101</a> .	6 years after separation

Series	Series Title	Description	Retention
LG24.107	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
LG24.108	Substitute List	List of school unit's employment of substitute teachers to cover teacher absences.	1 year, plus current
LG24.109a	Training – Conferences, Workshops 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
LG24.109b	Training - 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
LG24.109c	Training – Informational Materials	Training and education of employees: Information about available training/education opportunities.	Update as needed
LG24.110a	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
LG24.110b	Union Records - Union Agreements (Signed)	Collective bargaining agreements with unions representing employees of school unit.	Permanent
LG24.111	Volunteer Records	Records documenting those who participate as school volunteers. 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
LG24.112	Wellness Program Records (Employee)	Records of individual employee participation in program designed to encourage behaviors thought to result in improved health.	Current year
LG24.113a	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
LG24.113b	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
LG24.113c	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

## School Board Records

Series	Series Title	Description	Retention
LG24.114	<b>Comprehensive Emergency Management Plan</b>	Title 20-A §1001 requires that each school board annually approve this plan.	5 years after each revision
LG24.115	<b>Comprehensive Plans (Adopted)</b>	These records document the plans for the future growth and development of the school system. A comprehensive, long-range general plan addresses present and future needs of the school; including any future growth and development.	Permanent
LG24.116	<b>School Board Accreditation Reports</b>	Accreditation reports.	Permanent
LG24.117	<b>School Board Committee Minutes</b>	Approved minutes of school board sub-committees.	Permanent
LG24.118	<b>School Board Meeting Minutes</b>	<p>All official meetings held or conducted by School Board, where official minutes are kept with an accurate record of votes and actions. Includes, but is not limited to:</p> <ul style="list-style-type: none"> <li>• Agendas, meeting/agenda packets (briefs, reference materials, etc.)</li> <li>• Speaker sign-up, written testimony</li> <li>• Audio/visual recording transcripts</li> <li>• Recordings (destroy after minutes have been transcribed and approved, unless challenge or legal dispute related to meeting, then retain until resolution.</li> <li>• Minutes (any handwritten notes, once transcribed and approved can be destroyed)</li> </ul>	Permanent (except where noted)
LG24.119	<b>School Board Policies</b>	Approved Board policies, including policies removed/rescinded by the Board.	Permanent

## APPENDIX A – Alternative Repositories

### Use of Non-Profit Alternative Repositories for Paper Records

**A. General Guidelines.** Nonconfidential records to be retained or authorized to be destroyed according to these schedules, as well as confidential records to be retained, may be deposited with an alternative institution as described in Part B. The local government agency retains legal custody of these records and shall ensure that they are not alienated from the institution except for placement, with approval of the local government agency, in another approved institution or for authorized destruction. The local government agency may regain possession of records deposited in an authorized institution at any time.

Local government agencies shall enter a written agreement with the institution ensuring that issues of custody, regaining possession, security, preservation, and access are clarified; that the institution will, if applicable, comply with policies and directives of the local government agency governing confidentiality and preservation of records in accordance with state and federal law; and that the institution will provide storage facilities capable of preserving records at least as well as those available to the local government agency. A copy of this agreement shall be sent to the State Archivist and approved by the Archivist, with the advice of the Archives Advisory Board before any records are deposited at the alternative institution.

#### **To become approved, the institution must meet the following criteria:**

1. Provide security to prevent the loss of records both in storage and in reference areas. This shall at a minimum include locks on all doors and windows, plus an intruder alarm system and a fire alarm system. Minimum security shall also always include direct supervision of researchers when records are available for access.
2. Provide storage facilities situated in a physically safe location (i.e., not located in a flood plain; not located next to a hazardous chemical storage area; etc.). These facilities should have heating/ventilation/air conditioning capable of maintaining temperatures between 60 and 70-degrees Fahrenheit, and of holding relative humidity to less than 50 percent.
3. Provide reasonable access to the records as required by the [Public Records and Proceedings statute](#) (MRS Title 1, §408-A). “Reasonable” should at a minimum mean that the facility is open to the public, by regularly scheduled hours or by appointment, at least two days each week throughout the year. There shall be no charge for retrieving or viewing the records, and any charge for obtaining copies shall be limited to the organization’s actual cost to produce such copies. However, if the organization’s staff is requested to research the records for the requestor the organization may charge any fee that it would normally require for research services.
4. Show evidence of a capacity to care for the records by providing evidence 1) of a mission statement; and 2) that a person who cares for the records has had basic archival training, such as a workshop approved by the Maine State Archives, formal education, or related experience.
5. Maintain a non-profit corporate status.
6. May be inspected by Maine State Archives staff before approval is granted, with re-inspection possible at any time after approval.
7. Notify the State Archivist of any changes in its facilities or policies that relate to the standards described in this section.
8. Approval may be revoked by the State Archivist at any time, after notice and opportunity to correct, if standards do not continue to be met.

To accept confidential records, the institution also must show evidence that it has staff capable of maintaining confidentiality in accordance with policies of federal, state, and local government agencies.

**B. Approved Institutions.** An institution must be approved by the State Archivist as a depository for local government records and/or to accept confidential records before a local government agency can deposit its records with the institution. The State Archivist shall maintain a list of approved institutions (available on the Maine State Archives website).

### **Use of Commercial Records Centers for Paper Records**

Local government agencies may use commercial records centers to store their closed records. Before any records are transferred, the commercial records center must be approved in writing by the Maine State Archivist, with the advice of the Archives Advisory Board. The following criteria must be met:

1. Security must be provided to prevent the loss of records, both in storage areas and during transfer.
2. Fire protection must be provided.
3. Stored records can be released only to employees of the local government agency (which shall be responsible for making records available to the public).
4. Only bonded employees of the Records Center can handle boxes or provide reference services.
5. Routine reference service must be available within one business day.
6. Emergency reference service must be available within 2 hours or less during normal business hours.
7. Records must be stored in a physically safe facility (i.e., not located in a flood plain; not located next to a hazardous chemical storage area).

Commercial records centers used by local government agencies may be subject to inspection by the Maine State Archives, which will notify the Archives Advisory Board of any failure to meet these standards. Local government agencies which use commercial records centers must maintain accurate listings of all records stored.

Commercial records centers used by local government agencies shall be liable for damage, destruction, or loss of records, whether in storage at the facility or in transit between the facility and the local government agency's offices.

### **Use of Third-Party Vendors for Electronic Records (Cloud Storage)**

Local government agencies can use third-party vendors to store electronic records. Before any agreements are entered into with a third-party vendor, the Maine State Archivist shall be consulted.

Maine State Archives makes the following minimum recommendations:

1. Retain legal custody of records and information;
2. Maintain record and information controls over cloud storage;
3. Specify provider recordkeeping responsibilities in contracts;
4. Plan in the contract for future migration, transfer, and destruction of the records.

Records in the cloud must:

1. Retain accountability, integrity, compliance, authenticity, and reliability;
2. Be available, searchable, and retrievable;
3. Be protected from unauthorized deletion;
4. Be retained for the minimum retention period;
5. Be destroyed/transferred in accordance with the appropriate records retention schedule.

Other items to consider:

Transactions of public business conducted through cloud-based services are public records and must be managed in accordance with record retention schedules. If the records are managed exclusively in the cloud, careful consideration must be taken regarding the implications of cloud storage for records management. For example, if the contract with the cloud vendor expires or the service is no longer supported by the vendor, records and any corresponding metadata will need to be downloaded onto a local system. The transfer must maintain the integrity of the files, with the assurance the files are transferred accurately and completely. The use of cloud applications for storage will shape concerns related to security and confidentiality, ownership, ease of data removal, and disaster recovery. Understanding user expectations and whether they are being met by the service provider is critical.

## APPENDIX B – Vault for Permanent Records

State law requires each local government to have a fireproof safe or vault to protect permanently valuable records. Fires in several towns provide a reminder about the perils of not protecting critical records. 5 M.R.S.A. §95-B. (provisions for local government records) states the following:

*2. Safe or vault for preservation. Each local government shall provide a fireproof safe or vault for the preservation of all records that must be retained permanently but are not required for business purposes. The official having responsibility for those records shall deposit them in the safe or vault where those records must be kept except when required for use.*

### **General Guidelines for Budgeting and Planning Purposes, to Insure Conformity with State Law:**

Vault should be either ground-supported (i.e., capable of standing on its own if the building around it collapses) or located within a fire-resistive building (one that will not suffer structural collapse even if its contents is completely consumed). Walls of the building can only be used as walls of the vault if the building is fire-resistant.

The vault should be planned, and its construction supervised by a registered engineer or architect. Its walls can only be pierced for necessary services and should not be open to any type of shaft. Floor and roof cannot be pierced. All walls, floor (if vault is structure-supported rather than ground-supported), and door should at a minimum meet 4-hour fire resistance standards per a nationally recognized standards organization. The vault door cannot be a standard “fire door” or other design not specifically intended for vault use. The door locking mechanism should provide for escape by a person accidentally locked inside.

No combustible materials can be used in the vault’s construction, including in any necessary damp-proofing. A ventilating system that conforms to nationally recognized standards should be provided, and all services (electrical, heating, etc.) should conform to national and local codes. Open flame heating shall not be used under any circumstances.

The vault should be installed by qualified and experienced personnel, in conformity with its manufacturer’s requirements. “Fireproof” cabinets or other portable fire-resistant records storage equipment cannot be substituted for a properly designed and constructed vault.

### **Specific Guidelines for Vault Construction**

The National Fire Protection Association’s Standard (NFPA 232, Protection of Records) provides guidance concerning vault construction. This copyrighted publication may be obtained from the NFPA website: [www.nfpa.org](http://www.nfpa.org).

## APPENDIX C – Determining Essential Records (what should go in the vault)

### Essential (Vital) Records

Essential records are the records that are fundamental to the functioning of an organization and necessary to continue operations without delay under abnormal conditions. If these records are destroyed, your operations would come to a grinding halt. They typically contain information needed to recreate your legal and financial status and to preserve the rights and obligations of stakeholders, including employees, customers, shareholders, business partners, and citizens.

### Business Continuity

Plans for the protection and recovery of essential records often fall under the “business continuity” umbrella. Business continuity refers to an organization’s ability to continue to operate in case of a disaster or disruption. It is recommended to have a business continuity plan in place which is periodically tested. This plan would include all actions to be taken to reduce the risk of avoidable disaster and to minimize the loss if a disaster occurs.

The American National Standards Institute/Association of Records Managers and Administrators standard on essential records suggests asking four specific questions when identifying essential records.

1. What records are absolutely necessary to resume operations?
2. What records are necessary to protect assets, protect the legal and financial status of the organization, and preserve rights and obligations of employees, customers, stockholders, and citizens?
3. Are there other sources inside or outside the organization from which the records can be retrieved or reconstructed?
4. Does the necessary information reside in more than one medium?

### Additional Factor to Consider for Permanent Records – Intrinsic Value

Are the records of significant monetary value (e.g., bearer bonds or rare manuscripts) or great symbolic value retained more as an artifact than a record (where a reproduction cannot be substituted for the original, such as founding documents or treaties)?

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### Important Records

In many organizations, the loss of certain records may disrupt business but not jeopardize the mission. These records are considered important or useful, but not vital.

Important records support the business operations and help it meet its responsibilities. The loss of such records may cause delays or confusion that impede a business unit’s work, but it will not bring mission-critical operations to a halt. If destroyed, these records are potentially replaceable at a cost. Therefore, these records don’t necessarily require special protection.

For additional information on the identification and protection of records, see the [National Archives and Records Administration Essential Records Guide](#).

## APPENDIX D – RECORD DEFINITIONS

**Record** means all documentary material, regardless of media or characteristics and regardless of when it was created, made, or received or maintained by an agency in accordance with law or rule or in the transaction of its official business. "Record" does not include extra copies of printed or processed material of which official or record copies have been retained, stocks of publications and processed documents intended for distribution or use or records relating to personal matters that may have been kept in an office for convenience.

**Record** includes records of historic and archival value to the State or municipality, regardless of the date of their generation, including all documents determined to have such value to the State by statute and, when appropriate, by the State Archivist.

### SPECIFIC TYPES OF RECORDS

- **Archival/Permanent Records** – Records required to be kept indefinitely because they have a high enduring or archival value. Once business needs of the agency are met, archival records contain a secondary, research value.
- **Closed Records** – Records which no longer have immediate value for the current business of the originating office or official and would either be destroyed, or a retention period would begin.
- **Confidential Records** – Confidential records are those records which are exempt from public inspection according to law.
- **Current (Active) Records** – Records needed and used in the day-to-day conduct of the current business of a local government office or official.
- **Essential (Vital) Records** – Records necessary to re-start an organization's operations in the event of a natural or human-made disaster. They support necessary services and preserve the legal, financial, and/or functional status of the agency.
- **Non-Record** – Non-retention materials may include: additional copies of materials for which official or record copies have been retained; stocks of publications and processed documents intended for distribution; or records relating to personal matters being kept for convenience.
- **Temporary Records** – Records which will be destroyed once they have met their agreed to retention period. These can be either short or long-term retention records.
- **Transitory Records** - Records having short-term value. Usually, we think of correspondence in this category which would typically be less than 30 days.

## APPENDIX E – ELECTRONIC/DIGITAL RECORDKEEPING

Local government agencies are encouraged to review two documents on the State Archives website for further information regarding digital records. Although they are intended for state agencies, much of this information also applies to local government.

- [MSA Requirements for Digital/Electronic Recordkeeping \(pdf\)](#)
- [MSA Social Media Retention Guidance and Best Practices for State Agencies \(pdf\)](#)

### ELECTRONIC RECORDS

Electronic records are records containing machine-readable information which cannot be read without the aid of hardware or software.

Electronic records are public records and subject to the same laws as paper records. Public records include anything created in the transaction of public business *regardless of format*.

The retention and disposition of records is determined by their content, not by their format or storage location. There is no blanket retention period for email messages or other electronic files. Retention is always based on content (value), regardless of format.

**Remember, a record, is a record, is a record.** Electronic records must be managed just as paper records. This means when the record copy is in electronic format, it must follow the retention schedule; be retained and purged appropriately.

### Scanning/Maintaining Electronic Records

Local Government must:

- Identify the appropriate retention schedules for the records involved.
- Consider whether the agency will be able to manage the imaged records for the duration of the retention period.
- Preserve original archival paper documents which are scanned. These records will be scanned for access only (not for “scan and toss”). Any original archival paper records must be preserved by the municipality in their original form.

### Scanning Original Paper Records

Once paper records have been converted to a scanned digital image original paper records can be destroyed only if meeting the following provisions:

1. No other state or federal laws apply requiring the original document.
2. They are not permanent records. (State Archives continues to recommend retaining original paper records which are long-term or permanent.)
3. The agency can ensure any digital records can remain readable and accessible for the entire retention period. If these are records being retained over 10 years, there must be migration plans in place to avoid obsolescence.

Local government does have the option of scanning original paper records that are scheduled to be destroyed at a designated time and storing them, using an electronic version as their “working” copy. If records are fragile, they may use the electronic version for public use to preserve the original documents (see [MRS Title 5, §95-C \(1C\)](#) for additional information.)

### **Electronic Records Systems**

Local Governments must ensure that all records in an electronic system are authentic, retrievable, and usable for as long as needed to conduct agency business and to meet approved retention periods. Procedures must be developed to enable the migration of records and their associated metadata to new storage media or formats to avoid loss due to media decay or technology obsolescence.

More information regarding electronic records can be found in the [Managing Electronic Records](#) training available on our website. (Intended for state agencies but information is applicable for local government.)

When records are kept in more than one format, identify an **official “record copy”** for which the full retention period will be applied. When the record copy is electronic, identify the storage location so all changes are made, and records purged once they have met their retention.

**NOTE:** Local government agencies are also encouraged to review the guidelines and standards in MSA [Chapter 3 Rule: IMAGING STATE RECORDS](#). While this is specific for state agencies, there is information which may aid in the scanning process and electronic recordkeeping.

## APPENDIX F – WORKING DOCUMENTS AND DRAFTS

Working documents and drafts are public records but they might only need to be retained for a brief period if they do not have significant administrative, legal, fiscal or historical value.

Considerations when retaining working documents and drafts:

- Significance of the document being drafted.
- Specific legal requirements relating to the retention of certain preliminary drafts.
- Need for records as evidence that the agency practiced due diligence in the drafting process.
- Unique/substantive information relating to formulation and execution of high-level policies, decisions, actions, or responsibilities.

Other types of working documents and drafts supporting certain financial, legal, and other mission-critical functions, however, may continue to have value even after the final, official copy has been approved. Local government shall have clearly defined policies and/or schedules regarding the retention and disposition of these types of working documents and drafts. Any record management decisions (not clearly defined) should be made on a case-by-case basis in consultation with a records manager or legal counsel.

Examples of drafts that might be immediately discarded following the creation of a new draft are:

- Documents which do not contain unique information documenting significant policy development, action, or decision making.
- Preliminary drafts produced solely for proof reading or internal discussion, reference, or consultation. Materials may include notes, associated transmittals, and reference and background materials.
- Documents containing only minor non-substantive changes such as correction of grammar and/or spelling or minor "word-smithing."

Local government policy should address internal record requirements for staff and target record management procedures for those documents circulated to outside agencies, including but not limited to working documents and drafts.

## APPENDIX G – APPRAISING RECORDS FOR ARCHIVAL VALUE

Once the record fulfills the purpose for which it was created, the administrative, fiscal, or legal requirement of the record (its primary value) will be complete. While local government creates records for these specific reasons, it may also produce records with historical value. Such records are said to have a secondary value; they document things of interest to other people or organizations by providing information about subjects, events, or people in the State of Maine.

Archival/permanent value of records will vary from local government to local government and from region to region. The people, places, or events in each community, and the unique circumstances of each government, determine which records are important to preserve.

Records might contain historical information about the people, places, or events within the municipality or about the decisions made in relation to them. Records might also contain evidential information about the functions, activities, and context of their creation. This information can be very valuable to staff, researchers, and the public, but only if the information itself has enduring significance. Make sure the description of the records contain enough information to adequately document the purpose for which they are being retained.

### Determining archival significance:

- When the records were created – consider records created during a time of significant change, which are scarce or cover a long period of time.
- What kind of information the records contain – how in-depth and complete is the information.
- What other records exist – is this information duplicated in other records or available elsewhere.
- The uniqueness and historical value of the records – do the records document important time periods, events or governmental policy/procedure.

### Questions to Consider

- Do the records document important, or precedent setting, decisions, or transactions?
- Do they shed significant light on how important decisions were reached?
- Do the records contain information on people, places, things, phenomena, or events that will be useful to researchers, historians, scholars, genealogists, etc. for hundreds of years to come?
- Is the information unique, or are there other available sources that contain essentially the same information in a usable form?
- Who else might have long-term interest in the records? (Our individual or societal bias might exclude retention of records important to marginalized groups or cultures.)

**NOTE:** The archival nature of a local government record shall be made in consultation with the Maine State Archivist.

## APPENDIX H – SAMPLE DISPOSITION FORM

Town of \_\_\_\_\_

### RECORDS DISPOSITION FORM

Date:	Department:
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**Media Type:**  Paper  Microfilm/fiche  Digital File  Other \_\_\_\_\_

Destroyed/purged by agency      Method: \_\_\_\_\_

Destroyed by outside vendor (attach certificate of destruction)

Schedule No.	Series No.	Records Title and Description	Retention	Date Span of Records	Volume (Cu. Ft./ MB)	Box # / Folders, Drives

### AUTHORIZATION

**I hereby certify that the records above have** fulfilled their administrative, fiscal, or legal function in accordance with the Local Government Record Retention Schedules; no litigation, claim, negotiation, audit, public information request, administrative review, or other action involving the records above have been initiated or are reasonably anticipated.

\_\_\_\_\_

**Authorizing Signature (Records Officer, Town Manager, Etc.)**

\_\_\_\_\_

**Date**

**Official Date of Destruction:** \_\_\_\_\_