

MAINE COMMUNITY COLLEGE SYSTEM

**GENERAL ADMINISTRATION
Section 200.1**

SUBJECT: DOCUMENT RETENTION

PURPOSE: To provide document retention guidelines

To guide the colleges and System Office in determining which documents should be retained for what periods of time, the MCCS adopts the attached guidelines.

REFERENCES:

DATE ADOPTED: February 23, 2010

DATE(S) AMENDED:

MAINE COMMUNITY COLLEGE SYSTEM RECORD RETENTION GUIDELINES

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RETENTION PERIOD KEY

PERIOD	DEFINITION
Applicable	While active or in effect; during term of contract
Employment	During period of employment
Enrollment	During period of enrollment
Permanent	Permanent record; maintain indefinitely

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<u>CATEGORY</u>	<u>RECORD GROUP</u>	<u>DOCUMENT TYPE</u>	<u>RETENTION PERIOD (IN YEARS)</u>
HUMAN RESOURCES	Job Announcements & Ads	Job Announcements & Ads	3
	Applicants not Hired	Employment Applications	3
		Background Investigation	3
		Resumes	3
		Recommendation Letters	3
	Applicants Hired	Employment Applications (including part-time employees and adjuncts)	Employment + 6
		Background Investigation	Employment + 6
		Resumes	Employment + 6
		Medical Examinations	Employment + 6
		Recommendation Letters	Employment + 6
		Immigration Records (I-9 Forms)	Longer of : (Hire Date + 3) or (Termination Date + 1)
	Faculty Files	Correspondence	Employment + 6
		Student Course Evaluation Forms	Employment + 6
		Peer Review Documents (Evaluations)	Employment + 6
		Faculty Committee Evaluation Reports	Employment + 6
HRS Master Tapes		10	

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HUMAN RESOURCES	Official Personnel Files	Employment History	Employment + 6
		Educational Background	Employment + 6
		Official & current transcripts of pertinent college/university work and licenses/certifications	Employment + 6
		Emergency Contacts	Employment + 6
		Promotions	Employment + 6
		Attendance Records	Employment + 6
		Employee Evaluations	Employment + 6
		Transfers	Employment + 6
		Personnel Actions	Employment + 6
		Grievance Records	6 years from date of settlement/decision
		Equal Opportunity (including Discrimination, Sexual Harassment) Complaints	6 years from date of settlement/decision or accused's separation + 6, whichever is longer.
		Disciplinary Warnings and Actions	Employment + 6 (unless otherwise specified in bargaining agreements or employee handbooks)
		Layoff or Termination	Employment + 6
		Training Records	Employment + 6
		General Files	Superseded Employee Manuals
	Superseded Job Descriptions	10	
	Expired Collective Bargaining Agreements	Permanent	

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HUMAN RESOURCES	Pension & Benefit Records	Individual employee files	Life of Employee + 4
		Education Assistance	Life of Employee
		Vesting	Life of Employee + 4
		Defined Benefits Retirement Benefits	Life of Employee + 4
		Defined Contributions Retirement Benefits	Life of Employee + 4
		Disability Records	Life of Employee + 4
		Actuarial Records	6
		Health, Life and Disability Insurance Plan Designs & Provisions	Permanent
		Retirement Plan Designs & Provisions & Summary Descriptions	Permanent
		Beneficiary Designation	Employment + 6
EMPLOYEE MEDICAL RECORDS	Health & Environmental Safety	Medical Records	Employment + 6
		Hazardous Material Biological Monitoring	Employment + 30
		Accident Reports	Permanent
		Blood-borne Pathogens Vaccination/Declination Form	Employment + 30
		Medical records for Exposed Employees	Employment + 30
		Employee Exposure Records	30 years from date of exposure
		Records of Employees Exposed to Blood Borne Pathogens	Employment + 30
		Analyses using Medical or Exposure records	Employment + 30

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EMPLOYEE MEDICAL RECORDS	Health & Environmental Safety	Employee Safety Training Records	The longer of 30 years or employment
		Respirator Fit Testing Records	3
		Blood Borne Pathogen Training Records	3
		Noise Exposure Records	2
		Occupational injury or illness records	6
		Employee Medical Complaints	6
		Employee Assistance Program Records	7
STUDENT RECORDS	Attending Applicants	Applications	5 years after last attendance
		Transcripts (high school or previous institution)	5 years after last attendance
		Entrance Exams and Placement Scores	5 years after last attendance
		Recommendation Letters	Until Admitted
		Acceptance letters	5 years after last attendance
		Correspondence	5 years after last attendance
	Non-Attending Applicants	Applications	1 year after application term
		Transcripts (high school or previous institution)	1 year after application term
		Acceptance letters	1 year after application term
		Correspondence	1 year after application term

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STUDENT RECORDS	Individual Student Records	Course Add/Drop Slips	1
		Audit Authorizations	1 Year After Date Submitted
		Pass/Fail Requests	1
		Registration Forms	1
		Transcript Requests	1
		Withdrawal Records	5 Years after Graduation or Date last attended.
		Veterans' Certifications	3 Years after Graduation or Date last attended.
		Academic Action Letters	5 Years after Graduation or Date last attended.
		Relevant Correspondence	5 Years after Graduation or Date last attended.
		Curriculum Change Authorizations	5 Years after Graduation or Date last attended. (Must be noted on transcript and be part of permanent record.)
		Graduation Authorizations	5 Years after Graduation or Date last attended.
		Disciplinary Files	Separation + 7
		Student Dismissal Files	Permanent
		Class Schedules	Enrollment + 1
		FERPA Requests	Life of Requested record (no records are required if records requested by the student)
Personal Data Forms	Enrollment + 1		

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STUDENT RECORDS	Individual Student Records	Application for Graduation	Enrollment + 1
		Advanced Placement (Credit by Exam)	5 Years after Graduation or Date last attended. (Should be recorded in permanent records.)
		Degree Audit Records (VA students)	Enrollment + 5
		Transfer Credit Evaluations	Enrollment + 5
		Name Change Authorizations	Enrollment + 5
		Tuition and Fee Charges	Enrollment + 5
		Foreign Student (I-20) forms	Enrollment + 5
		Continuing Ed. Attendance Records	Enrollment + 7
		Medical Records	10 years from date of last campus health center visit
		Date of Graduation and Degree	Permanent
	Academic Records (including transcripts & Continuing Ed Award Certificates)	Permanent	
	General Student Records	Applicant/Admission Statistics	Permanent
		Admission Tapes	5
		Enrollment Tapes	10 years
		Enrollment Statistics	Permanent
		Racial/Ethnic Statistics	10
		Degree Statistics	Permanent

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STUDENT RECORDS	Financial Aid Records	Campus-based and Pell Grant records	3 years from end of award year for which aid was awarded.
		FISAP Reports	3 years from end of the award year in which report submitted.
		Perkins and Nursing Loan repayment records	3 years from date loan assigned to the Department, cancelled or repaid.
		Perkins and Nursing promissory notes	Until loan is satisfied or as needed to enforce the obligation.
		FFEL and Direct Loans eligibility and participation records	3 years from end of award year in which student last attended.
		FFEL and Direct Loans - all other records	3 years from end of award year in which report is submitted.
	Alumni Data	Alumni Publications*	4 years from publication
		Alumni Information**	Until former student's death
		* Alumni publications are one of the document types subject to Internal Revenue Service inspection during an audit.	
		**Information kept on former students typically includes: name, class, year of graduation and degree, home address and phone number, record of college activities, employment, position, address and phone number, and name of spouse and children.	
FINANCE	Accounting Records	Description of application systems (FAST, A/P, A/R, etc.)	Life of system
		Fiscal Year-End FAST Master File Tape	Current Year + 10
		Journal Voucher source documents and backup	5
		Journal Voucher Reports (JVREPT)	5

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FINANCE	Accounting Records	Journal Entry Register	5	
		Transaction Detail (both on magnetic tape and on fiche)	Current Year + 10	
		Grants & Contracts (contract copies, budget backup, misc. correspondence)	3 years after completion of project, unless grant or contract specifies otherwise	
		Work papers	10	
		Auditor's Reports	10	
		A133 Financial Aid Audit Reports	3 years after resolution of open items.	
		Year-End AD043 - G/L Summary	10	
		Year-End AM052 - Revenue/Expense Statement	10	
		Chart of Accounts	Until superseded + 2.	
		Daily Updates to Accounting System (retained by SWS)	1 year.	
		Accounts Payable/Purchasing	Purchase Requisitions	4 + current
			Purchase Orders	4 + current
			Interdepartmental Orders (IDTs/IDOs)	4 + current
	Receiving Records (packing slips, bills of lading, etc.)		4 + current	
	Invoices		4 + current	
	Payment Records (Check Registers, etc.)		4 + current	
	Expense Reports		4 + current	
	Petty Cash Records	4 + current		

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FINANCE	Accounts Payable/Purchasing	Cash Advance Records	4 + current	
		Travel Advances	4 + current	
		Travel Vouchers	4 + current	
		Check Requests and Backup	4 + current	
		Credit card charge slips, statements, and reports	4 + current	
		Royalty Payments	4 + current	
		Unemployment Insurance Payments	4 + current	
		Workers Comp Insurance Payments	4 + current	
		Invoice, Accounts Payable and Purchasing reports	4 + current	
		Cancelled Checks	4 + current	
		1099-MISC Forms	4 + current	
		Accounts Receivable	Invoice Copies	4 years after collection
			Accounts Receivable Ledgers	4 years after collection
	Cash Journals and Receipts		4 years after collection	
	Legal Correspondence		4 years after collection	
	Collection Notices and Records		4 years after collection	
	Cash Management Records	Records of payments receipts	4 years after collection	
		Records of uncollected accounts	4 years after collection	
		Bank Statements and Reconciliations	3	
		Short-term Investments (FNMAs, Freddie Macs, etc).	3	
			Analysis of Bank compensating balances	3

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FINANCE	Cash Management Records	ACH transactions, wires	5
		Transfer Agreements	Life of Agreement
		ACH Transfers & Pre-notification Requests	7
		Cash Receipts, Cash Books, Deposits	3
		Revenue and State Bonds + Backup	Permanent
		Investment Manager Reports	1
		Non-contributory retirement Investment Manager performance reports	10
		Custodian Reports (Year-End)	10
		Endowment Records	Permanent
		Budgeting Records	Annual Financial Reports
	AMO61 - Year-end (Microfiche, paper, or disk)		10
	AMO90, AMO91 (Microfiche or disk)		5
	BUDSUM (Paper)		5
	Status Reports (Paper)		10
	Budget Change Transactions (Paper)		5
	IPEDS Reports		10
	Payroll Records - General		Wage Rate Tables
		Benefits/Deductions Registers	6
		Payroll/Human Resource Master File Updates	6
		Payroll Register & Payroll Register Summary (EBC340)	6

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FINANCE	Payroll Records - General	Gross Calculation Registers (EBC310)	6
		Payroll Calculation Diagnostics & Analysis & Extract Reports	6
		Check Registers	6
		Time Input Reports	6
		Accounting Detail from Payroll System	6
	Payroll - Employee Files	Wage or Salary History	6
		Salary or Current Rate of Pay	6
		Disability & Sick Leave Benefits	Life of Employee
		Payroll Deductions	6
		Time Cards or Sheets	5
		W-2/1042-S Forms	6
		W-4 Forms	6
		Garnishments	Employment
		PHYSICAL FACILITIES	Buildings
Building, and Site Plan Specifications	Life of building + 4 years		
Acquisition date and cost data; mortgages, improvement and repair records; records of sales; depreciation schedules; grant number, if applicable	Life of building + 4 years		
Building, Zoning Permits	1 year after the later of completion of construction or occupancy		

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PHYSICAL FACILITIES	Buildings	Building demolition records/details, e.g., foundations not removed and/or old building(s) buried at the site, including hazardous materials and old foundations underground.	Permanent
	Campus Acreage/Utilities	Locations of historical buildings, streets, renovations, building removals, site improvements, storm water diversion/drainage, utility systems (above and below ground including communications and data)	Permanent (and continuously updated)
	Capitalized Equipment	Acquisition Date and Cost; description, location of the equipment; identification and/or serial numbers; grant number, if applicable; depreciation schedules, and records of disposals or sales.	Life of equipment + 4 years
	Non-Capitalized Equipment	Non-capitalized equipment	The longer of life of equipment or 3 years.
	Health and Safety Environmental Records	Hazardous Material Spill Reports	Permanent
		Accident Reports	Permanent
	Health and Safety Environmental Records	Fire Incident Reports	Permanent
		Hazardous Waste Records, including Manifests or Waste shipment records.	Permanent
		Air monitoring (hazardous gases) or area sampling (asbestos, lead, etc.)	30
		Chemical inventories and lists	30
		Process Safety Incident Investigation Reports	5
		OSHA 200 Injury and Illness logs	5
		Inspection Reports (spill prevention, fire alarms, fire extinguishers, etc)	3
	College Health and Safety Plans, accomplishments, employee training	Permanent (record and archive)	

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PHYSICAL FACILITIES	Other	Operating Permits (eg, elevator, occupancy)	Current year plus 1
		Maintenance Records	Life of equipment or building
		Motor Vehicle Records	Life of vehicle
		Air or Waste Water Emissions	3
INSTITUTIONAL	Institutional Publications*	Bulletins and Course Catalogs	15
		Student Newspapers	4
		Student and Employee Directories	5
		*Institutional publications are also subject to Internal Revenue Service inspection during an audit.	
	Gift Records	Cash Gifts	At least 4, no more than 7 years
		Non-Cash Gifts (stock, mutual fund shares, bonds, real estate, etc.)	Time gift possessed + 4 years
		Gift fund descriptions	Permanent
	Board Minutes, Contracts & Other	Articles of Incorporation	Permanent
		By-Laws	Permanent
		Board of Trustees Minutes	Permanent
		Board of Trustees Committee Meetings Minutes	Permanent
		Licenses	Current + 6
		Deeds and Titles	Permanent

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INSTITUTIONAL	Board Minutes, Contracts & Other	Accreditation standards, policies and procedures reports and actions *	Duration of accreditation based upon documents +10	
		System and college policies/procedures *	Duration of document +10	
		Strategic Plans and accomplishments *	Permanent or until moved to College History	
		Committee reports and notes *	Permanent or until moved to College History	
		College History *	Permanent	
	* These last five and other items may be archived in the college library			
	Litigation Files	Attorney Opinion Letters	Applicable + 8	
		Leases	Applicable + 8	
		Policy Statements	10	
		Campus Crime Reports - Annual (1990 Security Act)	4	
		Campus Crime Reports - Interim (when a major crime occurs)	2	
		Contracts	Applicable + 6	
		Patent Records	Permanent	
		Trademark Records	Permanent	
Claims		Until suit fully resolved + 8		
Court Documents and Records (complaints, answers, motions, pleadings, etc.)	Until suit fully resolved + 8			
Correspondence with Counsel	Until suit fully resolved + 8			
Orders issued by the court	Until suit fully resolved + 8			

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INSTITUTIONAL	Litigation Files	Orders issued by the court	Until suit fully resolved + 8
		Depositions, transcripts, interrogatories, answers to the interrogatories, requests for documents, the requested documents, and other discovery materials.	Until suit fully resolved + 8
	Insurance	Liability and Property Insurance Claims	10 years after settlement.
		Liability and Property Insurance incident reports	7 years unless resulting in a claim.

