

# Massachusetts Statewide Records Retention Schedule

## 02-11

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## Summary of Contents

<b>Introduction</b> .....	<b>35</b>
<b>Revisions to the Current Edition</b> .....	<b>37</b>
<b>Important Points</b> .....	<b>39</b>
<b>Special Notes</b> .....	<b>41</b>
<b>The Records Conservation Board</b> .....	<b>43</b>
<b>Glossary of Special Terms</b> .....	<b>45</b>
<b>Sample File Plan</b> .....	<b>47</b>
<b>Forms</b> .....	<b>49</b>
<b>A Administration and Records in Common</b> .....	<b>65</b>
<b>B Legal and Regulatory</b> .....	<b>77</b>
<b>C Facilities, Transportation, and Construction</b> .....	<b>97</b>
<b>D Fiscal</b> .....	<b>121</b>
<b>E Personnel</b> .....	<b>129</b>
<b>F Information and Records Management</b> .....	<b>135</b>
<b>G Secretary of State</b> .....	<b>145</b>
<b>H Education</b> .....	<b>161</b>
<b>I Environment and Energy</b> .....	<b>169</b>
<b>J Public Safety</b> .....	<b>181</b>
<b>K Health and Human Services</b> .....	<b>199</b>
<b>L Revenue and Taxation</b> .....	<b>217</b>
<b>M Labor and Workforce</b> .....	<b>249</b>
<b>N Massachusetts Port Authority</b> .....	<b>259</b>
<b>O Department of Youth Services</b> .....	<b>275</b>
<b>Appendix: Electronic Records Management Guidelines</b> .....	<b>281</b>



## Table of Contents

<b>Introduction</b> .....	<b>35</b>
<b>Revisions to the Current Edition</b> .....	<b>37</b>
<b>Important Points</b> .....	<b>39</b>
<b>Special Notes</b> .....	<b>41</b>
<b>The Records Conservation Board</b> .....	<b>43</b>
<b>Glossary of Special Terms</b> .....	<b>45</b>
<b>Sample File Plan</b> .....	<b>47</b>
<b>Forms</b> .....	<b>49</b>
RCB-2 – Application for Destruction Permission .....	49
RCB 2-T – Application for Transfer Permission .....	51
RCB-1E – Application for Electronic Systems Information Plan .....	55
RCB-2E – Application for Scanning and Destruction Permission .....	59
RCB-2M – Application for Microfilming and Destruction Permission .....	61
RCB-4 – Records Liaison Officer Designation.....	63
<b>A Administration and Records in Common</b> .....	<b>65</b>
<b>A1 Program Development and Review</b> .....	<b>65</b>
1 Program Establishment, Development Records .....	65
2 Annual and Summary Reports Records .....	65
3 Program Plans and Planning Records .....	65
4 Reorganization, Relocation, and Closing Records.....	65
5 Accreditation Records .....	65
6 Disaster Planning Records.....	66
7 Commemorations and Historical Anniversary Records.....	66
8 Program Historical Articles and Clippings .....	66
9 Artifacts and Memorabilia.....	66
<b>A2 Legislation and Policy</b> .....	<b>66</b>
1 Informational Circulars.....	66
2 Legal Letter Release Records .....	66
3 Policy and Procedures Records .....	67
4 Executive Orders, Directives, and Bulletins Records .....	67
5 Rules and Regulations Records .....	67
6 Legislation Records .....	67
7 Legislative Relations Records .....	67
<b>A3 Executive</b> .....	<b>67</b>
1 Executives’ Correspondence/Subject Files.....	67
2 Executives’ Briefing Files .....	68
3 Elected Office Transition Files .....	68
<b>A4 Committee</b> .....	<b>68</b>
1 Committee Establishment, Charges, and Membership Records .....	68
2 Standing Committees, Councils, Boards, and Commissions Records .....	68

3 Committee Records .....	68
4 Board, Council, Committee Docketed Case Files .....	68
5 Committee Members' Records .....	69
6 Task Force Records .....	69
7 Staff Meeting Records .....	69
<b>A5 Program Administration .....</b>	<b>69</b>
1 Program Subject/Resource Records.....	69
2 Program Issues and Topics Records .....	69
3 Program Outreach and Training Records .....	69
4 Program Administration Records .....	70
5 Program Publication Records .....	70
<b>A6 Office Management .....</b>	<b>70</b>
1 Office Social Activity Records .....	70
2 Schedules and Calendars .....	70
3 General Office Administration Records .....	70
<b>A7 Program Relations .....</b>	<b>71</b>
1 Intra-Agency Relations Records .....	71
2 Intra-Governmental Coordination.....	71
3 Inter-Agency Relations Records .....	71
4 Federal/State Relations Records .....	71
5 Special Relations Records .....	71
6 External Program Relations Records .....	71
7 Professional Organizations and Associations Records .....	72
<b>A8 Public Relations .....</b>	<b>72</b>
1 Public Relations and Communications Records .....	72
2 Media Advisories and Releases Records .....	72
3 Public Appearances, Speeches, and Writings .....	72
4 Ombudsman/Advocate Records .....	72
<b>A9 Special Events.....</b>	<b>72</b>
1 Special Events Records.....	72
2 Conference, Seminar, and Workshop Participant Records .....	73
3 Conference, Seminar, and Workshop Sponsor Records .....	73
<b>A10 Special Projects .....</b>	<b>73</b>
1 Program Research and Survey/Questionnaire Data .....	73
2 Program Special Projects, Studies, and Initiatives Records.....	73
<b>A11 Correspondence .....</b>	<b>73</b>
1 Administrative Convenience Correspondence.....	73
2 General Administrative Correspondence .....	73
3 Policy Development Correspondence.....	74
4 Transitory Messages .....	74
<b>A12 Public Bodies Subject to the Open Meeting Law .....</b>	<b>74</b>
1 Meeting Notices.....	74
2 Meeting Agendas.....	74
3 Meeting Minutes.....	74
4 Recordings of Meetings for Use in Drafting Minutes.....	74
5 Recordings of Meetings for Public Television Access .....	74
6 Documents, Exhibits, or Other Records Used by a Public Body .....	75
7 Notice to Individuals .....	75
8 Open Meeting Law Certifications.....	75
9 Open Meeting Law Complaints .....	75
10 Correspondence .....	75

11 Training Materials .....	75
12 Complaints (Other than Open Meeting Law Complaints) .....	75
<b>B Legal and Regulatory .....</b>	<b>77</b>
<b>B1 Legal Review.....</b>	<b>77</b>
1 Legal Opinion Records .....	77
2 Legal Review Records.....	77
3 Legal Announcements and Advertisements Records.....	77
4 Legal Issues Records .....	77
5 Delegation of Authority Records .....	77
6 Ethics and Conflict of Interest Records .....	78
7 Contract and Agreements Legal Files.....	78
8 Land Management and Acquisition Records .....	78
<b>B2 Public Records.....</b>	<b>78</b>
1 Public Records Request Records .....	78
2 Public Records Appeal Case Files .....	79
3 Massachusetts Environmental Police-Public Records Requests.....	79
4 Fair Information Practices Act (FIPA) Request Records.....	79
5 Non-Party Subpoena Records.....	79
<b>B3 Investigation and Monitoring.....</b>	<b>79</b>
1 Investigation Case Files .....	79
2 Discrimination Investigation Case Files .....	80
3 Civil Investigation Records .....	80
4 Special Investigation Records.....	80
5 Internal Investigation Records.....	80
<b>B4 Regulatory and Compliance.....</b>	<b>80</b>
1 Permits Records .....	80
2 Facilities Inspection, Monitoring, and Control Records .....	81
3 Facilities Licensing and Certification Records .....	81
4 Licensure Complaints, Investigations, and Hearings Records.....	81
5 Professional Licensure and Certification Records .....	81
6 Complaints Against Agency Records .....	82
<b>B5 Litigation.....</b>	<b>82</b>
1 Administrative Law Case Files.....	82
2 Administrative Law Appeals .....	82
3 Litigation Case Files .....	82
4 Litigation/Hearings Case Exhibits .....	83
5 Legal Briefs and Testimony Records.....	83
6 Tort Claim Records .....	83
<b>B6 Attorney General .....</b>	<b>83</b>
1 Attorney General Contract Review Records.....	83
2 Special Assistant Attorney General (SAAG) Records.....	83
3 Attorney General Conflict of Interest Disclosures.....	83
4 Attorney General Opinion Records .....	83
5 Attorney General Initiative Petition Review Records.....	84
6 General Obligation Bond Records.....	84
7 Attorney General Inauguration Records .....	84
8 Open Meeting Law Investigation Records .....	84
9 Public Records Referrals from Supervisor of Public Records.....	84
10 Attorney General Litigation Files .....	84
11 District Attorney Case Files (formerly Schedule No. 45/89).....	85
12 Attorney General Civil and Criminal Investigations Records .....	85
13 Consumer Complaint Investigations Records.....	85

14 Non-Profit Organizations/Public Charities Filings Records .....	85
15 Non-Profit Organizations/Public Charities Investigation and Litigation Records .....	86
16 Insurance Rate Hearings Records .....	86
17 Contract Bid Award Investigation Records .....	86
18 Attorney General Community Services Records .....	86
19 Fugitive Renditions Records.....	86
20 Usury Notices .....	87
21 Notices/Reports Sent to the Attorney General.....	87
22 National Association of Attorneys General (NAAG) Amicus Briefs and Sign-Ons .....	87
23 By-Law and Charter Submissions .....	87
24 City Zoning Ordinances.....	88
25 Records Provided to Attorney General for Review .....	88
26 Data Breach Records .....	88
<b>B7 Cable Television Division .....</b>	<b>88</b>
1 Division Appellate Decisions .....	88
2 Appellate Dockets-Support Material .....	88
3 Rate Decisions .....	89
4 Rate Regulation Proceedings-Support Material.....	89
5 Rulemaking Proceedings-Support Materials .....	89
6 Rulemaking Decisions.....	89
7 Form 500 Annual.....	89
8 Form 500 Complaint Forms.....	90
9 Forms 200,300,400.....	90
10 Initial Franchise Agreements.....	90
11 Renewal Franchise Agreements.....	90
12 Form 100 .....	90
13 Form 394 .....	90
14 Filing & Termination of Service Filing .....	91
15 Rate Cards and Channel Line-ups .....	91
<b>B8 Agricultural Resources.....</b>	<b>91</b>
1 Division of Animal Health Records.....	91
<b>B9 Weights and Measures.....</b>	<b>91</b>
1 Division of Standards (Office of Consumer Affairs).....	91
<b>B10 Governor’s Council/Executive Council (formerly Schedule No. 23/88, 32/89, 72/88, 19/68) .....</b>	<b>92</b>
1 Commutation Files, Granted.....	92
2 Commutation Files, Denied .....	92
3 Commutation File Index .....	92
4 Pardon.....	92
5 Veterans’ Appeal Case Files.....	92
6 Rendition Files.....	92
7 Rendition Index .....	92
8 Judge and Clerk Files .....	93
9 Notary Public and Justice of the Peace Applications.....	93
<b>B11 Office of Campaign and Political Finance .....</b>	<b>93</b>
1 Candidate Public Financing Request Records .....	93
2 Non-Statewide Office Candidate Finance Disclosure Records .....	93
3 Statewide Office Candidate Financial Filings .....	93
4 Referendum Committee Financial Filings.....	93
5 Political Committee Statements of Organization Filings.....	94
6 Contributor Ballot Question Expenditure Filings .....	94
7 Ward and Town Political Party Committee Financial Filings .....	94
8 Political Action Committee (PAC) Financial Filings .....	94
9 PAC Cross Check .....	94
10 Inspection Requests .....	94

11 Audit Work Papers/Correspondence .....	94
12 Campaign Finance Monitoring and Investigation Records.....	95
13 Non-Filer Referrals to Attorney General .....	95
14 Late Fines/Collections .....	95
15 Landmark/Policy Setting Investigation Case Files .....	95
16 Rules and Regulations Records .....	95
17 Legislation Records .....	95
18 Legal Opinion Records .....	96
19 Legal Issues Records .....	96
20 Correspondence of the Director .....	96
21 Public Records and Fair Information Practices Act (FIPA) Requests .....	96

**C Facilities, Transportation, and Construction .....97**

**C1 Facilities Management.....97**

1 Facilities Management Records.....	97
2 State Office Space Planning Records .....	97
3 Facilities Disability Access Records.....	97
4 Equipment Case Files .....	97
5 Property, Vehicles, and Equipment Management Records.....	97
6 Buildings and Facilities Informational Data .....	97
7 Inventory Records.....	98
8 Facilities Hazardous Materials Monitoring Records .....	98
9 Facility Safety Records .....	98
10 Facilities Fire, Safety, and Environmental Monitoring Records.....	98
11 Lease and Rental Administration Records.....	98

**C2 Construction Legal .....98**

1 Contractor State Qualification Certification Records .....	98
2 Contractor Debarment Actions Records .....	99
3 Construction Project Designer Contract Records .....	99
4 Construction Project Contract Legal Records.....	99
5 Construction Project Professional Services Contract Records.....	99
6 Construction Claims and Disputes Records.....	99
7 Construction Regulations Compliance Records .....	99
8 Construction Project Litigation Case Files .....	100
9 Property Settlements and Judgments Payment Records .....	100
10 Minority/Women/Disadvantaged Business Certification Records .....	100

**C3 Construction Planning.....100**

1 Master Plan for Development Records .....	100
2 Capital Projects Planning Records.....	100
3 Construction Study Library Files.....	101
4 Capital Budget Request Records .....	101

**C4 Pre-Construction.....101**

1 Construction Project Designer Selection Records .....	101
2 Construction Project Bid Records .....	101
3 Construction Emergency Bid Waiver Records.....	101

**C5 Construction Management.....102**

1 Construction Project Management Records.....	102
2 Construction Project Planning and Engineering Records .....	102
3 Construction Project Cost Oversight Records .....	102
4 Construction Project Cost Accounting Records .....	103
5 Facility Memorials and Dedications Records .....	103
6 Building Plans and Specifications Records .....	103
7 Geologic Samples and Records .....	103

<b>C6 Property Management.....</b>	<b>103</b>
1 Highway and Bridge Maintenance Records .....	103
<b>C7 Real Estate and Land Use .....</b>	<b>104</b>
1 State Property Management Monitoring Records.....	104
2 Housing Tenants Records .....	104
3 State Leasing Reports .....	104
4 State Property Inventory Reports.....	104
5 Authorities Real Estate Planning and Development Records .....	104
6 Real Estate Disposition Proposal Records.....	104
7 Real Estate Disposition Disclosure Records.....	105
8 Fixed Asset Recording Records.....	105
9 Real Estate Disposition Records.....	105
10 Real Property Vital Records .....	105
11 State Property for Sale Inquiries Records.....	105
12 State Agency Lease Proposal Records.....	105
13 State Agency Lease Procurement Records .....	105
14 State Property Access License Records .....	106
15 Land Title Examiner Reference Records.....	106
16 Land Registration Records .....	106
17 Land Survey Records.....	106
<b>C8 Transportation Management.....</b>	<b>106</b>
1 Certificate Files (A&B) Truck or Bus .....	106
2 Interstate License Certification Files .....	106
3 Vehicle Identification Devices and Applications for Drivers .....	106
4 Complaint/Investigation/Hearing Records (A).....	107
<b>C9 Department of Housing Community Development.....</b>	<b>107</b>
1 Local Housing Authorities.....	107
2 Local Housing Authorities.....	107
3 Local Housing Authorities.....	108
4 Local Housing Authorities.....	108
5 Local Housing Authorities (Miscellaneous) .....	108
<b>C10 MassHighway Department.....</b>	<b>109</b>
1 Consultant Selection Documents .....	109
2 Consultant Contract Book.....	109
3 Consultant Contract Amendments.....	109
4 Consultant Invoices .....	110
5 Consultant Correspondence .....	110
6 Project Correspondence (External).....	110
7 Project Correspondence (Internal).....	110
8 Project Documentation and Reports .....	110
9 Environmental Permits .....	110
10 Public Hearing Transcript.....	111
11 Meeting Minutes.....	111
12 Construction Contract Awards .....	111
13 Construction Proposal Book .....	111
14 Surveying Services Contract Book .....	111
15 Payment Commodity Forms (PRC).....	111
16 Daily Report of Contract Survey Party HED-121 .....	112
17 Weekly Progress and Time Report HED-880.....	112
18 Application for Employment Surveyors Field Personnel form HED-007 .....	112
19 Maintenance Fuel Receipts.....	112
20 Radio Logs.....	112
21 Roadside Maintenance Contracts.....	112
22 Equipment-Heavy & Light Repair Orders.....	113

23 Snow & Ice PV's .....	113
24 Inmate Litter Assistance Information .....	113
<b>C11 Motor Vehicles (formerly Series J5).....</b>	<b>113</b>
1 Motor Vehicle Operators Merit Rating Records.....	113
2 Motor Vehicle Driver License Exams .....	113
3 Motor Vehicle Accident Investigation Records.....	113
4 Motor Vehicle Title Registration and Renewal Records .....	114
5 Uniform Traffic Citations Records.....	114
6 Motor Vehicle Accident Reports .....	114
7 Motor Vehicle Operators Licensing and ID Card Records.....	114
8 Motor Vehicle Inspection Stations Records .....	114
9 Motor Vehicle License Plate Applications Records .....	114
10 Motor Vehicle Reports .....	114
11 Motor Vehicle Towing Reports .....	114
12 Motor Vehicle Citations, Parking Records .....	115
13 Motor Vehicle Citations, Moving Violations Records .....	115
14 Boat; Recreation Vehicle; Snow Vehicle Operator; Accident Reports.....	115
15 Boat; Recreation Vehicle; Snow Vehicle; Accident Investigation Records .....	115
16 Registry of Motor Vehicles (Revenue Operations) Revenue Reports .....	115
17 Registry of Motor Vehicles (Revenue Operations) Bad Check Information .....	115
18 Registry of Motor Vehicles (Revenue Operations) Deposit Information .....	115
19 Registry of Motor Vehicles (Revenue Operations) Rebate Documentation .....	115
<b>C12 Registry of Motor Vehicles Revenue Operations (formerly Schedule No. 35/91) .....</b>	<b>116</b>
1 Revenue Reports – Drawer Date Activity Report.....	116
2 Revenue Reports – Drawer Date Activity Report on Microfiche .....	116
3 Revenue Reports – Sales tax Report.....	116
4 Revenue Reports – Daily Over/Short Report.....	116
5 Revenue Reports – Failed Cash Report .....	116
6 Revenue Reports – Interims Purged Report.....	116
7 Revenue Reports – Daily Deposit Listing .....	116
8 Revenue Reports – Override Reports .....	117
9 Revenue Reports – CPR Report.....	117
10 Revenue Reports – Drawer Delete Report.....	117
11 Bad Check Information – Outstanding Bad Checks .....	117
12 Bad Check Information – RMV System Printouts of Bad Checks .....	117
13 Bad Check Information – RMV System Printouts of Bad Check Payments and Supporting Documents .....	117
14 Bad Check Information – Correspondence with Customers.....	117
15 Bad Check Information – Correspondence Between RMV Offices Relating to Bad Checks.....	117
16 Deposit Related Documents – RMV Computer System (ALARS) Documents .....	118
17 Deposit Related Documents – Deposit Slips and MPCA10 Attachment.....	118
18 Deposit Related Documents – Cash Transfer Log.....	118
19 Deposit Related Documents – Monthly Bank Deposit Log.....	118
20 Deposit Related Documents – Locking Cash Bag Logs .....	118
21 Deposit Related Documents – Override Log .....	118
22 Deposit Related Documents – Back-up Activity Sheets.....	118
23 Deposit Related Documents – Letters of Notification .....	118
24 Deposit Related Documents – Monthly Over/Short Report Used by Managers.....	118
25 Deposit Related Documents – Clerical Over/Short Acknowledgment .....	118
26 Deposit Related Documents – Clerk Over/Short Justification Form .....	119
27 Deposit Related Documents – Sweda Register Taps for Years 1985-86.....	119
28 Deposit Related Documents – Daily Revenue Sheets .....	119
29 Deposit Related Documents – Revenue Account Bank Statements (approximately 80 accounts).....	119
30 Rebate/Refund Documents – Customer Refund Requests for Duplicate Payments 1986 .....	119
31 Rebate/Refund Documents – Customer Correspondence.....	119
32 Rebate/Refund Documents – Customer Rebate/Refund Requests Denied .....	119
33 Rebate/Refund Documents – Rebates or Refunds Processed .....	119
34 Rebate/Refund Documents – Funding Request Books for 1985-86 .....	119

35 Rebate/Refund Documents – Cashed Rebate/Refund Checks .....	120
36 Rebate/Refund Documents – Bank Statements .....	120
37 Rebate/Refund Documents – Reports of Transactions Processed Through RMV Optical Scanning .....	120
38 Rebate/Refund Documents – Unused Checks of Obsolete Rebate/Refund Bank Account .....	120
39 Rebate/Refund Documents – Funding Reports for Automatic Rebates.....	120
40 Rebate/Refund Documents – Cross Reference Check Register.....	120
41 Rebate/Refund Documents – Funding Request Reports.....	120
<b>D Fiscal.....</b>	<b>121</b>
<b>D1 Accounting.....</b>	<b>121</b>
1 Independent Accounting/Payroll System Records.....	121
2 Grant and Contract Cost Accounting Records.....	121
3 Contract and Agreement Negotiation Records .....	121
4 Grant and Contract Administration Records.....	121
5 Grant Development and Proposal Records .....	122
6 Grant Program Records .....	122
7 Routine Accounting Records.....	122
8 Bank and Cash Records .....	122
9 Revenues and Sales Records .....	122
10 Billing and Collections Records .....	123
11 Claims and Disbursements Records .....	123
12 Trust and Loan Disbursement Records.....	123
13 Signature Authorization Records.....	123
14 Bid and Procurement Records .....	123
15 Vendor Resource Materials .....	123
16 Vendor Relations Records .....	124
17 Fixed Asset Records .....	124
<b>D2 Development and Review .....</b>	<b>124</b>
1 Fiscal Planning, Reports, and Surveys Records.....	124
2 Capital Improvement Plan Records .....	124
3 Budget Preparation and Monitoring Records .....	124
4 Fiscal Audit Records .....	125
5 Fiscal Monitoring Records .....	125
6 Fund Development Records .....	125
7 Fiscal Systems Internal Control Records.....	125
<b>D3 Grants and Aid.....</b>	<b>125</b>
1 State Municipal Funding Records .....	125
2 State Economic or Development Grants Records.....	125
<b>D4 Payroll.....</b>	<b>126</b>
1 Travel Expense Records .....	126
2 Payroll and Benefits Case Files .....	126
3 Time and Attendance Records.....	126
4 W-2s .....	126
5 Payroll Administration Records .....	126
<b>D5 Public Employee Retirement Administration Commission .....</b>	<b>126</b>
1 Financial Statements.....	126
2 Data Questionnaires.....	127
3 Valuation Workpapers.....	127
4 Valuation Data Workpapers .....	127
5 Non-Valuated Data Workpapers.....	127
<b>D6 Office of the State Auditor (OSA) .....</b>	<b>127</b>
1 Audit Work Papers .....	127
2 Final Audit Reports .....	127

3 Audits Detecting Fraud and Illegality.....	127
4 Certifications, Training and Continuing Education Records .....	128
5 Records of Non-Audit Services Performed by Audit Operations .....	128
6 External Peer Review Records .....	128
7 Bureau of Special Investigations Records (BSI) .....	128
8 Division of Local Mandate Records (DLM).....	128

**E Personnel .....129**

**E1 Program Administration .....129**

1 Human Resources Programs Records.....	129
2 Employee Awards and Recognition Records .....	129
3 Agency Telephone Directories and Staff Listings .....	129

**E2 Recruitment and Hiring .....129**

1 Recommendation Letters .....	129
2 Unsolicited Job Applications.....	129
3 Recruitment and Hiring Records .....	129
4 Job Position Administration Records .....	130
5 Employment Eligibility Verification (I-9s) Records .....	130

**E3 Affirmative Action/EEO.....130**

1 Protected Employee Records.....	130
2 Employee ADA Accommodation Records.....	130
3 Affirmative Action/EEO Administration Records.....	130
4 Affirmative Action Plans and Reports Records.....	131
5 Affirmative Action Monitoring/Compliance Records .....	131

**E4 Employee.....131**

1 Employee Confidentiality Statements .....	131
2 Employee Web Browsing Authorizations .....	131
3 Employee ID Card Records .....	131
4 Employee Contact Information Records.....	131
5 Employee Personnel Case Files.....	132
6 Employee Medical and Personal Records.....	132
7 Employee History Cards.....	132
8 Employee Training and Certification Records .....	132
9 Intern and Volunteer Records .....	133

**E5 Personnel Actions.....133**

1 Employee Complaint/Investigation/Disciplinary Records.....	133
2 Employee Grievance/Complaint Records.....	133
3 Personnel Action Records.....	133

**E6 Accident and Injury .....133**

1 Employee Illness and Injury Records .....	133
---	-----

**F Information and Records Management .....135**

**F1 Unclassified .....135**

1 Blank Forms Stock .....	135
2 Publication Stock.....	135
3 Returned Mail.....	135
4 Dead Letter File .....	135
5 Unused Permits, Certificates, Decals, and Stickers .....	135
6 Damaged/Contaminated Files.....	135
7 Old Records .....	136

<b>F2 Reference.....</b>	<b>136</b>
1 Reference/Resource Material.....	136
2 Systems Manuals and Technical Reference Materials.....	136
3 Referral Resource Files.....	136
<b>F3 Facilitative.....</b>	<b>136</b>
1 Information Routing and Tracking Records .....	136
2 Transaction Transmission Receipts .....	136
3 Drafts and Notes .....	137
4 Document Composition Materials .....	137
5 Stenographers Notes .....	137
<b>F4 Media/Format .....</b>	<b>137</b>
1 Electronic Records.....	137
2 Micrographic Records .....	138
3 Audio/Visual Tape or Digital Recordings .....	138
4 Photographs, Slides, and Illustrations.....	138
5 Maps, Drawings, and Plans .....	139
<b>F5 System Infrastructure .....</b>	<b>139</b>
1 System Programs, Applications, and Code Records.....	139
2 Systems Maintenance, Monitoring, and Testing Records.....	139
3 Website Documentation Records .....	139
4 Systems Documentation Records .....	139
5 Systems Contingency Records .....	139
6 Systems Technical Support and Assistance Records.....	140
7 Systems and Applications Development Records .....	140
8 Systems Conversion, Enhancement, and Upgrade Records.....	140
<b>F6 System Operations .....</b>	<b>140</b>
1 Records Management Records .....	140
2 Systems Data Deletion Records.....	141
3 System Job Order (Run) Records .....	141
4 Systems Intermediate Work Files Records .....	141
5 Systems Use Reports .....	141
6 System Audit Trail Records.....	141
7 Systems Security Records.....	141
8 Data Processing, Verification, and Monitoring Records .....	142
9 Systems Training Records .....	142
<b>F7 System Data .....</b>	<b>142</b>
1 Data Source Records .....	142
3 Voice Mail Correspondence Files.....	142
4 Information Finding Aids, Indexes, and Lists .....	142
5 Database Content Records.....	143
6 Website Content Records .....	143
7 Legacy Data Records.....	143
8 Retrospective Data Conversion Source Records .....	143
9 Data “Archival” Storage Records.....	144
10 Data Backup Records .....	144
<b>G Secretary of State .....</b>	<b>145</b>
<b>G1 Election Candidates.....</b>	<b>145</b>
1 Candidate Qualifying Records.....	145
2 Candidate Public Financing Request Records .....	145
3 State Primary and Election Nominations .....	145
4 Federal Candidate Financial Reports.....	145

5 Campaign Finance Disclosure Records .....	145
6 Campaign Finance Monitoring and Investigation Records.....	145
7 General Court Candidate Financial Filings.....	146
8 Statewide Office Candidate Financial Filings .....	146
9 Referendum Committee Financial Filings .....	146
10 Corporation Campaign Contributor Financial Filings .....	146
<b>G2 Lobbyists .....</b>	<b>146</b>
1 Lobbyists' Employers Financial Disclosure Filings .....	146
2 Political Committee Statements of Organization Filings.....	146
3 Ward and Town Political Party Committee Financial Filings .....	147
4 Lobbyist/Organization Registration and Financial Disclosure Filings .....	147
5 Lobbyist/Organization Filings Monitoring Records .....	147
6 Lobbyists and Employers Reports .....	147
7 Political Action Committee Financial Filings.....	147
<b>G3 Election Voting.....</b>	<b>148</b>
1 Electoral College Records .....	148
2 Election Districts Records .....	148
3 Voting Machine Certification Records .....	148
4 Voter Registration Records.....	148
5 Polling Place Registrations .....	148
6 Election Returns of Town Officers.....	148
7 Election Ballots and Instructions Records .....	148
8 Election Initiative, Petitions, and Referendums Records.....	149
9 Vote Returns Certification Records .....	149
10 Election Reviews and Challenges Records .....	149
11 Access to the Ballot Case Files.....	149
<b>G4 Commissions and Appointments .....</b>	<b>149</b>
1 Commissions and Boards Appointment Log Books Records .....	149
2 Boards, Authorities, Councils, Commission Appointment Records.....	149
3 Appointment Qualification Signature Books.....	150
4 Appointment Performance Bond Filings .....	150
5 Appointment Qualification Certification Records .....	150
6 Non-Residents and Resident Clergyman and Solemnization of Marriage Records.....	150
7 City and Town Acceptance of General Laws Records .....	150
8 City and Town Appointment Notifications.....	150
9 Notary Public Apostille Verification Records .....	150
10 Notary Public Validation of Acts Certification Records .....	151
11 Form O Notary Public Filing.....	151
12 Notary Public Re-Registration (name Change) .....	151
<b>G5 Legislation and Policy .....</b>	<b>151</b>
1 Rules and Regulations Filings .....	151
2 Acts and Resolves Filings.....	151
3 Request for Opinions .....	151
4 Secretary of State's Responses .....	151
5 Legislation Files-Passed Legislation (Record Copy).....	152
6 Legislation Files-Unpassed.....	152
7 Legislative Liaison Correspondence.....	152
8 Reference Subject Files .....	152
9 Legislation Status Report.....	152
<b>G6 Corporations and Business .....</b>	<b>152</b>
1 Corporations Service of Process Records .....	152
2 Corporations and Businesses Regulation Records.....	152
3 Universal Commercial Code Filings.....	153
4 Trademark Registration Filings .....	153

<b>G7 Securities .....</b>	<b>153</b>
1 Registration, Exemption, and Notice Filing Register .....	153
2 Broker-Dealer Registration and Exclusion Notice Filings .....	153
3 Investment Adviser Registration and Federal Covered Advisor Notice Filings .....	154
4 Broker-Dealer Agent and Investment Adviser Representative Registration .....	154
5 Securities Registration and Exemption Filings .....	154
6 Investment Company Notice Filings .....	154
7 Issuers Consent to Service of Process Filings.....	154
8 Sales and Advertising Literature Filings .....	155
9 Interpretative Opinion Records.....	155
10 Inquiries and Complaints Records.....	155
11 Investigation and Enforcement Records.....	155
12 Administrative Hearing Enforcement Action Case Files.....	155
13 Investor Education Program Records .....	156
<b>G8 Deeds.....</b>	<b>156</b>
1 Deed Registration Records .....	156
<b>G9 State Matters .....</b>	<b>156</b>
1 State Seal and Other Records .....	156
2 Abolished County Records.....	156
3 State Citations and Awards Records.....	156
<b>G10 Historic Property .....</b>	<b>156</b>
1 Property Appraisers Certification Records .....	156
2 Historic Preservation Information Source Files.....	156
3 Historic Preservation Restrictions Agreement Records.....	157
4 National Historic Preservation Act Compliance Records.....	157
5 National Register of Historic Places Compliance Records.....	157
6 Historic Preservation Certification Records .....	157
7 Archeology Records .....	157
<b>G11 Library/Archives .....</b>	<b>157</b>
1 Library/Archives Accession Log .....	157
2 Archives and Records Center Vault Records.....	157
3 Library/Archives Reference Requests .....	158
4 Library/Archives Call Slips .....	158
5 Archives Researcher Registers .....	158
6 State Publications Listing .....	158
7 Librarian Certification Records .....	158
8 Reference Activity Reports/Statistics .....	158
9 LSTA (Library Services and Technology Act).....	158
10 LSCA (Library Services and Construction Act) Title II-Public Library Construction.....	159
11 State Records Center: Records Request Sheet.....	159
12 State Records Center: Assessment.....	159
<b>G12 Corporations (formerly Schedule No. 39/87, 48/87) .....</b>	<b>159</b>
1 Annual Reports of Corporations AKA Mass Conditions (Filed Pursuant to MGL c. 156A, 156B, and 181) .....	159
2 Annual Reports of Non-Profit Corporations (Filed Pursuant to MGL c. 180) .....	159
3 Uniform Commercial Code (UCC) Financing Statements (including amendments and continuations) filed pursuant to MGL c. 106 .....	160
4 Termination Statements Filed Pursuant to MGL c. 106 .....	160
5 Certificates of Organization for Limited Liability Companies Filed Pursuant to MGL c. 156C.....	160
6 Certificates of Organization for Limited Liability Partnerships Filed Pursuant to MGL c. 108A.....	160
7 Annual Reports for Limited Liability Companies and Limited Liability Partnerships Filed Pursuant to MGL c. 156C and 108A.....	160

<b>H Education</b> .....	<b>161</b>
<b>H1 Administration</b> .....	<b>161</b>
1 HEGIS Report Records.....	161
2 Dean’s Records.....	161
3 Satellite Campus Oversight Records .....	161
<b>H2 Admissions</b> .....	<b>161</b>
1 Student Admissions/Registration Records.....	161
2 Student Immunization Records.....	161
3 Tuition and Fees Records .....	161
4 Student Financial Aid Records .....	161
5 Student Scholarships, Fellowships, and Awards Records .....	162
6 Student Record Transcript Requests Records.....	162
<b>H3 Academic Program</b> .....	<b>162</b>
1 Academic Program Administration Records .....	162
2 Academic Advisement Records.....	162
3 Student Internships and Practicums Records.....	162
4 Independent/Cooperative or Alternate Study Records.....	162
5 International Studies Program Records .....	162
6 Award Establishment Records.....	162
7 Commencement and Awards Records.....	163
<b>H4 Course and Curriculum</b> .....	<b>163</b>
1 Curriculum Development Records .....	163
2 Class Schedule Records.....	163
3 Course Outlines and Descriptions Records.....	163
<b>H5 Testing and Grades</b> .....	<b>163</b>
1 Student Tests and Examinations .....	163
2 Student Evaluations of Teachers.....	163
3 Masters Theses .....	163
4 Academic Degree Audit Records .....	163
5 General Educational Development (GED) Certification Records .....	164
6 Academic Degree Audit Records .....	164
7 General Educational Development (GED) Certification Records .....	164
8 Official Course and Grade Records.....	164
<b>H6 Faculty</b> .....	<b>164</b>
1 Faculty Personal and Professional Papers.....	164
2 Tenure and Promotion Records .....	164
3 Teacher Certification Records .....	164
4 Faculty Appointment Records .....	165
5 Faculty Workload Records .....	165
6 Sponsored Research Records.....	165
<b>H7 Student Activities</b> .....	<b>165</b>
1 Student Event/Activities Applications Records.....	165
2 Student Clubs and Associations Records.....	165
3 Student Government Records .....	165
4 Student Newspaper .....	165
5 Student Athletic Participation Records.....	165
<b>H8 Student Affairs</b> .....	<b>166</b>
1 Student Grievance/Complaint Records.....	166
2 Student Discipline Records.....	166
3 Student Disability Records .....	166

4 International Students Case Files.....	166
<b>H9 Student Services.....</b>	<b>166</b>
1 Student Support Services Records.....	166
2 Special Services Program Records.....	166
3 Student Counseling Records.....	166
4 Student Career/Placement Records.....	166
5 Student Health Clinic Records.....	166
<b>H10 Library and Learning Center.....</b>	<b>167</b>
1 Borrowers Records.....	167
<b>H11 Department of Early Education &amp; Care: Licensing (formerly Schedule No. 16/88).....</b>	<b>167</b>
1 Substitute Care Program Files (A).....	167
2 Substitute Care Program Files (B).....	167
3 Group Day Care/SACC Program Files (A).....	167
4 Group Day Care/SACC Program Files (B).....	167
5 Family Day Care Program Files (A).....	167
6 Family Day Care Program Files (B).....	167
7 Investigation Files (A).....	167
8 Investigation Files (B).....	168
<b>H12 Charter School Application Records.....</b>	<b>168</b>
<b>I Environment and Energy.....</b>	<b>169</b>
<b>I1 Environmental Conservation and Protection.....</b>	<b>169</b>
1 Environmental Natural Resources Management Records.....	169
2 Environmental Historic Preservation Program Records.....	169
3 DEP and Brownfields Grant Program Records.....	169
4 Environmental Disaster Planning and Relief Records.....	169
5 Conservation District Election Certificates Records.....	169
6 Coastal Community Relations Records.....	169
7 Coastal Resources and Wetlands Deed Restriction Case Files.....	169
8 Wetlands Project Approval Records.....	170
<b>I2 Construction and Engineering.....</b>	<b>170</b>
1 Environmental Maps, Plans, and Photos.....	170
2 Environmental Impact Studies, Site Analyses, and Reports.....	170
3 Environmental Systems Records.....	170
4 Environmental Engineering Reports and Plans.....	170
<b>I3 Laboratory.....</b>	<b>170</b>
1 Environmental Lab Certification Records.....	170
2 Environmental Laboratory Records.....	171
<b>I4 Regulation and Compliance.....</b>	<b>171</b>
1 Environmental Administrative Law Appeal Case Files.....	171
2 Environmental Licensing Course Approval Records.....	171
3 Mass Environmental Protection Act (MEPA) Review Records.....	171
4 Environmental Strike Force Case Files.....	171
5 Environmental Licensed Site Professional (LSP) Licensing and Disciplinary Records.....	171
6 Environmental Facilities Licensing, Permits, and Certification Records.....	172
7 Environmental Regulation and Licensing Records.....	172
8 Environmental Monitoring and Inspection Records.....	172
9 Environmental Investigation and Enforcement Records.....	172
<b>I5 Hazardous Waste Management.....</b>	<b>172</b>
1 Hazardous Waste Cleanup Cost Recovery Records.....	172

2 Federal Superfund Sites Records .....	173
3 Hazardous Materials Right-To-Know Records .....	173
4 Hazardous Materials Contingency Plan Records .....	173
5 Hazardous Waste Sites and Spills Records.....	173
6 Contaminated Site Cleanup Records .....	173
7 Hazardous Materials Regulation Records.....	173
8 Facilities Hazardous Substances Records.....	174
9 Toxics Use Reduction Records.....	174
10 Asbestos Regulation Records .....	174
11 Hazardous Waste Transport and Disposal Records .....	174
12 Radioactive Waste Disposal Records .....	174
<b>I6 Waste and Emissions .....</b>	<b>174</b>
1 Air Quality Testing and Monitoring Records .....	174
2 Environmental Equipment Quality Assurance Records.....	175
3 Air Quality Public Health Studies Records .....	175
4 Clean Air and Water Records .....	175
5 Medical, Biological, and other Waste Disposal Records.....	175
<b>I7 Water Resources .....</b>	<b>175</b>
1 Drinking Water Certification, Permits, and Approval Records .....	175
2 Safe Water Act Monitoring and Compliance Records.....	175
3 Safe Water Act Investigation and Enforcement Case Files .....	176
4 PWS History Records .....	176
5 PWS Construction Plan Review Records .....	176
6 PWS/Cross Connection Records .....	176
7 Water Management Annual Reports, Surveys, and Statistics Records.....	176
8 Water Supply Protection Program Records .....	176
9 Water Supply Contamination Records .....	177
10 Water Emergency Program Records.....	177
<b>I8 Public Utilities and Energy.....</b>	<b>177</b>
1 Energy Conservation Services and Assistance Records .....	177
2 Public Utilities Case Files.....	177
3 Utility Company Annual Returns Reports.....	177
<b>I9 Forestry, Parks, and Recreation .....</b>	<b>177</b>
1 Parks Shift Records .....	177
2 Timber Harvesting Licensing Records .....	178
3 Fishing and Hunting Licensing Records.....	178
4 Forester Licensing Records .....	178
<b>I10 Well Driller Program.....</b>	<b>178</b>
1 Completion Reports .....	178
2 Initial Registration Well Driller Application .....	178
3 Renewal Applications.....	178
<b>I11 Energy Facilities Siting Board (formerly Schedule No. 47/89).....</b>	<b>179</b>
1 Regulatory Case Files.....	179
2 Adjudicatory Case Files.....	179
3 Hydroelectric Generating Facilities Licensing Case Files .....	179
4 Federal Energy Regulatory Commission (FERC) Filing Files .....	179
5 Regulation Review Files.....	179
<b>J Public Safety .....</b>	<b>181</b>
<b>J1 Administration.....</b>	<b>181</b>
1 Uniform National Crime Reports .....	181
2 Crime Reports.....	181

3 Special Events and Activities Records .....	181
4 Emergency Planning and Response Records .....	181
5 Criminal History Files .....	181
6 Sexually Dangerous Person Case Files .....	181
<b>J2 Licensing and Regulation.....</b>	<b>181</b>
1 Special Licenses and Permits Records.....	181
<b>J3 State Police .....</b>	<b>182</b>
1 Death Investigations and Reports Records .....	182
2 Criminal Investigation Case Files.....	182
3 Special Investigation Records.....	182
4 Criminal Activity Surveillance Records .....	182
5 Incident/Complaint Investigation Records .....	182
<b>J4 State Police Shift .....</b>	<b>183</b>
1 Missing Persons Reports Records .....	183
2 Evidence/Property Control Records .....	183
3 Crime Scene Documentation Records .....	183
4 Dispatch and Communications Recordings .....	183
5 Shift Logs .....	183
6 Shift Administration Records .....	183
7 Lost and Recovered Property Records.....	183
8 Firearm/Gunshot Wound Reports.....	184
9 Arrest Records .....	184
10 Cell Monitoring Records .....	184
11 Central Activity Log/Blotter Records.....	184
12 Officers Daily Journal.....	184
13 Protective Custody Records.....	184
14 Detainee Property Records .....	184
15 Use of Force Reports .....	184
16 Ramp Permits .....	185
<b>J5 State Laboratory.....</b>	<b>185</b>
1 Laboratory Quality Assurance Records .....	185
2 Crime Lab Case Records .....	185
3 Forensic Lab Reports.....	185
4 Medical Examiners Autopsy Case Files .....	185
<b>J6 Fire Marshal.....</b>	<b>185</b>
1 Massachusetts Fire Incident Reports .....	185
2 Massachusetts Burn Injury Reports .....	186
3 Massachusetts Property Insurance Loss Reports .....	186
4 Massachusetts Burned/Recovered Motor Vehicle Reports.....	186
5 Fire Services Statistical Reports .....	186
6 Fuel Tank Facility Permit Records .....	186
7 Fire Professional Certificates/Licensing Records .....	186
8 Fire Marshal Inspection Records .....	186
9 Fire Code Investigation Records .....	186
10 Firefighting Academy Course and Curriculum Records.....	187
11 Firefighting Academy Admissions/Registration Records.....	187
12 State Fire Station Administration Records .....	187
<b>J7 Corrections/Inmate.....</b>	<b>187</b>
1 Inmate Commitments/Discharges Logs and Indexes.....	187
2 Inmate Booking Records .....	187
3 Inmate/Detainee Personal Property Records .....	187
4 Inmate Account Records.....	188
5 Inmate Institutional Case File .....	188

6 Inmate Central Case File .....	188
7 Inmate Medical Records .....	188
8 Inmate Program Records .....	188
9 Inmate Earned Good-Time Rosters (129-D).....	188
10 Inmate Industrial and Institutional Work Records .....	189
11 Inmate Furlough/Work Release Files .....	189
12 Inmate Parole Records.....	189
13 Inmate Pardons and Commutations Records .....	189
14 Inmate Drug Testing .....	189
15 Awaiting Action Unit (AAU) Records .....	189
16 Inmate Restraint, Seclusion, and Monitoring Records .....	189
17 Inmate Disciplinary Records .....	189
18 Inmate Surveillance Records .....	190
19 Inmate Investigation Records .....	190
20 Inmate Visitor Records .....	190
21 Inmate Grievance Logs and Records .....	190
22 Inmate Institutional Correspondence .....	190
23 Inmate Telephone System Number Requests .....	190
24 Inmate Marriage Records .....	191
<b>J8 Corrections Institutional.....</b>	<b>191</b>
1 Shift Commanders Daily Reports/Package.....	191
2 Unit Log Books .....	191
3 Shift Post Orders.....	191
4 Shift Assignment Bid and Swap Records .....	191
5 Dietary/Meal Records.....	191
6 Census and Population Counts .....	192
7 Authorization to Enter Forms .....	192
8 Vehicle and Persons Trap Logs .....	192
9 Inmate Movement Records.....	192
10 Mittimus Records .....	192
11 Habeas Corpus Records.....	192
12 Code or Alert Records .....	192
13 Use of Force Reports/Package.....	192
14 Corrections Emergency Planning and Response Records .....	193
15 Urgent Matter Reports .....	193
16 Certification and Notification Records .....	193
17 Overtime Call Lists.....	193
<b>J9 Middlesex Sheriff's Office.....</b>	<b>193</b>
1 Inmate Commitments/Discharges Logs and Indexes.....	193
2 Inmate/Detainee Central Case Record.....	193
3 Inmate/Detainee Personal Property Records .....	193
4 Inmate/Detainee Account Records .....	194
5 Inmate/Detainee Institutional Case File.....	194
6 Inmate/Detainee Medical Records.....	194
7 Shift Commanders Daily Reports/Package.....	194
8 Mittimus Records .....	194
<b>J10 All Sheriffs.....</b>	<b>194</b>
1 Annual Report to the Commissioner .....	194
2 Application to Conduct Social Research .....	194
3 Arsenal Log .....	194
4 Calendar of Inmates (Inmate log or Convict Register).....	195
5 Calendar of Inmates (Prepared for Superior Court).....	195
6 Daily Court Lists .....	195
7 Day Sheets .....	195
8 Disapproval of Correspondence .....	195
9 Health Records .....	195

10 Individual Institutional Case Records (Case Files).....	195
11 Index to Inmates .....	195
12 Industries Records .....	195
13 Inmate Cash Receipts .....	196
14 Inmate Personal Property Record .....	196
15 Inmate Cash Records .....	196
16 Institution Logs.....	196
17 Isolation Log.....	196
18 Media Waivers.....	196
19 Mittimus File .....	196
20 Monthly Report of Admissions and Releases.....	196
21 Noncompliance Files .....	197
22 Orders of Removal.....	197
23 Personnel Files.....	197
23a Personnel Files Master Microfilm.....	197
23b Duplicate Microfilm .....	197
24 Personnel Trap Log .....	197
25 Petitions to Visit .....	197
26 Photographs.....	197
27 Procedures Manual .....	197
28 Reports of Noncompliance .....	198
29 Transportation Log .....	198
30 Vehicle Trap Log.....	198
31 Visitors Cards .....	198
32 Visitors Log.....	198

**K Health and Human Services.....199**

**K1 Administration.....199**

1 Safety and Health Records.....	199
2 Health Studies and Surveys Records .....	199
3 Long Term Care Cost Reports.....	199
4 Guardianships and Conservatorships Records.....	199
5 Controlled Substances Destruction Records.....	199
6 Medicaid Utilization Review Records.....	199
7 Cemetery, Grave and Burial Records .....	199

**K2 Social Services.....199**

1 Health and Insurance Claim Records.....	199
2 Social, Medical, and Economic Assistance Case Files.....	200
3 Client Advocacy Case Files.....	200
4 Social Services Appeals Case Files .....	200
5 Social Services Case Files .....	200
6 Disabled Persons Abuse and Neglect Records .....	200
7 Elder Abuse and Neglect Case Files.....	200
8 Institutional Abuse and Neglect Records.....	200
9 Disability Rehabilitation Case Files .....	201

**K3 Child and Family Services .....**201

1 Child Abuse and Neglect Case Files.....	201
2 Children in Need of Services (CHINS) Case Files.....	201
3 Family and Child Protective Services Case Files .....	201
4 Child Substitute/Foster Care Case Files .....	201
5 Adoption Legal Tracking Records.....	202
6 Adoption and Foster Home Studies Records .....	202
7 Adoption Case Files.....	202

**K4 Laboratory .....**202

1 Patient Autopsy Records.....	202
--------------------------------	-----

2 Laboratory Licensure and Certification Records .....	202
3 Blood, Tissues, and Organs Administration Records .....	202
4 Health Laboratory Tests, Clinical .....	203
5 Quality Assurance Records.....	203
6 Childhood Lead Poisoning Test Program .....	203
<b>K5 Vital Records.....</b>	<b>203</b>
1 Birth Index .....	203
2 Birth Returns .....	203
3 Birth Certificate Risk Data Consent Forms .....	203
4 Marriage Index .....	203
5 Marriage Returns .....	203
6 Death Index .....	204
7 Death Returns .....	204
8 Live Birth Certificates R3.....	204
9 Change of Name Reports R600 .....	204
10 Divorce or Annulment Reports R408 .....	204
11 Abortion Summary Reports R109 .....	205
<b>K6 Patient.....</b>	<b>205</b>
1 Drug Reactions, Adverse Records .....	205
2 Mental Health Inpatient Files .....	205
3 Patient X-Ray Records .....	205
4 Patient Admission and Discharge Records .....	205
5 Mental Health Client Outpatient Clinic and/or Community Service Records .....	206
6 Dental Records .....	206
7 Patient/Resident Accounts Records .....	206
8 Medical Patient Case Files.....	206
9 Patient Rehabilitation Program Records.....	206
10 Institutional Client Property and Valuables Records.....	206
11 Resident/Patient Consent Decree Records.....	207
12 Resident Emergency Fact Sheets.....	207
13 Resident Commitment Papers.....	207
14 DMH Client Human Rights Complaint/Investigation Records .....	207
15 MH Forensic Evaluation Records.....	207
16 External Reviews .....	208
17 Managed Care Inquiries Through the Office of the Managed Care Ombudsman .....	208
18 Health Plan Inspections .....	208
<b>K7 Pharmacy .....</b>	<b>208</b>
1 Pharmacy and Prescriptions Records.....	208
<b>K8 Program Administration.....</b>	<b>209</b>
1 Insurance Policies and Rate Setting Records.....	209
2 Social Needs Assessments Reports.....	209
3 Program Monitoring and Review Records .....	209
4 Medical Rate Setting Case Files .....	209
5 Service Provider Monitoring and Investigation Records.....	209
<b>K9 Public Health.....</b>	<b>209</b>
1 Infectious Disease Case Files .....	209
2 Medical Staff Complaints/Discipline Records.....	209
3 Infectious Disease Outbreak Records .....	210
4 Immunization Records.....	210
5 Community Sanitation Inspection Records .....	210
6 Food and Drug License and Permits Records.....	210
7 Animal Care Regulation and Monitoring Records .....	210
8 Human and Animal Subjects Protection Records.....	210
9 Quarantine Health Records.....	210

10 Infection and Communicable Disease Control Records .....	211
11 Radioactive Materials Monitoring and Control Records .....	211
12 Ambulance Licensure Records .....	211
13 Community Based Services Case Files .....	211
14 Epidemiology Case Records .....	211
15 Report of Infectious Diseases .....	211
16 Forensic Test Results .....	211
17 Initial EMT Certification Files .....	212
18 Initial Course Approval Files .....	212
19 Recertification Application Files .....	212
20 Continuing Education Files .....	212
21 Ambulance Licensing Files .....	212
<b>K10 Shift.....</b>	<b>212</b>
1 Resident Death Report Records .....	212
2 Restraint and Seclusion Records .....	213
3 Death Records.....	213
4 Ambulance Trip Institutional Records.....	213
5 Birth Records.....	213
6 Shift Code Emergency Response Records.....	213
7 Shift Reports .....	213
8 Visitors Records .....	213
9 Intern and Resident Training Records .....	213
10 Daily Census.....	214
11 Paramedics Communication Logs .....	214
<b>K11 Division of Health Care Finance and Policy.....</b>	<b>214</b>
1 Hospital Field Audit Work Papers (report RSC403) .....	214
2 Hospital Cost Reports (report RSC403) .....	214
3 Long Term Care Cost Reports.....	214
4 Ambulatory Care Reports.....	214
5 Hospital Charge Books .....	214
6 Intermediate Care Facilities for the Mentally Retarded Cost Reports .....	214
7 Hospital Annual Financial Filings .....	215
8 Certified Nursing Assistants (CNA) Add-On Reports.....	215
9 Blue Cross Blue Shield Contracts.....	215
10 Public Hearing Records .....	215
11 Credit and Collection Policies .....	215
12 UCP/Health Safety Net Audits .....	215
13 Nursing Facility Petitions .....	215
14 Substance Abuse Treatment Program Licensing Records .....	215
15 Alcohol and Drug Counselor Records .....	215
16 Licensure Complaints, Investigations and Hearing Records .....	216
17 Methadone Appeals .....	216
18 Site Visits to Substance Abuse Treatment Programs.....	216
<b>L Revenue and Taxation .....</b>	<b>217</b>
<b>L1 Tax Policy and Administration.....</b>	<b>217</b>
1 Uniform Commercial Code Financial Statements .....	217
2 Tax Policy and Analysis Reports.....	217
3 Tax Issues and Policy Proposal Records .....	217
<b>L2 Tax Customer Service.....</b>	<b>217</b>
1 Taxpayer Advocate Case Files .....	217
2 Taxpayer Customer Service Records.....	217
3 DOR Problem Resolution Case Files.....	217
4 Tax Practitioner Electronic Filing Authorizations .....	218

<b>L3 Tax Filing</b> .....	<b>218</b>
1 Tax Return Filings .....	218
2 W4s.....	218
3 Taxpayer Estimated Tax Payment Forms .....	218
4 Employer Wage Reports .....	218
5 Estate and Inheritance Tax Case Files .....	218
6 Taxpayer Payment Voucher Slips.....	219
7 Business Tax Status Registrations .....	219
<b>L4 Tax Collection</b> .....	<b>219</b>
1 Taxpayer Appeal Case Files .....	219
<b>L5 Tax Collection</b> .....	<b>219</b>
1 Profession, Trade, or Business License Listings .....	219
2 Taxes in Litigation Certification Records.....	219
3 Potential Taxpayer Locator Records.....	219
4 Promoter’s Business Rental Reports.....	219
5 Bankruptcy Claim Records.....	220
6 Tax Litigation Case Files .....	220
7 Appellate Tax Board Appeals Records.....	220
8 Tax Collection Case Files.....	220
9 Tax Warrant Listings .....	221
10 Uncollectible Tax Records .....	221
11 Tax Liability Settlement Agreement Records.....	221
12 Tax Revenue Accounting Records .....	221
<b>L6 Tax Investigation and Research</b> .....	<b>221</b>
1 Tax History Inquiry Records .....	221
2 Tax Information Transmittal Records.....	221
3 Taxpayer Audit Case Files.....	222
4 State/Federal Tax Information Exchange Records .....	222
5 Tax History Research Records .....	222
6 Special Tax Research Records.....	222
7 Tax Criminal Investigation Records .....	222
8 Employee Tax History Records.....	222
<b>L7 DOR Bureau of Accounts</b> .....	<b>222</b>
1 County Budget Records .....	222
2 City Town Debt Sale Records .....	223
3 Municipal Schedule A Report Records .....	223
4 Municipal Cash Reconciliation Report Records.....	223
5 Municipal Tax Rate Certification Records (Recap Sheets) .....	223
6 Municipal Audit Report Records.....	223
7 County Financial Reports .....	223
8 Municipal Proposition 2 1/2 Records .....	223
9 State House Note Certificate Records .....	224
10 Municipal Compensating Balance Report Records .....	224
11 County Government Finance Review Board Records .....	224
12 Municipal Balance Sheet Reports.....	224
<b>L8 DOR Local Assessment</b> .....	<b>224</b>
1 Tax Exemption Reimbursement Request Records .....	224
2 Municipal Budget Schedules (Cherry Sheets) .....	224
3 Education Reform Waiver Records .....	225
4 Municipal Emergency Aid Records.....	225
5 State Owned Land (SOL) Valuation Records.....	225
6 Unassigned Assets and Property Reports .....	225
7 Municipal Land Valuation Records.....	225

8 Property Valuation Certification Records.....	226
9 Tax Abatement Authority Requests Records.....	226
10 Land of Low Value (Affidavit to Foreclose) Records .....	226
11 Property Valuation Compliance Program Records.....	226
12 Equalized Property Valuations (EQVs) .....	226
13 Utility Valuation Certification Records .....	226
14 Farmland Valuation Advisory Commission Records (FVAC) .....	227
15 Omitted and Revised Assessments and Rollback Tax Records .....	227
16 Owners Unknown Assessment Records .....	227
17 Assessor Training Records .....	227
<b>L9 Child Support .....</b>	<b>227</b>
1 Child Support Enforcement Case Files.....	227
2 Child Support Unassigned Assets and Property Records .....	228
3 DOR Child Support Problem Resolution Case Files .....	228
4 Child Support Account System Monitoring and Control Reports .....	228
<b>L10 Underground Tank .....</b>	<b>228</b>
1 Municipal Underground Storage Tank Reimbursement Program Records .....	228
2 Underground Storage Tank Claim Records.....	228
3 Underground Storage Tank Fees Records .....	228
<b>L11 Bank .....</b>	<b>229</b>
1 New Charters and Holding Company Acquisition Records .....	229
2 Annual Report Submissions .....	229
3 Bank and Credit Union Structure Records.....	229
4 Bank and Credit Union Examination Records.....	229
5 Special Examinations Records .....	230
6 Licensing Records .....	230
7 Licensee Examination Records.....	230
8 Banks and Credit Unions Under Regulatory Order Records .....	230
9 Liquidation Records .....	230
10 Consumer Complaint Records.....	230
11 Loan Appeal Board Case Files .....	231
12 Research Reports and Work Papers.....	231
13 Commissioner’s Documents.....	231
<b>L12 Insurance .....</b>	<b>231</b>
1 Insurance Licensing and Filings Register.....	231
2 Insurance Company Licensing Records.....	231
3 Insurance Company Powers of Attorney Records .....	232
4 Surplus Lines Company Licensing Records .....	232
5 Risk Retention/Purchasing Group Registration Records .....	232
6 Workers Compensation Self-Insurance Group Registration Records.....	232
7 Business Entity Insurance Licensing Records .....	232
8 Individual Insurance Licensing Records.....	233
9 Special Risk Broker Licensing Records-Surplus Lines .....	234
10 Insurance Policy Forms and Rate Filings .....	234
11 Health Insurance Policy Forms, Rates, and Statistical Filings.....	234
12 Group Marketing Plan Records .....	234
13 Workers Compensation Preferred Provider Arrangement (PPA) Records .....	235
14 Consumer Insurance Education Program Records.....	235
15 Insurance Company Market Conduct Records .....	235
16 Continuing Education Course Review Records.....	235
17 Insurance Company Fiscal Review/Audit Records .....	235
18 Prohibited Persons Business Application Records .....	236
19 Consumer Inquiries and Complaints Records.....	236
20 DOI Legal Process Records.....	236
21 Insurance Investigation and Enforcement Case Files .....	236

22 Motor Vehicle Insurance Appeal Records .....	236
23 DOI Administrative Law Case Files .....	237
24 Insurance Company Restructuring Records .....	237
<b>L13 Treasurer .....</b>	<b>237</b>
1 Treasurer Accounting Systems Records .....	237
2 Treasurer Cash Management Records .....	237
3 Cash Forecasting and Positioning Records .....	238
4 State Depository Agreement Records .....	238
5 Treasurer Investment Records .....	238
6 Treasurer Land and Deed Records .....	238
7 Public Protection Performance Bond Filings .....	238
8 Public Official Performance Bond Filings .....	238
9 Deferred Compensation Plan Records .....	239
10 Games Establishment, Development, and Review Records .....	239
11 Games Administration Records .....	239
12 Lottery Sales Agent Licensing Records .....	239
13 Charitable Gaming Licensing Records .....	239
14 Lottery Claim Records .....	239
15 Lottery Liens, Levies, and Orders Records .....	240
16 Lottery Investigation and Enforcement Records .....	240
18 Abandoned Property Program Records .....	240
19 Estate Public Administration Records .....	240
20 Treasurer Registered and Bearer Bond Program Records .....	241
22 Water Pollution Abatement Bond Program Records .....	241
23 Veterans Bonus Program Records .....	242
24 Arts and Humanities Grant Program Records .....	242
25 Treasurer's Savings Bond Program Records .....	242
<b>L14 Retirement and Benefits .....</b>	<b>242</b>
1 Retirement Fiscal System Records .....	242
2 Retirement Administration Records .....	242
3 Beneficiary Verification Forms .....	243
4 Pension Fraud Investigation Case Files .....	243
5 Retirement System Account Audit and Monitoring Records .....	243
6 Employee Retirement, Disability, and Benefits Case Files .....	243
7 Retirement Pension Reserves Investment Management Records .....	243
8 Employee Group Insurance Files .....	243
9 Approval Letters .....	244
10 Appropriation Letters .....	244
11 Reimbursement Letters .....	244
12 Local Actuarial Valuation Reports .....	244
13 Commonwealth's Total Pension Obligation .....	244
14 Data Questionnaires .....	244
15 Valuation Work Papers .....	244
16 Valuation Data Work Papers .....	244
17 Non Valuated Data Work Papers .....	245
18 PRIM Election Ballots .....	245
19 Disability Unit File .....	245
20 Annual Statements from Retirement Boards .....	245
21 Audit Reports of Retirement Boards .....	245
22 Audit Work Papers .....	245
23 Supplementary Schedules .....	245
24 Annual Statement of Earned Income .....	245
25 Investigatory Files .....	245
26 Investigative Docket/Log .....	246
27 Financial Statements .....	246
28 Year End Files .....	246
29 Revoked Waivers .....	246

30 Manager Waiver Files.....	246
31 Review of Investment Holdings .....	246
32 Legal Opinions .....	246
33 Disability Remand Files .....	247
34 Certificates.....	247
35 Litigation/Administration Files.....	247
36 Judicial Litigation Files .....	247
37 Subpoenas.....	247
38 Gulf War Files .....	247
39 Acceptance Letters .....	247
40 Legislative Comments .....	247
41 Department of Industrial Accidents Correspondence .....	248
42 Medical Panel Appointment Case Files .....	248
43 Disability Retirement Case Files .....	248
44 Supplementary Regulations.....	248
<b>L15 Alcoholic Beverages Control Commission .....</b>	<b>248</b>
1 Commission Documents.....	248
<b>M Labor and Workforce.....</b>	<b>249</b>
<b>M1 Industrial Accidents and Injuries.....</b>	<b>249</b>
1 Workplace Hazard Investigation Records .....	249
2 Occupational Safety and Health Reports .....	249
3 Workers Compensation Claim Impartial Medical Report (IMR) Records .....	249
4 Workers Compensation Trust Fund Records.....	249
5 Workers Compensation Self-Insurers Records.....	249
6 Workers Compensation Administrative Law Court Case Files .....	250
7 Workers Compensation Insurance Claim Files.....	250
8 Workers Compensation Litigation Case Files .....	250
9 Industrial Accident Investigation Case Files .....	250
10 Disability Unit File .....	251
11 Valuation Work Papers.....	251
12 Valuation Data Work Papers .....	251
<b>M2 Labor and Employment .....</b>	<b>251</b>
1 Labor and Industries Statistics and Reports.....	251
2 Labor Relations Records.....	251
3 Union Contract Negotiation Mediation Records .....	252
4 Apprenticeship Records.....	252
5 Grievance, Mediation, and Arbitration Administration Records .....	252
6 Prevailing Wage Rate Records .....	252
7 Employment Services Case Files.....	252
8 Unemployment Insurance Claims.....	252
9 Vocational Rehabilitation Case Files.....	252
<b>M3 Division of Occupational Safety: Asbestos and Lead Program.....</b>	<b>253</b>
1 Asbestos Violation Files .....	253
2 Lead Paint Violation Files .....	253
3 Asbestos Work Notification Files.....	253
4 Deleading Work Notification Files.....	253
5 Deleader-Supervisor Application Files.....	253
6 Approved Deleading Contractor for Lead Removal: Application Files .....	254
7 Deleader-Contractor Application Files .....	254
8 Asbestos Contractor Application Files .....	254
9 Asbestos Inspector Application Files .....	254
10 Asbestos Management Planner Application Files .....	254
11 Asbestos Abatement Project Monitor Application Files.....	254
12 Asbestos Abatement Project Designer Application Files .....	254

13 Approved Asbestos Training Provider Application Files .....	255
14 Asbestos Analytical Services Application Files .....	255
15 Asbestos Abatement Worker Application Files.....	255
16 Supervisor/Foreperson for Asbestos Application Files .....	255
17 Asbestos Inspection Files .....	255
18 Lead Paint Inspection Files.....	255
19 Deleader-Worker Application Files.....	256
20 Lead-Safe Renovator Worker Application Files.....	256
21 Lead-Safe Renovator Supervisor Application Files.....	256
22 Lead-Safe Renovator Contractor Application Files.....	256
23 Occupational Lead Poisoning Registry: Laboratory Blood Lead Reports.....	256
24 Occupational Lead Poisoning Registry: Reports of Interviews of Physicians and Registrants .....	256
<b>M4 Massachusetts Labor Relations Commission .....</b>	<b>256</b>
1 Case Files.....	256
2 Transcripts .....	257
3 Case Study Cards.....	257
4 Docket Books .....	257
5 Master Index .....	257
6 Collective Bargaining Agreements.....	257
7 Master Schedule Book.....	257
<b>M5 Division of Occupational Safety: Employment Agency Program.....</b>	<b>257</b>
1 Employment Agency License and Service Agency Registration Records .....	257
2 Employment Agency License and Service Agency Registration Violation Files.....	258
<b>N Massachusetts Port Authority.....</b>	<b>259</b>
<b>N1 Aviation Operations Administration.....</b>	<b>259</b>
1 Daily Operational Reports .....	259
2 Tenant Alterations Files.....	259
3 Daily Operations Reports .....	259
4 Incident Reports.....	259
5 Violations .....	259
6 Accident Reports .....	259
7 Supervisor Terminal Reports.....	259
8 Violations File .....	259
<b>N2 Noise Abatement .....</b>	<b>260</b>
1 Sound Insulation Program .....	260
<b>N3 Aviation Planning and Construction.....</b>	<b>260</b>
1 Tenant Alteration Applications.....	260
2 Tenant Application Log Book .....	260
3 TAA Drawings .....	260
4 Drawings Other.....	260
<b>N4 Public Information.....</b>	<b>260</b>
1 Interpreter Program.....	260
2 Daily Logs .....	260
3 Public Information Agents Files.....	260
4 Public Information Service Reports Files.....	261
5 Airlines Files .....	261
<b>N5 Parking Facilities .....</b>	<b>261</b>
1 Inventories .....	261
2 Log Books .....	261

<b>N6 Transportation</b> .....	<b>261</b>
1 Contract Files.....	261
2 Department Correspondence Files.....	261
<b>N7 Utilities Management</b> .....	<b>261</b>
1 Meter Readings File.....	261
2 Meter Records Log Books.....	261
3 Utility Account Log Books.....	262
4 System Account Log Books.....	262
5 Utility Account Computer Input.....	262
6 Utility Account Usage Report.....	262
7 Budgetary Unit Usage Report.....	262
8 Energy Use Reports.....	262
9 Budgetary History (Fiscal Year End).....	262
10 Utility Accounts/Budget Unit Master Files.....	262
11 Tenant Utility Report.....	263
12 Utility G/L Journal Report.....	263
13 Utility Systems Accounts.....	263
14 Department Subject Files.....	263
15 Utilities Budget.....	263
<b>N8 Aviation Marketing</b> .....	<b>263</b>
1 Concession Monitoring Files.....	263
2 Trade Show Files.....	263
<b>N9 Private Carrier</b> .....	<b>263</b>
1 Ground Transportation Files.....	263
2 Monthly Revenue Forms.....	263
<b>N10 Ground Transportation</b> .....	<b>264</b>
1 Daily Reports.....	264
2 Taxi Pool Ticket Log.....	264
3 Personnel Files.....	264
4 Ground Transportation Agreements.....	264
<b>N11 Parking Revenue Audit</b> .....	<b>264</b>
1 Check Information.....	264
2 Lost Ticket Vouchers.....	264
3 Parking Fee Reports.....	264
4 Inventories.....	264
5 Shuttle Buses and Taxi Pool.....	265
6 Audit Problems.....	265
7 Cashier's Daily Work (Database).....	265
8 Parking Tickets.....	265
9 Void Tickets.....	265
10 Credit Card receipts.....	265
<b>N12 Hanscom Field</b> .....	<b>265</b>
1 Inspections Files.....	265
2 Nighttime Field Use Records.....	265
3 Noise Complaints File.....	266
4 Noise Monitoring Procedures.....	266
5 Noise Rule Proceedings.....	266
6 Noise and Operations Data.....	266
7 Tenant Files.....	266
8 Hanscom Manifests.....	266
9 Hanscom Access Stickers.....	266
10 Snow Removal Summaries.....	266

11 Ramp Permit Files .....	267
12 Notams File .....	267
13 Maintenance Files .....	267
14 Loss Control Reports .....	267
15 Monthly Statistical Reports .....	267
<b>N13 Maritime Administration .....</b>	<b>267</b>
1 Association Files.....	267
2 Facility Files .....	267
3 Tariff Files .....	267
4 Lease Files .....	267
5 Maritime Damage Claims.....	268
6 Capital Projects Files .....	268
7 Terminal Reports/Statistics.....	268
8 Consultants/Contractors File .....	268
<b>N14 Property Management Fish Pier .....</b>	<b>268</b>
1 Contract Files.....	268
2 Prospective Tenant Files.....	268
3 Electrical Work Orders File.....	268
4 Fish Pier Log Books .....	268
<b>N15 Maritime Operations (Unit Number 4300).....</b>	<b>269</b>
1 Facility Files .....	269
2 Personnel Files.....	269
3 Security Files .....	269
4 U.S. Government Files .....	269
5 Equipment Interchange Receipt/Transfer Interchange Receipt Files.....	269
6 Maintenance Record Files .....	269
7 Inventory Records Files.....	269
8 Ship Log Files.....	269
9 ILA Clerk Files (Internal Records Series Code 4300.08).....	270
10 Vessel Files (Internal Records Series Code 4300.11).....	270
11 ILA Payroll Records (Internal Records Series Code 4300.12).....	270
12 Lay-Berth Vessel Files (Internal Records Series Code 4300.16) .....	270
13 Injury/Incident Report Files (Internal Records Series Code 4300.17).....	270
14 ILA Personnel Files (Internal Records Series Code 4300.18).....	270
15 Environmental Files (Internal Records Series Code 4300.19).....	270
<b>N16 Black Falcon Cruise Terminal.....</b>	<b>270</b>
1 U.S. Government Permits .....	270
2 Leased Areas File .....	270
3 Port of Boston Union File.....	271
4 Ship Log Files.....	271
5 Purchasing Files.....	271
<b>N17 Maritime Sales and Marketing .....</b>	<b>271</b>
1 Steamship Lines.....	271
2 Brochure Files .....	271
3 RRP (Recruitment and Referral Program)/Tenant Files .....	271
<b>N18 External Affairs Logan Airport.....</b>	<b>271</b>
1 Emergency Procedures/Public Safety .....	271
<b>N19 Government and Community Affairs .....</b>	<b>271</b>
1 Impacted Communities Files .....	271
2 Neptune Road Program Files.....	272

<b>N20 General Accounting</b> .....	<b>272</b>
1 Chart of Accounts .....	272
2 Year End Schedule/ Work Papers.....	272
<b>N21 Central Services</b> .....	<b>272</b>
1 Repair and Use Logs.....	272
2 Charge Back Source Documents .....	272
3 Real World Inventory File .....	272
<b>N22 Capital Accounting</b> .....	<b>272</b>
1 Landing and Passenger Fee Reports .....	272
2 Fixed Assets Register .....	272
3 Fiscal year Cumulative Job Sheets .....	273
4 Monthly Job Sheets .....	273
5 Monthly Summary Trial Balance Books .....	273
6 Project Payment Files/ Contracts Under Seal .....	273
7 Monthly Journal Entries .....	273
<b>N23 Labor Relations</b> .....	<b>273</b>
1 General Union Files .....	273
2 Seniority Rosters.....	273
<b>N24 Administration and Finance</b> .....	<b>273</b>
1 Rates and Charges Filed .....	273
<b>N25 Maritime Security Services (Unit Number 4280)</b> .....	<b>274</b>
1 MTSA Files (Internal Records Series Code 4280.02) .....	274
2 Security Badge Files (Internal Records Series Code 4280.05) .....	274
<b>O Department of Youth Services</b> .....	<b>275</b>
<b>O1 Unit Records/Community Records</b> .....	<b>275</b>
1 Client Sign In Sheets .....	275
2 Daily Census/Daily Bed Count.....	275
3 Drug Testing Results .....	275
4 Electronic Monitoring (ELMO) Reports .....	275
5 Fire Safety Reports .....	275
6 Intake/Discharge Log .....	275
7 Internal Investigative Reports.....	275
8 Licenses/Certificates.....	275
9 Medical Log.....	276
10 Medical Files .....	276
11 Summary of Consultations .....	276
12 Monthly Reports/Facilities .....	276
13 Monthly Reports/Community .....	276
14 Operations Log .....	276
15 Program Activity Attendance Sheet .....	277
16 Regional Review Team Records.....	277
17 Restraint Report.....	277
18 Room Confinement Observation Sheets.....	277
19 Room Check Sheets.....	277
20 School and Group Attendance Logs .....	277
21 Search Log.....	277
22 Telephone Log.....	277
23 Unit Condition Reports (UCRs) .....	278
24 Unit Files .....	278
25 Video Review Log.....	278
26 Visitor Log.....	278

27 Victim Services File .....	278
<b>O2 Client Records.....</b>	<b>278</b>
1 Client Files.....	278
2 Client/Program Unit File .....	279
3 Grievance Forms.....	279
4 Incident Reports.....	279
5 Detention File .....	279
<b>O3 Program Monitoring .....</b>	<b>279</b>
1 Program Reports and Visit Summary Reports.....	279
<b>O4 Communication Information Center (“CIC”) Reports.....</b>	<b>279</b>
1 Active Warrant Report.....	279
2 Bail Report.....	279
3 Nightly Return Report .....	279
4 Nightly Situation Report.....	280
5 Open Return Report.....	280
6 Room Confinement Report.....	280
7 Risk Assessment Report .....	280
8 Serious Incident Reports.....	280
9 Warrants and Warrant Returns .....	280
<b>Appendix: Electronic Records Management Guidelines .....</b>	<b>281</b>



# Introduction

This document was created and updated by the State Archives and Supervisor of Records in cooperation with the Records Conservation Board. This revision contains additions, modifications, and revisions as requested by several state agencies. It also reflects a thorough review and revision of the entire document by members of the Records Conservation Board.

All state agencies covered by this schedule are strongly encouraged to review the sections that apply to its records and report requests for modification to:

The Records Conservation Board  
220 Morrissey Boulevard  
Boston MA 02125  
(v) (617) 727-2816  
(f) (617) 727-8249  
[rcb@sec.state.ma.us](mailto:rcb@sec.state.ma.us)

Please note that this edition of the Statewide Records Retention Schedule includes revised versions of forms required for submission to the Records Conservation Board. The enclosed forms supersede all previous forms, and must be used by all agencies covered under the Statewide Records Retention Schedule.

Any references in this book to the Massachusetts General Laws (MGL) or the Code of Massachusetts Regulations (CMR) refer to the current edition of each respective law or regulation. Please note that the laws and regulations in this book are not official copies of such law or regulation. Users should consult the official edition of each respective law or regulation for more information. A copy of the CMR may be obtained from the State Bookstore, located in the Massachusetts State House.



# Revisions to the Current Edition

Substantive changes noted below:

## **Additions and Modifications**

B6-1 Attorney General Contract Review Records

B6-12 Attorney General Civil and Criminal Investigations Records

B6-14 Non-Profit Organizations/Public Charities Filings Records

B6-15 Non-Profit Organizations/Public Charities Investigation and Litigation Records

B6-26 Data Breach Records

C11-4 Motor Vehicle Title Registration and Renewal Records

C11-7 Motor Vehicle Operators Licensing and ID Card Records

C11-9 Motor Vehicle License Plate Applications Records

D6 Office of the State Auditor (OSA)



# Important Points

- The Massachusetts Statewide Retention Schedule is produced under the statutory provisions of Massachusetts General Laws ch. 4, § 7(26), c. 30 § 42, and c. 66, §§ 1, 8 and 9
- This schedule applies to all records of state government including those of executive departments, constitutional offices, authorities, independent agencies, and state records being managed by contracted service providers
- This schedule applies to all records, regardless of location and form
- This schedule does not apply to municipal government records
- This schedule supersedes all other special, general, or department-wide records disposition schedules with the exception of previously approved RCB-1E plans for electronic record keeping systems
- Approval by the Records Conservation Board is required before any records may be destroyed or transferred using this schedule except for records whose designated retention period is “after administrative use ceases,” or “after verification”
- Duplicate copies of records need only be retained until the administrative use ceases unless otherwise required by statute or regulation
- If your agency records are not covered by this schedule or if your retention requirements are different from those listed, please contact the Records Conservation Board at:

220 Morrissey Boulevard  
Boston, MA 02125  
(v) (617) 727-2816  
(f) (617) 288-8429  
[rcb@sec.state.ma.us](mailto:rcb@sec.state.ma.us)

- Completed request forms may be sent via regular mail, fax or email to the above address
- Retention periods reflect minimum time periods. Agencies may retain records for longer periods of time as needed or required
- Do not destroy any records while they are subject to litigation, audit, investigation, or where investigation is probable
- Agencies may request review of potentially historical materials by the Archives regardless of stated retention periods



# Special Notes

## **Electronic records and multi-media**

This schedule applies to all types of records, regardless of media or format, including those found in electronic form, audiotape, and hardcopy.

## **Older records**

Massachusetts General Laws, ch. 66, § 8 requires permanent retention of any records dating before 1870. Records older than fifty years old may require retention periods that differ from those listed in this schedule. Please contact the Records Management Unit to arrange for a review of any records that are fifty years old or older.

## **Records in inactive storage areas**

State agencies may contact the Records Management Unit for guidance with identification and inventory of governmental records.

Such unidentified records are often at risk of water damage, destruction, theft, or confidentiality or other security breach. Massachusetts General Laws, ch. 66, § 15 requires a custodian of records to maintain the integrity of records in its custody.

## **Massachusetts Management Accounting and Reporting System (MMARS)**

For all state departments conducting business on the state accounting system known as Massachusetts Management Accounting and Reporting System (MMARS), fiscal and accounting transactions are recorded and archived by the Office of the Comptroller on behalf of departments.

The documentation supporting transactions, such as invoices, contracts, procurement documents, correspondence, must be maintained by departments for the requisite retention period required for the type of transaction involved.

**For example:** Supporting documentation for contracts must be retained for six years from the final payment under that contract or until litigation is resolved if filed within that period.



# The Records Conservation Board

## **Chapter 30, § 42. Records conservation board; composition; powers and duties; sale or destruction of records; records defined; inquiries from departments or agencies**

The state librarian, the attorney general, the state comptroller, the commissioner of administration, the supervisor of public records and the chief of the archives division in the department of the state secretary, hereinafter called the archivist, or persons designated by them, shall act as a board, to be known as the records conservation board, of which board the archivist shall be secretary.

The board, after consultation with the executive head of any agency, executive office, department, board, commission, bureau, division or authority of the commonwealth or of any authority established by the general court to serve a public purpose or a person designated by such executive head may, either by its own motion or on the request of said executive head, sell or destroy, from time to time, all records in accordance with disposal schedules which shall have been submitted to said board and either approved or modified by said board or the board may authorize such sale or destruction. Until such action shall have been taken, all such records shall remain the property, as the case may be, of the commonwealth or an authority including an authority established by the general court to serve a public purpose.

The board shall have power to require all departments of the commonwealth to report to it what series of records they hold, to set standards for the management and preservation of such records, and to establish schedules for the destruction, in whole, or in part, and transfer to the archives or another appropriate division within the office of the state secretary, in whole, or in part, of records no longer needed for current business.

Nothing in this section shall affect judicial or legislative records, lessen the existing powers of the executive office for administration and finance, or compel any agency, executive office, department, board, commission, bureau, division or authority of the commonwealth or of any authority established by the general court to serve a public purpose to surrender records it deems of current use.

Records may be kept in the archives or in another appropriate division within the office of the state secretary, under reasonable restrictions as to access, for a reasonable length of time; provided, that such restrictions are in writing and accepted by the records conservation board at a meeting at which the attorney general, or his designee, is present. At least thirty days before selling or destroying any records so kept in the archives or another appropriate division within the office of the state secretary, the board may publish in a daily newspaper in Boston a notice of its intention to do so, containing a brief description of the articles to be sold or destroyed, and it shall give such other and further notice as it deems advisable to historical societies or persons interested in the matter.

The board may, before selling or destroying any particular records, books, vouchers or documents, give a public hearing to all persons interested, and ten days' notice of such hearing shall be given in a daily newspaper published in Boston.

The proceeds, if any, of a sale by the board of any records shall be paid to the state treasurer or to the treasurer of an authority, including an authority established by the general court to serve a public purpose, whose records were the subject of the sale.

As used in this section, the words "records" shall mean all books, papers, maps, photographs, recorded tapes, financial statements, statistical tabulations, or other documentary materials or data, regardless of physical form or characteristics, made or received by any officer or employee of any agency, executive office, department, board, commission, bureau, division or authority of the commonwealth or of any authority established by the general court to serve a public purpose.

Any agency, executive office, department, board, commission, bureau, division or authority of the commonwealth or of any authority established by the general court to serve a public purpose in doubt as to whether certain materials are records shall make inquiry thereof in writing to the records conservation board which shall determine the question.



# Glossary of Special Terms

## **Administration/Administrative**

These terms refer to routine work materials and routine fiscal records and do not include policy, planning, and decision-making records.

## **Administrative Use**

“Administrative use” refers to a record’s usefulness as determined by agency staff. This designation includes copies of records maintained for the convenience of agency staff. Please see the record series “A12 Correspondence” in this Schedule for more information on procedures for retention of convenience copies and other records with a short retention period.

Records from series’ that require retention “until administrative use ceases” may be discarded after such use. It is not necessary to submit a FORM RCB-2 APPLICATION FOR DESTRUCTION PERMISSION for destruction of administrative use records, unless otherwise noted in the schedule.

Records custodians are advised to review “administrative use” records to determine whether the records possess any enduring historical value to the Commonwealth. In such cases, records custodians are advised to preserve the records and contact the Records Management Unit of the State Archives for assistance to determine the appropriate retention period.

## **Background Support Documentation**

Background support documentation adds to an understanding of the thought process or intent of the participants in the subject covered, or an understanding of the subject itself.

## **Contract**

A contract is a legally binding agreement between two or more parties.

## **Electronic Record-Keeping System**

An electronic record-keeping system is any information system where records are maintained primarily in electronic form.

## **Executive**

The term Executive includes elected officials, commissioners, agency heads and their deputies, department heads, and directors, and the persons with delegated authority to act on their behalf.

## **Grant**

A grant is a contract providing financial assistance to qualified applicants to further a specific public purpose.

## **Includes**

As used in a record series description, this term means “may include” or “includes but is not limited to.” It is meant to be followed by typical items that may be found in a record series for the purposes of identification and description.

## **Permanent**

Permanent records are to be retained indefinitely, and maintained in an accessible form either by the originating agency or by the Archives. Archival review may be considered, at the discretion of the State Archivist.

## **Program**

A program is an ongoing or repeating functional activity carried out as part of agency responsibilities.

## **Project**

A project is a one-time work activity, with defined objectives and timelines.

## **Public Records Custodian**

A Public Records Custodian is the government employee who in the normal course of his duties has access to or control over records. 66 MGL 6.

**Record**

A record is information that has been recorded or captured, regardless of physical form or characteristics.

**Record Series**

A records series is a set of records relating to a specific business process or function. Occasionally a record series is defined by the form of the records such as 'maps' or 'photographs.'

**Retention Period**

The Retention Period is the length of time required for the storage of records. This period is based upon, among other factors, statutory or regulatory requirements, agency custom, and retention schedules. Records must be maintained in an accessible format for the duration of the retention period.

**Review by the Archives**

Review by the Archives consists of a review and appraisal of records by Archives staff to determine any archival or permanent value. Archival review is performed at the discretion of the State Archivist, and may consist of either a full or a sample review of the records.

**Routine Records**

Routine records are records used during the normal course of business. Such records often do not have enduring or lasting value.

**State Archives**

The Massachusetts State Archives maintains permanently valuable governmental records for the benefit of state agencies, the Commonwealth, and its citizenry. Records transferred to the State Archives are no longer in the control of the originating agency.

**State Records Center**

The State Records Center provides temporary storage of records on the behalf of state agencies. Such records remain the sole property of the originating agency.

# Sample File Plan

The following is an example of a typical arrangement of files that corresponds to the record series listed in the Statewide Records Retention Schedule.

## **Administration**

- Program Development, Establishment, and Review
  - Hierarchical by division or unit
- Legislation (Development and Review)
  - Legislative Relations
  - Proposed Legislation
  - Agency Sponsored Legislation
  - Rules and Regulations
- Policy and Procedures (Development and Review)
- Issues
- Plans and Proposals
  - Disaster Plan
  - Reorganization and Space Planning
  - Missions and Goals
- Committees
- Intra-Agency Monitoring and Oversight (Units and their programs)
  - Hierarchical by division or unit
- Special Relations
- Professional Organizations and Associations
- Special Projects
- Special Events
- Public Relations
  - Speeches and Writings
- Historical Anniversary
  - Memorabilia

## **Legal and Regulatory**

- Issues
- Litigation Cases, Monitoring
- Legal Opinions
- Ethics and Conflict of Interest
- Special Investigations

## **Fiscal**

- Fund and Grant Development
- Budget Monitoring and Review
- Fiscal Reports

## **Facilities**

- Planning and Oversight

## **Information Systems**

- Planning and Oversight







# The Commonwealth of Massachusetts

**William Francis Galvin**

Secretary of the Commonwealth

Records Conservation Board – Massachusetts Archives at Columbia Point

220 Morrissey Blvd., Boston, Massachusetts 02125-3384

Email: [rcb@sec.state.ma.us](mailto:rcb@sec.state.ma.us)

Website: [www.sec.state.ma.us/arc/arcrmu/rmuidx.htm](http://www.sec.state.ma.us/arc/arcrmu/rmuidx.htm)

Phone: 617-727-2816 Fax: 617-288-8429

## FORM RCB-2T – APPLICATION FOR TRANSFER PERMISSION

1. Transfer Permission for: \_\_\_\_\_  
*Executive Office, Authority*

\_\_\_\_\_  
*Department, Agency* *Division, Unit, etc.*

2. Total approximate volume of records proposed to be transferred (cubic feet, file drawers, boxes, etc.)

\_\_\_\_\_

3. Location of records: \_\_\_\_\_

4. Indicate type of records(s) being transferred under TYPE RECORD column: A=Public Records; B=Records containing "Personal Data"; C=Records specifically exempted from disclosure by statute. Multiple categories are acceptable (i.e., A/B). Statutory access restrictions imposed on records, and the reason for restrictions, shall be stated in writing and listed on the reverse side of this form.

5. I certify that the last entries on the records listed in this application were made **prior** to the retention date of this agency's Disposal Schedule(s) thus satisfying the legal requirements that certain records be kept for a specified length of time.

\_\_\_\_\_  
*Print or Type Name*

\_\_\_\_\_  
*Address* *Phone*

\_\_\_\_\_  
*Signature of Department Head or Authorized Agent* *Date*

Submit in triplicate:

<b>DO NOT USE THIS SPACE</b>
Disposal Schedule(s) #
<p><b>APPROVALS:</b>                  Pursuant to provisions of M.G.L., Ch. 30, S. 42, as most recently amended, the Records Conservation Board hereby grants permission to transfer the records listed here.</p> <p style="text-align: center;"><b>RECORDS                  CONSERVATION BOARD</b></p> <p style="text-align: center;">_____  <i>Chairman</i></p> <p style="text-align: center;">_____  <i>Secretary</i></p> <p style="text-align: center;">/ ____ / ____  <i>Date of approval</i></p>

Applicable Schedule	Item No.	Description of Record	Retention Period	Inclusive Dates	Type of Record	S.R.C. or Archives
<i>Example:</i> 01/11	A 1-1	Program Establishment, Development Records	Permanent	01/96-12/00	A	Archives



ACCESS RESTRICTIONS: AGENCY RECOMMENDATIONS. List below any statutory or regulatory restrictions on access.

Item No.	

ACCESS RESTRICTIONS: ARCHIVIST RECOMMENDATIONS. State concurrence, dissent, or other recommendations pertaining to materials for which restrictions have been requested.

Item No.	



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## FORM RCB-1E – APPLICATION FOR ELECTRONIC SYSTEMS INFORMATION PLAN FACE SHEET

1. Plan for: \_\_\_\_\_  
*Executive Office, Authority*

\_\_\_\_\_  
*Department/Agency* *Division, Unit, etc.*

2. Applicable Statutory Reference: \_\_\_\_\_

3. I certify that this plan and the retention periods for the records described in the plan have been reviewed by me as being in the best interests of this agency, and in compliance with applicable statutes and regulations. I further certify that the scanned records will be accessible for the full retention period.

\_\_\_\_\_  
*Print or Type Name* *Date*

\_\_\_\_\_  
*Address* *Phone*

\_\_\_\_\_  
*Signature of Department Head or Authorized Agent* *Date*

\_\_\_\_\_  
*Signature of Chief Information Officer or Authorized Designee* *Date*

**Note: BEFORE YOU MAY CLEAR DATA OR FILES OF LISTED RECORDS, YOU MUST OBTAIN SEPARATE PERMISSION from the Board. Application for: DESTRUCTION PERMISSION (RCB-2E) is provided for the purpose.**

### DO NOT USE THIS SPACE

Systems Plan #

#### APPROVALS:

Pursuant to provisions of M.G.L., Ch. 30, S. 42, as most recently amended, the Records Conservation Board hereby approves this plan.

RECORDS  
CONSERVATION BOARD

\_\_\_\_\_  
*Chairman*

\_\_\_\_\_  
*Secretary*

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_  
*Date of approval*

# RCB-1E SYSTEMS INFORMATION MANAGEMENT PLAN

Agency Name

System Custodian and Liaison

System Name

System Overview (purpose)

System Description (technical)

System Inputs (with retention periods)

System Outputs (with retention periods)

System Backup Schedule

System Archiving Schedule

Restrictions on Use and Access

Related Systems Records, Files, and Indexes

System Contingency Plans

Access to Records During Retention Period

Certification of how the agency will ensure retrieval and access to the records for the duration of the retention period. Description should include the process for periodic review by agency staff to test accessibility to the records.

Other

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## FORM RCB-2E APPLICATION FOR SCANNING AND DESTRUCTION PERMISSION

**IMPORTANT!** You must re-submit this form **each time** your agency destroys any of the records listed herein.  
No record can be destroyed unless it is included in an authorized disposal schedule.

1. Destruction Permission for: \_\_\_\_\_  
*Executive Office, Authority*

\_\_\_\_\_  
*Department/Agency* *Division, Unit, etc.*

2. Total approximate volume of records proposed to be destroyed (cubic feet, file drawers, boxes, etc.)

\_\_\_\_\_

Retention period of documents to be scanned/Location of records: \_\_\_\_\_

\_\_\_\_\_

3. I certify that the records listed below have been scanned as required by the indicated disposal schedule. I further certify that the scanned records will be accessible for the full retention period. All scanning has been conducted in accordance with the Massachusetts Public Records Law. The scanned images have been inspected and found to be a complete and accurate representation of the original record.

\_\_\_\_\_  
*Print or Type Name*

\_\_\_\_\_  
*Address* *Phone*

\_\_\_\_\_  
*Signature of Department Head or Authorized Agent* *Date*

\_\_\_\_\_  
*Signature of Chief Information Officer or Authorized Designee* *Date*

**DO NOT USE THIS SPACE**

Disposal Schedule(s) #

\_\_\_\_\_

**APPROVALS:**  
Pursuant to provisions of M.G.L., Ch. 30, S. 42, as most recently amended, the Records Conservation Board hereby grants permission to destroy the records listed in this application under the Disposal Schedule(s) above.

**RECORDS  
CONSERVATION BOARD**

\_\_\_\_\_  
*Chairman*

\_\_\_\_\_  
*Secretary*

\_\_\_\_ / \_\_\_\_ / \_\_\_\_  
*Date of approval*

Applicable Schedule	Item No.	Description of Record	Retention Period	Inclusive Dates
<i>Example:</i> 01/11	D2-4b	Fiscal Audit Records	6 years	01/00-12/04

Please list additional records on a separate sheet(s).



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## FORM RCB-2M – APPLICATION FOR DESTRUCTION PERMISSION

*Records required to be microfilmed before they are destroyed*

**IMPORTANT!** You must re-submit this form **each time** your agency destroys any of the records listed herein.

**No record can be destroyed unless it is included in an authorized disposal schedule.**

1. Destruction Permission for: \_\_\_\_\_  
*Executive Office, Authority*

\_\_\_\_\_

*Department/Agency*

*Division, Unit, etc.*

2. Total approximate volume of records proposed to be destroyed (cubic feet, file drawers, boxes, etc.)

\_\_\_\_\_

3. Location of records: \_\_\_\_\_

4. I certify that the records listed below have been microfilmed as required by the indicated disposal schedule. All microfilming has been conducted in accordance with the requirements of 950 Code of Massachusetts Regulations 39.00. The microfilm product has been inspected and found to be a complete and accurate representation of the original records, and in compliance with quality specifications of 950 CMR 39.00.

\_\_\_\_\_

*Department Head or Authorized Agent*

5. I certify that the last entries on the records listed in this application were made **prior** to the retention date of this agency's Disposal Schedule(s) thus satisfying the legal requirements that certain records be kept for a specified length of time.

### DO NOT USE THIS SPACE

Disposal Schedule(s) #

#### APPROVALS:

Pursuant to provisions of M.G.L., Ch. 30, S. 42, as most recently amended, the Records Conservation Board hereby grants permission to destroy the records listed in this application under the Disposal Schedule(s) above.

RECORDS  
CONSERVATION BOARD

\_\_\_\_\_

*Chairman*

\_\_\_\_\_

*Secretary*

\_\_\_\_\_/\_\_\_\_\_/\_\_\_\_\_

*Date of approval*

\_\_\_\_\_

*Print or Type Name*

\_\_\_\_\_

*Address*

\_\_\_\_\_

*Phone*

\_\_\_\_\_

*Signature of Department Head or Authorized Agent*

\_\_\_\_\_

*Date*

Applicable Schedule	Item No.	Description of Record	Retention Period	Inclusive Dates
<i>Example:</i> 01/11	D2-4b	Fiscal Audit Records	6 years	01/00-12/04

*Please list additional records on a separate sheet(s).*



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## FORM RCB-4 – RECORDS LIAISON OFFICER DESIGNATION

To the Records Conservation Board:

Pursuant to M.G.L. ch. 66 § 6, \_\_\_\_\_ is hereby designated as Records  
*Print or Type Name*

Liaison Officer for \_\_\_\_\_  
*Executive Office, Authority*

\_\_\_\_\_  
*Department /Agency*

\_\_\_\_\_  
*Division, Unit, etc.*

The Liaison Officer will work in consultation with the Records Conservation Board to promote efficient records management practices.

The Liaison Officer is authorized to sign applications for Disposal Schedules and Permissions in my stead.

\_\_\_\_\_  
*Signature of Department Head or Authorized Agent*

\_\_\_\_\_  
*Date*

\_\_\_\_\_  
*Records Liaison Officer*

Address: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Telephone \_\_\_\_\_

Cite legislation governing activities of this agency: \_\_\_\_\_

\_\_\_\_\_

Copy Distribution:

1. Records Conservation Board
2. Submitting Agency



# A Administration and Records in Common

## A1 Program Development and Review

### 1 Program Establishment, Development Records

Documents the creation and development of the agency, its departments, divisions, and units, and its programs. Also documents its purpose, authority, and organization as well as any major changes over time, any major reviews of the program, and any major reorganization. Includes organizational charts; mission or function statements; program charges, bylaws, and legislation; reorganization documentation; long term plans; agency histories; issues, policy, and legislation background materials, outreach, and initiatives substantive documentation; and related correspondence.

#### **Retention Period:**

Permanent.

Note: This historical file must often be collated from several sources.

### 2 Annual and Summary Reports Records

Documents the production of annual reports or other summary reports of agency business. Includes background support materials, statistical and other interim reports, unpublished reports, final products, and related correspondence.

#### **Retention Period:**

- (a) Annual reports: Permanent. Send 8 copies to the State Library.
- (b) Substantive support documentation for annual reports: Retain 3 years.
- (c) All other reports, published or unpublished, and substantive support materials for those reports: Retain until administrative use ceases. Permission from RCB not required for destruction.

### 3 Program Plans and Planning Records

Documents the ongoing study, review, and evaluation of program functions and needs. Includes needs assessments, special studies documentation, background support documentation, surveys and questionnaires, program development and planning grant documentation, business plans, and related correspondence.

#### **Retention Period:**

- (a) Reports and substantive background documentation: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

### 4 Reorganization, Relocation, and Closing Records

Documents major changes to an agency's administrative structure, functions, or physical location. Includes plans and planning materials, issues documentation, needs assessments, drawings, space and new facility plans, and related correspondence.

#### **Retention Period:**

- (a) Summary and substantive materials: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

See also record series "A1-1 Program Establishment, Development, Records."

### 5 Accreditation Records

Documents the accreditation process relating to an agency's program or programs as required by federal or state statute, or other body. Includes background support materials, accrediting agency correspondence, guidelines, reports, procedures, and accreditation review reports and responses.

**Retention Period:**

- (a) Final accreditation report, responses, and substantive correspondence: Permanent.
- (b) All other records: Retain 6 years after accreditation period ends.

**6 Disaster Planning Records**

Documents plans to maintain necessary business operations, to protect personnel, and to safeguard vital records during emergency situations. Includes background support documentation and work papers, plans and reports, and related correspondence.

**Retention Period:**

- (a) Final plans: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

29 CFR 1910.38.

**7 Commemorations and Historical Anniversary Records**

Documents any celebration or recognition of agencies or their works.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

**8 Program Historical Articles and Clippings**

Consists of articles and clippings about agency programs and functions.

**Retention Period:**

- (a) Substantive files where the collation may be unique or not easily reproduced: Review by Archives after administrative use ceases. Permission from RCB not required for destruction subsequent to review by Archives.
- (b) All other records: Review by the Archives after administrative use ceases. Permission from RCB not required for destruction subsequent to review by Archives.

**9 Artifacts and Memorabilia**

Consists of objects, items, mementos, and souvenirs with special value to the agency. Includes scrapbooks, staff photos, picture books, albums, newspaper articles and clippings, slides, buttons, flags, banners, badges, batons, maces, stamps, stamping devices, and other selected objects.

**Retention Period:**

Review by the Archives after administrative use ceases. Permission from RCB not required for destruction subsequent to review by Archives.

**A2 Legislation and Policy**

**1 Informational Circulars**

Provides a record of information distributed for the general information of staff.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

**2 Legal Letter Release Records**

Documents the development of statements of legal clarifications, opinions, or explanations of law in order to respond to specific requests. Includes initial requests for information, background support materials, internal legal opinions and notes, final memos, letter rulings, or other products, and related correspondence.

**Retention Period:**

- (a) Final products and substantive support materials: Permanent.

(b) All other records: Retain 3 years.

### **3 Policy and Procedures Records**

Documents the agency's role in the development, implementation, and review of its policies and procedures. Includes background materials and notes, substantive drafts such as those issued for public comment, and final policy directives or manuals.

#### **Retention Period:**

(a) Policy manuals, publications, bulletins and substantive support materials: Permanent.

(b) All other records: Retain 3 years.

### **4 Executive Orders, Directives, and Bulletins Records**

Documents the process to develop and issue official orders, decisions, and directives to agency staff. Includes background support materials, final issuances, and related correspondence.

#### **Retention Period:**

(a) Final issuances and substantive support materials: Permanent.

(b) All other records: Retain 3 years.

### **5 Rules and Regulations Records**

Documents the development, review, and administration of the agency's rules and regulations as required by statute. Includes background support materials, drafts, public hearing documentation, and final CMR submissions to the Secretary of State's office for official filing.

#### **Retention Period:**

(a) Final accepted rules and regulations and substantive support materials: Permanent.

(b) All other records: Retain 3 years.

### **6 Legislation Records**

Documents the agency's role in the development and review of program legislation and subsequent policy development. Includes research and investigative materials, intergovernmental memoranda, legal research and attorney notes, drafts, and related correspondence.

#### **Retention Period:**

(a) Summary and substantive support materials: Permanent.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

### **7 Legislative Relations Records**

Documents agency relations with specific legislative contacts or groups relating to agency missions and goals.

#### **Retention Period:**

(a) Summary and substantive support materials: Permanent.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

## **A3 Executive**

### **1 Executives' Correspondence/Subject Files**

Documents the executives' monitoring and decision-making of agency programs and functions. Includes memos, letters, reports, notes, issues documentation, intra-departmental monitoring records, and other materials filed by subject.

#### **Retention Period:**

Retain 3 years.

## **2 Executives' Briefing Files**

Documents materials used to brief executives on upcoming meetings, hearings, events, or other activities. Includes briefing books, sheets, and support materials.

### **Retention Period:**

Retain 3 years.

## **3 Elected Office Transition Files**

Documents the process to transfer governance of an office due to a change in leadership. Includes briefing books, issues summaries, organization and functions documentation, logistical details, and related correspondence.

### **Retention Period:**

Retain 3 years.

## **A4 Committee**

Committees should cross-reference section A13 of this Statewide Schedule for other records retention requirements that may be applicable.

### **1 Committee Establishment, Charges, and Membership Records**

Documents the original establishment of the committee and any subsequent changes to its organization, charges, or functions, policy, and membership. Includes establishment documentation, related legislation, charges, membership, and related correspondence.

### **Retention Period:**

Permanent.

### **2 Standing Committees, Councils, Boards, and Commissions Records**

Documents the activity of committees, councils, boards, and commissions where the unit holds the primary copy of minutes. Includes dockets, agendas, minutes, and agenda submissions and support materials.

### **Retention Period:**

Permanent.

Note: The permanent version of minutes must be retained on paper hardcopy.

### **3 Committee Records**

Documents the activities of inter-agency or intra-agency committees where these are not included as part of another record series. Includes agendas, minutes, meeting packet information, and related correspondence.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

### **4 Board, Council, Committee Docketed Case Files**

Documents work brought before committees and boards as part of their official functions. Includes submissions, approvals and denials, discussion notes, and related correspondence.

### **Retention Period:**

(a) Where not covered by other record series: Retain until administrative use ceases. Permission from RCB not required for destruction.

(b) Otherwise: Apply the appropriate record series retention period.

See also record series "A4-2 Standing Committees, Councils, Boards, and Commissions Records."

## **5 Committee Members' Records**

Documents activities of employees as members of committees or groups where such activities are performed as part of their official duties. Includes meeting preparation materials, meeting agendas and notes, minutes, reports, and related correspondence.

### **Retention Period:**

- (a) Executives' records: Retain 3 years.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

## **6 Task Force Records**

Documents the work of special task forces assigned by committees or managers to address issues relating to agency functions. Includes original charges, work papers, reports and deliverables, and related correspondence.

### **Retention Period:**

- (a) Charges, substantive correspondence and work product, and reports: Permanent.
- (b) All other records: Retain 3 years.

## **7 Staff Meeting Records**

Documents unit staff meeting proceedings. Includes agendas, minutes, working papers, submissions, exhibits, reports, and related correspondence.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **A5 Program Administration**

### **1 Program Subject/Resource Records**

Consists of background materials on topics relating to agency mission and functions. Includes articles, clippings, selected meeting minutes, discussion notes, ratings and surveys, informational reports, and related correspondence.

### **Retention Period:**

- (a) Substantive files where the collation may be unique or not easily reproduced: Review by Archives after administrative use ceases. Permission from RCB not required for destruction subsequent to review by Archives.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

### **2 Program Issues and Topics Records**

Documents issues, concerns, and situations which occur during the daily administration of the agency that may potentially give rise to policy or procedural, organizational adjustments or changes, or to litigation, or that represent potential trouble spots to be monitored. Includes legal support documentation, secondary copies of minutes, notes, and related correspondence.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

### **3 Program Outreach and Training Records**

Documents outreach services to individuals, institutions, or government departments and units as part of an agency's overall functions. Includes planning documentation, presentation materials and outlines, scheduling and arrangement documentation, and related correspondence.

### **Retention Period:**

- (a) Substantive planning documentation and summary presentation materials: Permanent.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

#### **4 Program Administration Records**

Documents the routine administration of agency programs and services programs not covered by more specific records series. Includes letters, memos, inquiries and explanations, work product, and related correspondence.

##### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

#### **5 Program Publication Records**

Documents the production of publications to promote agency functions and activities. Includes resource materials, drafts, copy edit materials, job orders and specifications, visual display materials, photographs, production negatives, and final publications.

##### **Retention Period:**

(a) Final official publications: Permanent. Send 8 hardcopies of each publication (and/or 1 electronic copy) to the State Library.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction. Where publication resource materials and photographs are unique and of potential historical interest: Review by Archives after administrative use ceases. Permission from RCB not required subsequent to review by Archives.

Notes:

1. 6 MGL 39B requires that "each state agency shall furnish the State Library eight copies of its publications."

2. For publications that are in electronic or multimedia form, consult with the State Library to make transfer arrangements.

3. See also record series "F4-1 Electronic Records."

6 MGL 39B.

### **A6 Office Management**

#### **1 Office Social Activity Records**

Documents the non-business related social activities of the unit. Includes special causes and charities work documents, volunteer work outside of the workplace, office Halloween or Christmas parties, social gathering participation, and related correspondence.

##### **Retention Period:**

(a) Payment documentation: Retain 3 years.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

#### **2 Schedules and Calendars**

Documents the scheduling of meetings, travel, appointments, and events. Includes schedule books, calendars, and related lists and postings.

##### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

#### **3 General Office Administration Records**

Documents internal facilitative office policies for handling mail, opening hours, and storm coverage. Includes policies, procedures, staff lists, hours of operation postings, and related correspondence.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

**A7 Program Relations**

**1 Intra-Agency Relations Records**

Documents the monitoring, oversight, review, coordination, and communication between an agency's units and offices. Includes memos, letters, reports, notes, background materials, and related correspondence.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

**2 Intra-Governmental Coordination**

Documents the interaction and coordination of state and municipal agency activities where functional responsibilities overlap. Includes letters of agreement, understanding or intent, plans and proposals, special studies, and related correspondence.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

**3 Inter-Agency Relations Records**

Documents the interaction and coordination between the agency and other governmental or regulatory agencies especially where approval, oversight, or coordination of efforts is involved. Includes background support materials, reports, notes, opinions, proposals, projects, surveys and questionnaires, and related correspondence.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

**4 Federal/State Relations Records**

Documents agencies' relations with other agencies or bodies that have regulatory oversight over agency affairs and business.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

**5 Special Relations Records**

Documents the coordination and communication between state agencies that fall outside of the organizational boundaries of the agencies but whose functions are crossed. Includes memos, letters, reports, notes, background materials, project and planning documentation, and related correspondence.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

**6 External Program Relations Records**

Documents the interaction and coordination between the agency and outside institutions, associations, programs, and individuals where they share similar missions and can mutually benefit from informational exchanges and/or group cooperative efforts. Includes background support documentation, reports, joint proposals, surveys and questionnaires, and related correspondence.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **7 Professional Organizations and Associations Records**

Documents staff participation in outside organizations and associations relating to the mission and functions of the agency. Includes promotional literature, membership lists, meeting and conference announcements, proceedings materials, conference materials, and related correspondence.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **A8 Public Relations**

### **1 Public Relations and Communications Records**

Documents the agency's efforts to promote an effective and cooperative working relationship with the community and the public relating to projects, issues, and general work. Includes plans, proposals, outreach projects, articles, speeches, news and press releases, and related correspondence.

### **Retention Period:**

- (a) Substantive records reflecting decisions, issues, concerns, and events: Permanent.
- (b) All other records: Retain 3 years.

### **2 Media Advisories and Releases Records**

Documents the preparation and distribution of information to the public sector. Includes media advisories, news and press releases, web announcements, and related support materials and correspondence.

### **Retention Period:**

- (a) Final official releases: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

See also record series "A1-1 Program Establishment, Development Records."

### **3 Public Appearances, Speeches, and Writings**

Documents speeches and writings of managers and staff as part of their job responsibilities where these are filed separately from other record series. Includes correspondence, memoranda, notes, audio visual materials, video tape, transcripts, and related correspondence.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

### **4 Ombudsman/Advocate Records**

Documents the interaction between the office and the public for the purpose of assisting users of government find and successfully utilize the services they need. Includes intake, responses, background materials, referrals, and related correspondence.

### **Retention Period:**

- (a) Cases that instigated policy or procedural changes: Permanent.
- (b) All other records: Retain 3 years.

## **A9 Special Events**

### **1 Special Events Records**

Documents the agency's role in the administration, planning, arrangement, and execution of special events and activities such as dinners, lectures, dedications, ceremonies, visits, and tours. Includes planning and arrangement records, announcements, event and activity documentation, and related correspondence.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **2 Conference, Seminar, and Workshop Participant Records**

Documents conferences attended by staff. Includes programs brochures, announcements, promotional materials, registration records, agendas, program descriptions, presentation materials, handouts, and related correspondence.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **3 Conference, Seminar, and Workshop Sponsor Records**

Documents the agency's role in the administration, planning, arrangement, and execution of conferences. Includes planning and arrangement documents, program brochures and announcements, registration and attendance lists, reports, proceedings, summary evaluations, and related correspondence.

### **Retention Period:**

(A) Where fees or payments are involved: Retain 3 years.

(a) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

## **A10 Special Projects**

### **1 Program Research and Survey/Questionnaire Data**

Consists of demographic, questionnaire, statistical, or other types of data in various formats gathered for studies and reports related to agency programs.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

### **2 Program Special Projects, Studies, and Initiatives Records**

Documents projects undertaken by the agency to meet or define specific requirements or goals. Includes instructions and guidelines, arrangement documentation, working papers, project summaries, project deliverables such as plans, reports, proposals, and related correspondence.

### **Retention Period:**

(a) Summary records and substantive materials and correspondence: Permanent.

(b) All other records: Retain 3 years after completion unless part of a grant or contract, in that case retain 6 years after close.

## **A11 Correspondence**

### **1 Administrative Convenience Correspondence**

Duplicates of correspondence maintained for the convenience of governmental employees in carrying out their duties. Records in this series are not the official file or record copy. Do not apply this series if records fall under a more appropriate record series.

Note: Backup computer or microfilm files and other file copies kept for legal or security reasons are not considered convenience copies. Neither are secondary copies of documents when maintained as part of agency business files.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

### **2 General Administrative Correspondence**

General correspondence associated with administrative practices but does not create policy or procedure.

### **Retention Period:**

Retain 3 years.

### **3 Policy Development Correspondence**

Correspondence documenting policy development, decision-making, or substantive issues, procedures or activities.

#### **Retention Period:**

Retain 5 years.

### **4 Transitory Messages**

Includes messages created primarily to communicate information of short-term value. Examples: messages reminding employees about scheduled meetings or appointments; telephone messages; 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.

#### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **A12 Public Bodies Subject to the Open Meeting Law**

This section sets retention requirements for records created by public bodies subject to the open meeting law. Such public bodies may also create records that are not reflected in this section, and should refer to other sections of this Statewide Schedule for retention requirements regarding those other records.

### **1 Meeting Notices**

Includes the final, publicly posted version of all notices for meetings of public bodies.

#### **Retention Period:**

Retain 1 year.

### **2 Meeting Agendas**

Includes final documents provided to members of the public body listing the topics and order in which topics will be considered.

#### **Retention Period:**

Retain 1 year.

### **3 Meeting Minutes**

Includes the final version of the minutes of a meeting of a public body after approval by that public body. Also includes drafts of the minutes if substantially different from the final version as approved by the public body.

#### **Retention Period:**

Permanent.

### **4 Recordings of Meetings for Use in Drafting Minutes**

Includes any audio or visual recording of a meeting by the public body or authorized by the public body. This includes recordings by public bodies to use as an aide in drafting the final version of meeting minutes. This does not include recordings made by persons attending the meeting who wish to record a meeting for their own purposes.

#### **Retention Period:**

Retain until final minutes are approved or administrative use ceases, whichever occurs later.

### **5 Recordings of Meetings for Public Television Access**

Includes any visual recording of a meeting for the purpose of airing on personal televisions or cable television, whether created at the request of the public body or not, and if maintained by the public body.

**Retention Period:**

Retain 6 months.

**6 Documents, Exhibits, or Other Records Used by a Public Body**

Includes all documents, exhibits, maps or notes or any other record reflected in the meeting minutes of a public body as required by G. L. c. 30A, §22(a).

**Retention Period:**

(a) Retain 6 months by the public body and thereafter by the normal custodian of the record for the period of retention either set in the Statewide Schedule or as otherwise required by law.

(b) Retain drafts 90 days, unless an Open Meeting Law complaint is filed against the public body, in which case retain all drafts relevant to the complaint until the complaint is resolved.

**7 Notice to Individuals**

Includes notice given to individuals that a public body intends to convene in executive session as that term is defined by G. L. c. 30A, §18, for the purpose of discussing the reputation, character, physical condition or mental health of the individual pursuant to G. L. c. 30A, §21(a)(1).

**Retention Period:**

Retain 6 years.

**8 Open Meeting Law Certifications**

The Open Meeting Law Certification is a form provided by the Attorney General, which every member of a public body must sign within two weeks of becoming eligible for their position on the public body.

**Retention Period:**

Retain 6 months from the final day of the member's term of office.

**9 Open Meeting Law Complaints**

Includes complaints filed against the public body for an alleged violation of the Open Meeting Law and any correspondence and supporting materials related to a complaint.

**Retention Period:**

Retain 3 years.

**10 Correspondence**

Includes e-mails pertaining to the business of a public body between members of the public body, and between members of the public body and non-members of the public body.

**Retention Period:**

See record series "A11 Correspondence."

**11 Training Materials**

Includes educational materials provided to members of public bodies pursuant to G. L. c. 30A, §19(b).

**Retention Period:**

Retain until superseded by new versions of educational materials.

**12 Complaints (Other than Open Meeting Law Complaints)**

Includes complaints against the public body other than complaints violations of G. L. c. 30A, §§18-25.

**Retention Period:**

Retain 6 months by the public body and thereafter by the normal custodian of the record for the period of retention either set in the Statewide Schedule or as otherwise required by law.



# B Legal and Regulatory

## B1 Legal Review

### 1 Legal Opinion Records

Documents the agency's role in the process to develop, request, respond to, or present opinions on legal matters directly relating to agency programs or functions. Includes legislative background materials, legal counsel opinions, Attorney General requests and opinions, Supervisor of Public Records requests and opinions, notes, and related correspondence.

#### **Retention Period:**

Permanent.

12 MGL 9.

### 2 Legal Review Records

Documents the internal review of the provisions of documents or other matters to assist with wording, processes, and procedures where a formal legal memo or opinion was not required. Includes agency requests for assistance, background support materials, and related correspondence.

#### **Retention Period:**

(a) When filed separately: Retain until administrative use ceases. Permission from RCB not required for destruction.

(b) When filed with related subject file: Retain according to the appropriate record series for that set of files.

See also Record Series "B1-1 Legal Opinion Records."

### 3 Legal Announcements and Advertisements Records

Documents the official posting of any agency business to websites, newspapers, or official newsletters.

#### **Retention Period:**

(a) Contract related announcements: Retain 6 years after contract last payment or close.

(b) All other records: Retain 3 years.

See also record series "F7-6 Website Content Records."

### 4 Legal Issues Records

Consists of reference and background materials collated from different sources on policies, issues, and topics of a potential legal nature related to the agency's programs and functions.

#### **Retention Period:**

(a) Summary and substantive support materials: Retain until administrative use ceases. Permission from RCB not required for destruction.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

### 5 Delegation of Authority Records

Documents the delegations of statutory or other authority to agency staff members. Includes delegations, delegation codes and descriptions, designation letters, memos, copies of legal or advisory opinions, and related correspondence.

#### **Retention Period:**

Retain 3 years after inactive, revoked, or superseded unless a longer period is required by agency legal counsel.

See also record series "D1-13 Signature Authorization Records."

## **6 Ethics and Conflict of Interest Records**

Documents the monitoring of agency business that necessitates controls over potential problem areas concerning ethical issues or conflict of interest. Includes employee statements of impartiality, financial disclosure forms, disclosure memos, and notices of outside employment or business, notice of outside legal or accounting practice, audit papers or notes, and related correspondence.

### **Retention Period:**

- (a) Employee records: Retain while employed.
- (b) Issue files: Retain 6 years.

See also record series "B6-3 Attorney General Conflict of Interest Disclosures."

## **7 Contract and Agreements Legal Files**

Documents the legal development and acceptance of contracts and agreements and the monitoring of legal compliance with the provisions, expectations, and reporting requirements. Includes legal support materials, final authorized and executed contracts and agreements, report and compliance monitoring documents, termination papers, and related correspondence.

### **Retention Period:**

- (a) Landmark or noteworthy contracts: Permanent.
- (b) Contracts under seal: Retain 20 years.
- (c) All other records: Retain 6 years after close of contract and after date of last payment.

Notes:

1. Do not use this record series for construction project contracts. See record series "C5-1 Construction Project Management Records."
2. See also record series "B6-1 Attorney General Contract Review Records."
3. See also record series "C2-4 Construction Project Contract Legal Records."
4. Records included in this series may be reviewed by the State Archives prior to destruction.

## **8 Land Management and Acquisition Records**

Documents the appraisal and acquisition or selling of agency land and property. Includes planning reports, appraisal reports, survey reports and plans, boundary descriptions and adjustments, title searches, environmental site assessments, photographs, studies, and related correspondence.

### **Retention Period:**

- (a) Land records, such as deeds and titles of ownership, easements: Permanent.
- (b) Properties not purchased records: Retain 6 years after final action.
- (c) Professional appraisal services contracts and related contract records: Retain 6 years after contract close.
- (d) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

## **B2 Public Records**

### **1 Public Records Request Records**

Documents requests for access to records by members of the public, the press, or other persons or entities as allowed for in Massachusetts General Laws Chapter 66 or other statutes. Includes requests, related correspondence, rationales for redaction or withholding of information, response letters, Supervisor of Public Records opinions, and substantive support materials.

### **Retention Period:**

Retain 3 years after last activity.

4 MGL 7(26); 66 MGL 10.

## **2 Public Records Appeal Case Files**

Documents individual appeals to the Supervisor of Public Records to obtain access to state public records where original request was denied. Includes requests, background information, official state responses, and related correspondence.

### **Retention Period:**

(a) Summary information regarding original request and final state opinions and response: Permanent.

(b) All other records: Retain 3 years after last activity.

4 MGL 7(26); 66 MGL 10; 66A MGL; 62C MGL 20-23.

## **3 Massachusetts Environmental Police-Public Records Requests**

Documents requests for access to agency records by members of the public, the press or other agencies, or employees, as allowed for in Massachusetts General Laws Chapter 66 or other statutes. Includes: requests, Powers of Attorney, subpoenas, Court Orders, rationales for redaction or withholding information, response letters, Supervisor of Public Records Opinions, Summary listing of information provided and related correspondence.

### **Retention Period:**

Retain 3 years after last activity.

## **4 Fair Information Practices Act (FIPA) Request Records**

Documents requests for access to personal data by data subjects or other persons or entities as permitted by Massachusetts General Laws Chapter 66A and agency regulations. Includes requests, related correspondence, responses, and substantive support materials.

### **Retention Period:**

Retain 3 years after last activity.

66A MGL 1-3.

## **5 Non-Party Subpoena Records**

Subpoenas for records for matters in which the agency or office is not a party to the litigation. Includes subpoenas, correspondence, responses, and other related materials.

### **Retention Period:**

Retain 3 years after last activity.

Note: Does not include subpoenas for records for matters in which the agency or office is a party or third-party in the litigation. Such subpoena records are retained along with and according to the appropriate litigation records series.

## **B3 Investigation and Monitoring**

### **1 Investigation Case Files**

Documents the state's role relating to state, federal, municipal or other investigations into fraud, breaches of contract, neglect, or other potential criminal activity, or other abuses of matters of the state for potential prosecution. Includes background support materials, evidence, investigative reports, actions taken and related correspondence.

### **Retention Period:**

(a) Letters referring cases to the Attorney General's Office: Permanent.

(b) Landmark or policy setting cases: Permanent.

(c) Non-jurisdictional or lack of probable cause records: Retain 3 years.

(d) All other records: Retain 6 years after final case closure or referral to Attorney General's office unless agency legal counsel requires a longer period.

Notes:

1. Records are often retained longer than specified because the background information may be of use in related cases or if further action involving the parties arises again.
2. See also record series "B3-2 Discrimination Investigation Case Files."

## **2 Discrimination Investigation Case Files**

Documents complaints and subsequent investigations into charges of discrimination by individuals in the Commonwealth. Includes charges, interrogatories and responses, investigative notes, position statements and rebuttals, complainant's withdrawal or notice of deposition, public hearing documentation, and final determinations and orders.

### **Retention Period:**

- (a) Landmark or policy setting cases: Permanent.
- (b) Withdrawn, abandoned, or non-jurisdictional cases: Retain 3 years after closure.
- (c) All other records: Retain 3 years after closure.

Note: Class action discrimination cases are handled by the Attorney General's Office.  
151B MGL 3.

## **3 Civil Investigation Records**

Documents investigation of civil complaints. Includes complaints, research and attorney notes, and related correspondence.

### **Retention Period:**

Retain 6 years after case final action, unless a longer period is required by legal counsel.  
See also record series "B6-10 Attorney General Litigation Files."

## **4 Special Investigation Records**

Documents investigations to respond to issues or concerns not met by normal investigatory work. Includes scope of investigation charges, background support materials, investigators work product, final reports, and related correspondence.

### **Retention Period:**

Review by the Archives 6 years after case closure unless agency legal counsel requires a longer period.

## **5 Internal Investigation Records**

Documents investigations into employee conduct or actions and any subsequent disciplinary actions taken. Includes complaints, background notes and materials, investigation notes and materials, reports, statements, formal discipline memoranda, and related correspondence.

### **Retention Period:**

- (a) Case referral correspondence to the Attorney General: Permanent.
- (b) Noteworthy cases of historical interest: Permanent.
- (c) All other materials: Retain 6 years after case closed unless agency legal counsel requires a longer period.

151B MGL, 260 MGL 5B, 277 MGL 63.

## **B4 Regulatory and Compliance**

### **1 Permits Records**

Documents any permits or authorizing documents for maintaining a facility and its systems or for any other special purpose. Includes inspection reports, permits, certifications, approvals and related correspondence.

### **Retention Period:**

- (a) Where case files are kept by property, institution, building, or piece of equipment: Retain original filing and a summary of subsequent filings for the life of the unit plus 3 years.

(b) All other records: Retain 3 years from permit expiration or cancellation.

Note: Permits related to the environment, health, and public safety such as those involving land use, hazardous materials, or weapons may require longer retention periods. Contact the Archives before discarding any of these types of records.

## **2 Facilities Inspection, Monitoring, and Control Records**

Documents inspections of facilities, sites, or equipment to determine if any violations of licensing rules and regulations or other statutes have occurred. Includes site notes, reports, violation documentation, responses, and related correspondence.

### **Retention Period:**

Retain 3 years.

(a) Department of Mental Health (DMH) 6 years.

## **3 Facilities Licensing and Certification Records**

Documents the process to license or certify facilities. Includes applications, inspection reports, background support materials, variances, final approvals, and related correspondence.

### **Retention Period:**

(a) Where summary lists of licenses and certificates are maintained: Permanent.

(b) Where case files are kept by institution or facility: Retain original filing and a summary of subsequent filings for the life of the entity plus 3 years.

(c) All other records: Retain 3 years from license expiration or cancellation.

## **4 Licensure Complaints, Investigations, and Hearings Records**

Documents complaints received and/or investigated relating to unregulated activities. Complaint types include regulatory non-compliance, fraud and program abuse, administrative process, and citizen requests for services. Includes intake documentation, complaint forms, interview notes, hearing transcriptions, investigation reports, appeals, hearing proceedings, and related correspondence.

### **Retention Period:**

(a) Abandoned, incomplete, non-jurisdictional, withdrawn, or dismissed complaints: Retain 3 years.

(b) Routinely resolved complaints: Retain 3 years.

(c) Landmark or policy setting cases: Retain entire file permanently.

(d) All other records: Retain 6 years after final resolution.

Note: Many agencies retain files as long as official licensing files are retained.

## **5 Professional Licensure and Certification Records**

Documents the process to grant licenses or certifications to professionals. Includes applications, testing documentation, background support materials, and related correspondence.

### **Retention Period:**

(a) Applications granted by Board: Retain original filing or electronic copy for 40 years after date of license award.

(b) Applications incomplete or withdrawn by applicant: Retain 3 years from last activity.

(c) Applications denied by the Board: Retain 3 years from last activity.

(d) Applications where Board granted partial credit: Retain 3 years from last activity.

(e) Applications for renewal: Retain original or electronic copy 6 years from cash date.

(f) General correspondence including continuing education audit and questionnaire responses retain original or electronic copy one renewal cycle.

Note: The above retention period applies to all boards of registration under the supervision of the Division of Professional Licensure with the exception of the Board of Registration of Professional Engineers and

Land Surveyors, which may have different retention periods under Title 250 of the Code of Massachusetts Regulations.

## **6 Complaints Against Agency Records**

Documents complaints against agencies. Includes complaints, investigatory materials, and related correspondence.

### **Retention Period:**

- (a) Complaints that lead to a change in official policy or procedures: Permanent.
- (b) All other records: Retain 6 years.

See also record series "E5-1 Employee Complaint/Investigation/Disciplinary Records."

## **B5 Litigation**

### **1 Administrative Law Case Files**

Documents the activities of the quasi-judicial agencies with authority to hear matters and appeals and to hold hearings and make decisions. Includes appeals and requests, background support materials, hearing notes, decisions and determinations, and related correspondence.

### **Retention Period:**

- (a) Case logs and summaries: Permanent.
- (b) Landmark cases: Permanent.
- (c) All other records: Retain 3 years after final case activity.

See also record series "M1-6 Workers Compensation Administrative Law Court Case Files."

### **2 Administrative Law Appeals**

Documents cases brought before Administrative Law Judges and bodies. Includes hearing notices, complaints, appeals, transcripts, and related correspondence.

### **Retention Period:**

- (a) Summary dockets and logs, final findings and recommendations: Permanent.
- (b) All other records: Retain 6 years after final case activity.

### **3 Litigation Case Files**

Documents the agency's role in the litigation of cases involving the agency or its business where a complaint has been filed in court. Includes investigative materials, attorney work product, evidence, motions and briefs, proceeding transcripts, decisions and determinations, court materials, and related correspondence.

### **Retention Period:**

- (a) Letters referring cases to the Attorney General's Office: Permanent.
- (b) Landmark, policy setting, or newsworthy cases: Permanent.
- (c) Summary case lists or dockets: Permanent.
- (d) Cases involving children: Retain until child reaches age of 21 plus 6 years.
- (e) Criminal Cases: Retain 35 years after final action.
- (f) Civil Cases: Retain 20 years after final action.
- (g) All other records: Retain 6 years after final case closure (including payment collection) or referral to Attorney General's office unless a longer period is required by agency legal counsel.

Notes:

1. Records are often retained longer than specified because the background information may be of use in related cases or if further litigation involving the parties arises again.
2. See also record series "B6-10 Attorney General Litigation Files."
3. See also record series "B6-11 District Attorney Case Files."

4. See also record series section "L5 Tax Collection."
5. See also record series "C2-8 Construction Project Litigation Case Files."

#### **4 Litigation/Hearings Case Exhibits**

Provides a record of exhibits presented as supporting documentation, evidence for litigation, hearings, board docket cases, or other cases.

##### **Retention Period:**

- (a) Exhibits that will not be a factor in appeals: Retain until case closes.
- (b) All other materials: Retain as for case files.

#### **5 Legal Briefs and Testimony Records**

Documents individual staff or agency representative's testimony before the courts, at hearings, or other legal forum. Includes case background materials, formal written statements, and related correspondence.

##### **Retention Period:**

Retain until administrative use ceases if not included in litigation case file or legislation case files.

#### **6 Tort Claim Records**

Documents complaints that may result in accident or other claims made against the agency. Includes incident/accident reports, investigation reports, photographs, depositions, settlement documentation, and related correspondence.

##### **Retention Period:**

Retain 25 years after resolution.

### **B6 Attorney General**

#### **1 Attorney General Contract Review Records**

Documents the Attorney General's review and approval of legal services contracts. Includes contracts, approval letters, substantive support materials, and related correspondence.

##### **Retention Period:**

Retain 3 years.

Notes:

The Comptroller's Office and agencies maintain the official contract files.

#### **2 Special Assistant Attorney General (SAAG) Records**

Documents the appointment of private attorneys by the Attorney General to serve as Special Assistant Attorneys General.

##### **Retention Period:**

Retain 20 years and then review by the Archives.

268A MGL 4.

#### **3 Attorney General Conflict of Interest Disclosures**

Documents disclosures by state employees as required by 268A MGL.

##### **Retention Period:**

Retain for term of employment.

#### **4 Attorney General Opinion Records**

Documents the Attorney General's role in the process to develop, request, respond to, or present opinions on legal matters directly relating to the office's programs or functions. Includes request and opinion, background and research materials, and related correspondence.

**Retention Period:**

Permanent.

**5 Attorney General Initiative Petition Review Records**

Documents the Attorney General's review of initiative petitions to be included on the ballot to see that they apply to the constitution. Includes copies of petitions, press releases, comments, and letters of certification.

**Retention Period:**

(a) Landmark or noteworthy opinions: Review by the Attorney General's Office and the Archives after 6 years.

(b) All other records: Retain 6 years.

**6 General Obligation Bond Records**

Documents bond offerings of the Commonwealth. Includes all legal papers connected to the offerings of General Obligation Bonds.

**Retention Period:**

(a) Attorney General summaries: Permanent.

(b) All other records: Retain 6 years after last activity.

**7 Attorney General Inauguration Records**

Documents completion of the election process and the taking of office. Includes memos, correspondence, copies of speeches, daily schedule of events, guest lists, letters of congratulations from government officials, citizens' inaugural addresses, and other related materials.

**Retention Period:**

Permanent.

**8 Open Meeting Law Investigation Records**

Documents the monitoring of the state Open Meeting Law by the Attorney General. Includes complaints, case file information, final outcomes and determinations, letter rulings, advisory opinions, and substantive support materials.

**Retention Period:**

(a) Final determination letters, letter rulings, and advisory opinions: Permanent.

(b) All other records: Retain 3 years.

30A MGL 18-25.

**9 Public Records Referrals from Supervisor of Public Records**

Documents the referral of public records appeals received by the Attorney General from the Supervisor of Public Records. Includes referral for enforcement letters, case file information, and final outcomes and determinations, and substantive support materials.

**Retention Period:**

(a) Final determination letters: Permanent.

(b) All other records: Retain 3 years.

60 MGL 10.

**10 Attorney General Litigation Files**

Documents the preparation and litigation of cases on the behalf of the state by the office of the Attorney General. Includes case-related materials, pleadings, legal research, correspondence, and other support materials.

**Retention Period:**

- (a) Unprosecuted cases: Retain 6 years after final action.
- (b) Landmark, policy setting, or otherwise noteworthy cases: Permanent.
- (c) Criminal Cases: Retain 35 years after final action.
- (d) Medicaid, Insurance, or Unemployment Fraud Cases: Retain 25 years after final action.
- (e) Litigation involving fatalities: Retain 25 years after final action.
- (f) Civil Cases: Retain 20 years after final action.
- (g) Civil Citations, Division of Administrative Law Appeals (DALA) cases, personnel files, child labor, waivers, bid protest hearings, safety, debarment: Retain 6 years after final action.
- (h) Cases involving collections due to the Commonwealth: Retain until final settlement or the regular retention period, whichever is longer.

Note: This record series includes Pre-Litigation cases.

**11 District Attorney Case Files (formerly Schedule No. 45/89)**

Documents District Attorney's prosecution of adults, youthful offenders tried as adults, and juveniles for District Courts or the State Supreme Court. Includes attorney work product, briefs and testimony, documentary evidence, court decisions, appeals documentation, and related correspondence.

**Retention Period:**

- (a) Landmark, policy setting, or otherwise noteworthy cases: Permanent.
- (b) First Degree Murder: Retain 50 years after disposition or last entry.
- (c) Second Degree Murder; Manslaughter; Negligent Homicide, and Sexual Offenders: Retain 25 years after disposition.
- (d) Superior Court Files: Retain 25 years after disposition.
- (e) District Court Files: Retain 4 years.
- (f) Jury of Six Files, Excluding Motor Vehicle Homicide: Retain 4 years after disposition.
- (g) Disposed Non-Conviction Files: Retain 1 year after disposition.
- (h) Youthful Offenders: Retain as for adults.
- (i) All other juvenile cases: Retain 4 years after case closure.
- (j) Investigatory Materials. Includes: Police records, Grand Jury records, forensic reports and agency files not associated with categories (a)-(i): Retain 10 years after close of investigation.

**12 Attorney General Civil and Criminal Investigations Records**

Documents investigations of civil and criminal complaints. Includes complaints, investigative notes and reports, substantive support materials, and related correspondence.

**Retention Period:**

6 years after final action.

Note: If investigation leads to civil or criminal litigation, these records should be integrated into the litigation files and retained under the appropriate B6-10 records series.

**13 Consumer Complaint Investigations Records**

Documents complaints against businesses relating to business practices. Includes complaints, investigative materials, and related correspondence.

**Retention Period:**

Retain 10 years.

**14 Non-Profit Organizations/Public Charities Filings Records**

Documents the activities of non-profits/public charities required to be registered with the Attorney General's Office. Includes annual financial reports (e.g. PC Forms, Federal Form 990s, audit materials);

registration statements; dissolutions; mergers; probate files (e.g. trust instruments, annual accounts, wills, probate court pleadings, filed actions); various other filings and submissions; and substantive support materials, related correspondence.

**Retention Period:**

(a) Landmark, policy setting, or otherwise noteworthy cases: Permanent.

(b) All other records: Retain 10 years.

192 MGL 1A; 12 MGL 8G.

**15 Non-Profit Organizations/Public Charities Investigation and Litigation Records**

Documents the Attorney General's Non-Profit/Public Charities Division monitoring of non-profits/public charities and charitable trusts, and the enforcement of applicable laws. Includes investigative materials; court pleadings and exhibits; motions and briefs; decisions and determinations; proceeding transcripts; miscellaneous court records; and substantive support materials, related correspondence.

**Retention Period:**

(a) Landmark, policy setting, or otherwise noteworthy cases: Permanent.

(b) Litigation files: Retain 20 years after final action.

(c) Investigations files: Retain 6 years after final action.

12 MGL 8.

**16 Insurance Rate Hearings Records**

Documents the Attorney General's role regarding insurance rate setting. Includes transcripts and records of hearings, briefs, decisions, investigative materials, and related correspondence.

**Retention Period:**

Retain 20 years.

**17 Contract Bid Award Investigation Records**

Documents the monitoring of state contracts by the Attorney General's Office. Includes bids, consultant contracts, summaries, and related correspondence.

**Retention Period:**

Retain 20 years.

**18 Attorney General Community Services Records**

Documents the community-based programs at the Attorney General's Office such as Victim Compensation, Victim Witness Assistance, and Safe Neighborhood Initiative. Includes petitions, investigative materials, contact and intake sheets, statistical reports, referral resource files, and related correspondence.

**Retention Period:**

(a) Grant or program summary information: Permanent.

(b) Victim Compensation Files: Retain 25 years.

(c) All other records: Retain 3 years.

**19 Fugitive Renditions Records**

Documents demands for the return of fugitives to and from Massachusetts. Includes jurisdiction documentation, fugitive crime activity information, and related correspondence.

**Retention Period:**

(a) Summary logs: Permanent.

(b) All other records: Retain 50 years.

276 MGL 11-20R.

## **20 Usury Notices**

Documents notices received by the Attorney General regarding intent by lenders of monies to engage in transactions in excess of 20% interest. Includes identifying data, correspondence, and related information.

### **Retention Period:**

Retain 10 years.

271 MGL 49.

## **21 Notices/Reports Sent to the Attorney General**

Documents copies of notices or reports sent to the Attorney General as required by statute. Includes notices, reports, and other related information and correspondence. Includes: "OUI" notices consisting of inquires made of defendants convicted of operating a motor vehicle under the influence of alcohol as to the establishment at which last served; "Going Out Of Business Sale" notices consisting of the inventories of goods on hand that have been filed with the cities/towns; notices consisting of complaints filed in and judgments entered by the courts under sections 9 or 11 of chapter 93A ("Unfair Business Practices" ), and letters sent indicating an intention to sue under those sections; and State Lottery Commission reports consisting of total lottery revenues, prize disbursements, and other expenses.

### **Retention Period:**

Notices/Reports: Retain 3 years.

All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

Notes:

Copies of these notices or reports are also sent to various other state and municipal agencies and/or entities.

90 MGL 24J; 93 MGL 28A-E; 93A MGL 10; 10 MGL 24.

## **22 National Association of Attorneys General (NAAG) Amicus Briefs and Sign-Ons**

Documents the Attorney General's decisions whether to sign onto NAAG sponsored briefs. Includes support or opposition letters for legislative or other initiatives, final brief or resultant document, inter- and intra-office memoranda, and related information and correspondence.

### **Retention Period:**

(a) Final copies of amicus briefs: Retain until administrative use ceases. Permission from RCB not required for destruction.

(b) All other records: Retain 3 years.

Note: Briefs from other sources are available through the relevant court or online.

## **23 By-Law and Charter Submissions**

Documents requests for approval of by-laws adopted by the towns before the by-laws take effect and requests by cities and towns for approval of charters or charter amendments. For each submission, includes copies of proposed by-law or charter, report of charter commission where applicable, town meeting vote where applicable, request for approval, and all related information and correspondence. Where issued, includes copy of Attorney General approval letter.

### **Retention Period:**

Approval/Decision letters: Permanent.

All other records: Retain 20 years.

Note: Along with a mint copy of each by-law, a copy of the Attorney General approval letter is required to be retained permanently by the town (see Town Clerk Records Disposal Schedule).

40 MGL 32; 43B MGL 10.

## **24 City Zoning Ordinances**

Secondary copies of adopted or changed zoning ordinances that do not require Attorney General approval.

### **Retention Period:**

Retain 3 years.

Note: Primary copy is required to be retained permanently by the city (see Municipal Records Management Manual) and is generally available online.

40A MGL 5.

## **25 Records Provided to Attorney General for Review**

Records reviewed by the Attorney General that are provided by Federal or State agencies, or other persons or entities, conditioned on a promise to return or destroy such records upon completion of review, and that may be of importance to the Attorney General in the context of an investigation or potential or actual litigation on behalf of the Commonwealth. Includes data, spreadsheets, memoranda, correspondence, and other related paper and electronic records.

### **Retention Period:**

(a) Records provided by other agencies, persons, or entities: Retain until administrative use ceases. Permission from RCB not required for destruction.

(b) Results of Attorney General review and substantive support materials: Retain according to appropriate records series by subject matter.

(c) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

## **26 Data Breach Records**

Documents data breach notifications sent to the Attorney General as required by statute. Includes data breach notifications directed to the Attorney General and copies of data breach notifications directed to the Office of Consumer Affairs and Business Regulation, copies or samples of data breach notifications directed to Massachusetts consumers, copies of Written Information Security Programs, implemented pursuant to 201 CMR 17.03, and related correspondence. Also documents civil and criminal investigations of data breaches pursuant to MGL c. 93H and MGL c. 93A, including complaints, investigative notes and reports, civil investigative demands, substantive support materials, and related correspondence.

### **Retention Period:**

Retain 6 years.

93H MGL 3; 93I MGL 3; 93A MGL 6; 201 CMR 17.

## **B7 Cable Television Division**

### **1 Division Appellate Decisions**

Documents the findings and opinions rendered by the Division in administrative appeals regarding denials of franchise license, renewals or transfers. The dockets for these decisions prior to June 1999 are arranged numerically with an "A" preceding the number, thereafter they are designated by "CTV" the year and case number.

### **Retention Period:**

Permanent.

Note: Dockets are arranged numerically with an "A" or "CTV" preceding the number.

### **2 Appellate Dockets-Support Material**

Documents the official record of an appellate proceeding including notice of hearing, pleadings, motions memorandum, correspondence, transcript and exhibits. These records are generated by the parties to the

proceeding, received and maintained by the Division in administrative appeals of denials of franchise licenses, renewals and transfers.

**Retention Period:**

Permanent.

Note: Dockets are arranged numerically with an “A” or “CTV” preceding the number.

**3 Rate Decisions**

Documents the findings and opinions rendered by the Division in connection with rate regulation proceedings. The dockets for cable operators arrange rate regulation decisions alphabetically: followed by the year the rate proceeding is commenced, and type of filing. INC for basic service tier rates or ESQ for equipment rates. (Y-99INC, Y99-EQU).

**Retention Period:**

Permanent.

Note: All parties involved receive copies.

**4 Rate Regulation Proceedings-Support Material**

Documents the official record of a rate regulation proceeding including: notice of hearing, state and federal filing forms, pleadings, motions, memorandum, correspondence, transcripts and exhibits. Dockets are arranged alphabetically by cable operator, followed by the year the proceeding is commenced, and the type of filing. INC is for basic service tier rates, EQU for Equipment rates (Y-99INC, Y-99EQU).

**Retention Period:**

Permanent.

Note: Local Government receives a duplicate of the record.

**5 Rulemaking Proceedings-Support Materials**

Documents the official record of a rulemaking proceeding including: proposed rules, comments, and notices of hearing, motions, memorandum, correspondence and exhibits. Dockets are arranged numerically with an “R” preceding the number. Comments submitted by interested parties are collected and maintained by the Division in connection with the rulemaking proceeding.

**Retention Period:**

Permanent.

**6 Rulemaking Decisions**

Documents the Findings and Opinions rendered by the Division in connection with rulemaking decisions. Final rules are promulgated. Arranged numerically with an “R” preceding the number. Regulatory decisions rendered by the Division in conjunction with adopting, amending or appealing regulations.

**Retention Period:**

Retain 30 years.

Note: Interested parties receive duplicate copies. Final rules published in the Massachusetts Register.

**7 Form 500 Annual**

Documents complaint filings, previously filed quarterly. As of January 1999, they are filed annually. This is a report that allows Division and local communities to track the number and type of service complaints; and specific service interruptions on an annual basis as required by 166A MGL 10.

**Retention Period:**

Retain 3 years after filing.

Note: Local communities and cable operators have an electronic copy.

## **8 Form 500 Complaint Forms**

(Form 500 A-Licensee Complaint Record Form, Form 500B-Quarterly Summary of Complaints, Form 500C-Significant Service Interruption Form). These items no longer apply; as of January 1999, forms are filed annually. Report series that allows Division and local communities to track quarterly the number and type of complaints the operator is receiving.

### **Retention Period:**

Retain 3 years after filing.

Note: Local communities and cable operators maintain copies for 2 years. Division maintains an electronic copy starting 5 years ago to the present.

## **9 Forms 200,300,400**

Documents annual financial reports from each cable operator: filed by an individual cable system or clusters of systems. Form 300 is a confidential files report series that allows Division and local communities to track the financial status of each cable operator.

### **Retention Period:**

Retain 3 years after filing.

Note: Local communities and cable operators retain copies.

## **10 Initial Franchise Agreements**

These are contracts between Municipalities & Cable Operators, regarding cable service in that municipality.

### **Retention Period:**

Retain 16 years from date of execution.

Note: Local Community and cable operator maintain copies.

## **11 Renewal Franchise Agreements**

A renewed contract between a cable operator and municipality regarding cable service in the municipality.

### **Retention Period:**

Retain 10 years from date of execution.

Note: Local community and cable operator maintain copies.

## **12 Form 100**

Applications for initial and renewal cable licenses filed by cable operators with municipalities and the Division. This form allows the local community and the Division to evaluate an operator's license proposal.

### **Retention Period:**

Term of license: 15 years for initial licenses and 10 years for renewal licenses.

Note: Local community and cable operator retain a copy.

## **13 Form 394**

Documents the applications for the transfer of cable licenses filed by cable operators with municipalities and the Division. These forms allow the local community and the Division to evaluate the operators' ability to assume the conditions of the current license.

### **Retention Period:**

Term of license not to exceed 15 years for initial licenses and 10 years for renewal licenses.

Note: Cable operator and local community retain copies.

## **14 Filing & Termination of Service Filing**

Documents the cable operator's annual filing, consisting of Rate Cards, Channel line-up, billing practices notice, sample of s bill, and a sample of a work order. The purpose is to evaluate the cable operator's compliance with the Division's billing and notice regulations. (207 CMR 10.00).

### **Retention Period:**

Retain 3 years.

Note: Cable Operators and local communities retain copies.

## **15 Rate Cards and Channel Line-ups**

Printed Rates and service offerings.

### **Retention Period:**

Permanent.

Note: The local community government, local cable office, and the official rate docket all maintain copies.

## **B8 Agricultural Resources**

### **1 Division of Animal Health Records**

Documents all activities of the Massachusetts Department of Agricultural Resources. The Department is a regulatory agency whose purpose is to ensure the quality of certain agricultural products and to prevent disease through inspection and enforcement. The Divisions numbered forms included but not limited to are: 3c; 9-3; 21; 25; 38; 61; 70; 107; 108; 109; 116; 136; 147; 148; 149; 150; and 152.

The Division's other forms are: Letter of Disinfection; Brucellosis Test Record; Nomination of Inspector of Animals; Barn Book Tabulation Sheet; Claim for Reimbursement-TB; and Health Charts from Out of State (except small animal and Equine). The Division also uses the forms: Pet Shop Application for License; EIA Test Reports; Fee Basis Reference Cards; Guard Dog Business License Stubs and Application; Permit to Transport Swine into Massachusetts; and Rabies Positive Specimen Form.

The Division also uses the following forms: Notice of Exposure to Rabies; EVA Tests; Health Certificates for Horses Entering the State; Ear Tag Report Form; Riding Inspector Renewal Applications and License Stubs; Stable License Stubs and Renewal Applications. The Division also uses: Equine Dealer/Transported Stubs and Applications; Store Egg (violation and non-violation); Summaries of Egg Law Violations; PY-156 USDA Shell Egg Surveillance Reports; Pullorum and MS/MG/MM Testing Reports; and General Correspondence.

### **Retention Period:**

(a) Form 61, Form 70, Form 116, Form 148: Retain 5 years.

(b) Rabies Positive Specimen, Small Animal Health Certificates, Notice of Possible Exposure to Rabies, VS 9-3 Forms, Barn Book Tabulation Sheet, and Form 38: Retain 3 years.

(c) Guard Dog Business License Stubs, Equine Dealer/Transporter License Stubs, PY-156: USDA Shell Egg Surveillance Reports, Form 108, Form 137, Form 148, and Brucellosis Test Record: Retain 1 year.

(d) All other records: Retain 2 years.

## **B9 Weights and Measures**

### **1 Division of Standards (Office of Consumer Affairs)**

This Division documents and enforces laws relating to weights and measures, and the accuracy of weighing and measuring devices. The division also regulates the retail sale of gasoline, and motor oil, and enforces pricing on store scanners and registers. The Division also issues permits to manufacturers and distributors of antifreeze, and tests and approves coin-operated machinery, and licenses transient hawkers and peddlers. The Division also grants licenses to auctioneers and motor vehicle damage repair shops.

**Retention Period:**

(a) Inspection Hawkers and Peddlers, Commodities Reweighing Records, Tank Truck Calibration, Summary Record of Field Inspections, Field Inspections & Test, Field Fuel Delivery Inspections, Field Merchant Equipment Records, Petroleum Delivery Inspection Record, Field Reports Summary of Trial Weighing, Unit/Item Pricing/Price Verification Inspection: Retain 1 year.

(b) Records Sealing Adjustments, Meter Test Records: Retain 3 years.

(c) Taxi Inspections: Retain 5 years.

**B10 Governor's Council/Executive Council (formerly Schedule No. 23/88, 32/89, 72/88, 19/68)**

**1 Commutation Files, Granted**

Includes petition, Advisory Board Report, Governor's decision, letters of recommendation. These records are not subject to audit.

**Retention Period:**

Retain 2 years after pardon is granted, then transfer to the Archives.

**2 Commutation Files, Denied**

Includes petition, Advisory Board Report, Governor's decision, letters of recommendation. These records are not subject to audit.

**Retention Period:**

Retain 6 years after date of denial, then transfer to the Archives.

**3 Commutation File Index**

Includes petition, Advisory Board Report, Governor's decision, letters of recommendation. These records are not subject to audit.

**Retention Period:**

Permanent.

**4 Pardon**

Includes petition, Advisory Board Report, Governor's decision, letters of recommendation. These records are not subject to audit.

**Retention Period:**

Permanent.

**5 Veterans' Appeal Case Files**

Veterans' Services Report, Governor's Council decisions. These records are not subject to audit.

**Retention Period:**

Retain 6 years after resolution.

**6 Rendition Files**

Includes correspondence to and from Attorney General, District Attorney. Also includes memorandum, returned warrants for individuals unable to be located or who have waived rendition proceedings. Original copy of renditions retained by Secretary of the Commonwealth.

279 MGL s. 11-20R.

**Retention Period:**

Retain 20 years.

**7 Rendition Index**

Stored alphabetical by name.

**Retention Period:**

Permanent.

**8 Judge and Clerk Files**

Includes nominating papers, resume, completed questionnaire form, letters of recommendation, correspondence, notes of Councilors, roll call.

**Retention Period:**

Retain 10 years.

**9 Notary Public and Justice of the Peace Applications**

Includes notary public original applications, notary public reappointment applications, justice of the peace original applications, and justice of the peace reappointment applications.

**Retention Period:**

Retain 6 months.

**B11 Office of Campaign and Political Finance**

**1 Candidate Public Financing Request Records**

Documents candidates' requests for limited public financing. Includes request, statement of qualifying contributions and qualifying contributions list and summary.

**Retention Period:**

Retain 6 years.

Note: Most information duplicated in candidates financial filings.

55C MGL 1-12.

**2 Non-Statewide Office Candidate Finance Disclosure Records**

Documents contributions and expenditures to persons running for non-statewide office. Includes related correspondence.

**Retention Period:**

Permanent.

55 MGL 18.

**3 Statewide Office Candidate Financial Filings**

Documents filings of candidates for statewide offices designating a bank or trust company in which they will be depositing campaign funds, and campaign finance reports. Includes certificate of appointment of depository, campaign finance reports and reports of general and fundraising contributions, and related correspondence.

**Retention Period:**

Permanent.

55 MGL 18.

**4 Referendum Committee Financial Filings**

Documents filings of committees organized to promote the success or defeat of a question placed before the people on a state ballot.

**Retention Period:**

Permanent.

55 MGL 18.

## **5 Political Committee Statements of Organization Filings**

Documents filings of all political committees of statements of organization pursuant to 55 MGL 5. Includes statements, amendments, and related correspondence.

### **Retention Period:**

Permanent.

55 MGL 5.

## **6 Contributor Ballot Question Expenditure Filings**

Documents filings of corporations, associations, and (as of January 1, 2010) individuals that contribute funds to influence the vote on questions submitted to the people. Includes report of disbursements and outstanding liabilities.

### **Retention Period:**

Retain 6 years.

Note: Information duplicated in referendum committee filings, unless independent expenditure.

55 MGL 22.

## **7 Ward and Town Political Party Committee Financial Filings**

Documents filings of ward and town political parties of their finances.

### **Retention Period:**

Retain 4 years.

Note: Documents filed with Director of Campaign Finance, Secretary of State, State parties, and town clerks.

55 MGL 18.

## **8 Political Action Committee (PAC) Financial Filings**

Documents filings of Political Action Committees of their financial status. Includes campaign finance reports and related correspondence.

### **Retention Period:**

Retain 4 years.

55 MGL 18.

## **9 PAC Cross Check**

Documents review of PAC checks to determine to what candidates PAC has contributed. Includes copies of cancelled checks and related correspondence.

### **Retention Period:**

Retain 10 years.

## **10 Inspection Requests**

Documents requests made for inspection of candidate and committee finance records.

### **Retention Period:**

Retain 2 years.

## **11 Audit Work Papers/Correspondence**

Documents audits of campaign finance records. Includes audit letters, account information, work papers, and related correspondence.

### **Retention Period:**

Retain 6 years after audit.

## **12 Campaign Finance Monitoring and Investigation Records**

Documents investigations and review of campaign financing, disclosure of expenditures and contributions, or other campaign finance matters that may be subject to abuse. Includes audit materials, interview notes, hearings and disposition agreements, and related correspondence.

### **Retention Period:**

Retain 20 years.

55 MGL 3, 55C.

## **13 Non-Filer Referrals to Attorney General**

Documents the referral to the Attorney General of candidates or committees who/which fail to file a report as required by law. Includes spreadsheets, lists, and all correspondence between agency, non-filer, and/or Office of the Attorney General.

### **Retention Period:**

Retain 10 years.

55 MGL 3.

## **14 Late Fines/Collections**

Documents include receipts, correspondence, copies of reports, and miscellaneous materials regarding late fines, collection, and waiver requests.

### **Retention Period:**

Retain 10 years.

55 MGL 3.

## **15 Landmark/Policy Setting Investigation Case Files**

Documents the Office of Campaign Finance's role relating to Landmark or Policy Setting investigations into possible violations of the campaign finance laws. Includes background support materials, evidence, investigative reports, actions taken, and related correspondence.

### **Retention Period:**

Permanent.

55 MGL 3.

## **16 Rules and Regulations Records**

Documents the development, review, and administration of the Office of Campaign Finance's rules and regulations as required by statute. Includes background support materials, drafts, public hearing documentation, and final CMR submissions to the Secretary of State's office for official filing.

### **Retention Period:**

(a) Final accepted rules and regulations and substantive support materials: Permanent.

(b) All other records: Retain 3 years.

111 MGL 31.

## **17 Legislation Records**

Documents the Office of Campaign Finance's role in the development, review, and administration of program legislation and subsequent policy development. Includes research and investigative materials, intergovernmental memoranda, legal research and attorney notes, drafts, and related correspondence.

### **Retention Period:**

(a) Summary and substantive support materials: Permanent.

(b) All other records: Retain until administrative use ceases.

## **18 Legal Opinion Records**

Documents the Office of Campaign Finance's role in the process to develop, request, respond to, or present opinions on legal matters directly relating to agency programs or functions. Includes legislative background materials, legal counsel opinions, notes, and related correspondence.

### **Retention Period:**

Permanent.

## **19 Legal Issues Records**

Consists of reference and background materials collated from different sources on policies, issues, and topics of a potential legal nature related to the Office of Campaign Finance's programs and functions.

### **Retention Period:**

Retain until administrative use ceases.

## **20 Correspondence of the Director**

Documents correspondence made or received by the Director of the Office of Campaign Finance relating to administrative, decision-making, or policy matters.

### **Retention Period:**

Retain 10 years.

## **21 Public Records and Fair Information Practices Act (FIPA) Requests**

Documents requests for access to Office of Campaign Finance records by members of the public, the press, or other persons or entities as allowed for in Massachusetts General Laws Chapter 66, 66A, or other statutes. Includes requests, related correspondence, rationales for redaction or withholding of information, response letters, Supervisor of Public Records opinions, summary listing of information provided, and substantive support materials.

### **Retention Period:**

Retain 3 years after last activity.

4 MGL 7(26); 66 MGL 10; 66A MGL.

# C Facilities, Transportation, and Construction

## C1 Facilities Management

### 1 Facilities Management Records

Documents the daily routine administration of facilities, buildings, and grounds. Includes key control documents, security monitoring records, hours of operation, parking assignments, visitor logs, water testing, fire control, incident reports, shift supervisors logs, facilities scheduling, special event preparations, regulatory reporting such as fire marshal reports, and related correspondence.

#### Retention Period:

- (a) Department of Mental Health (DMH): Retain 6 years.
- (b) All other agencies: Retain 3 years.

### 2 State Office Space Planning Records

Documents the coordination and planning between state offices and Division of Capital Asset Management (DCAM) to evaluate and respond to project proposals. Includes planning documents for state buildings, state-owned buildings occupancy reports, reconfiguration project files, and related correspondence.

#### Retention Period:

Retain 3 years.

### 3 Facilities Disability Access Records

Documents an agency's ongoing efforts to make its buildings and grounds accessible to, functional for, and safe for use by persons with disabilities in compliance with the Massachusetts Architectural Access Board (MAAD), the Americans with Disabilities Act (ADA), and other agencies' requirements where applicable. Records include analyses, studies, plans, reports, appeals and variances, policy documentation, legal opinions, and agency correspondence.

#### Retention Period:

Retain 3 years after the completion of improvement of the building, facility, or area.  
260 MGL 5B; P. L. 101-336.

### 4 Equipment Case Files

Documents the history of individual pieces of equipment purchased and/or maintained by the agency. Includes secondary copies of invoices, requisitions and purchase orders, packing slips, vendor information, instructions and manuals, warranties and guaranties, rental agreements, maintenance agreements, maintenance and repair documentation, and final disposition records.

#### Retention Period:

Retain 6 years after final disposition of equipment.

### 5 Property, Vehicles, and Equipment Management Records

Documents the management, repair, and use of state owned equipment, vehicles, and other property. Includes equipment inventory forms, vehicle usage and driver logs, maintenance reports, state motor vehicle accident reports, and related correspondence.

#### Retention Period:

Retain 3 years.

### 6 Buildings and Facilities Informational Data

Consists of data about buildings and facilities maintained as a reference in site folders, listings, or other formats.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

**7 Inventory Records**

Documents the tracking of supplies and stores. Includes inventory work sheets and forms, and listings, and related correspondence.

**Retention Period:**

Retain 3 years after superseded.

**8 Facilities Hazardous Materials Monitoring Records**

Documents each potentially dangerous chemical or other substance in use at a facility detailing its hazards, symptoms, and other data regarding exposure, use, and storage risks. Includes Material Safety Data Sheets (MSDS), inventory sheets, reports, and related correspondence.

**Retention Period:**

(a) Primary copy or unique records not held elsewhere: Retain 30 years.

(b) Secondary copies: Retain 3 years.

111 MGL 11, 14; 29 CFR 1910.1200.

**9 Facility Safety Records**

Documents the planning and review of safety in the workplace. Includes safety incident analysis, background support, safety committee minutes and notes, and related correspondence.

**Retention Period:**

(a) Records supporting changes to policy: Permanent.

(b) All other records: Retain 3 years.

**10 Facilities Fire, Safety, and Environmental Monitoring Records**

Documents facility and institutional fire, safety, and environmental monitoring and reporting. Includes fire and emergency drill reports, fire systems inspection reports, environmental cleanliness reports, underground tank inspections, and related reports and correspondence.

**Retention Period:**

Retain 3 years.

**11 Lease and Rental Administration Records**

Documents activities related to lease, rental, or tenant or vendor agreements, certifications of insurance, and contracts daily administration. Includes contracts, leases, and agreements, working papers, facility layouts and plans, tenant/lessee payment histories, vendor certifications, and related correspondence.

**Retention Period:**

Retain 6 years after contract final payment or close.

**C2 Construction Legal**

**1 Contractor State Qualification Certification Records**

Documents DCAM's evaluation, qualification, and certification of contractors applying to bid for specific public building projects over \$25,000. Includes Applications for Certification, historical and financial data, references, contractor qualification statements, and related correspondence.

**Retention Period:**

Retain 3 years after bid process has closed.

## **2 Contractor Debarment Actions Records**

Documents legal actions taken against contractors by DCAM for failure to adhere to licensing provisions and other regulations in order to place Contractor under suspension from public contracting. Includes complaints, investigatory documentation, Division of Administrative Law Appeals (DALA) hearings, and related correspondence.

### **Retention Period:**

Retain 20 years from debarment.

## **3 Construction Project Designer Contract Records**

Documents the process to determine contract awards for architectural or artistic designs of state buildings, grounds, projects, or art. Includes bid guidelines, illustrations, plans, proposals, and related correspondence.

### **Retention Period:**

(a) Substantive artwork, designs, photos, and accompanying reports, plans, or narratives: Retain until administrative use ceases. Permission from RCB not required for destruction.

(b) All other records: Retain 3 years after close of bid or award process.

## **4 Construction Project Contract Legal Records**

Documents the core of legal documents of individual construction contracts. Includes signed contracts, amendments, compliance with reporting requirements, and related correspondence.

### **Retention Period:**

(a) Landmark or policy-setting contracts: Permanent.

(b) Sealed portions of contracts: Retain 20 years.

(c) Central Artery/Tunnel records: Retain 10 years after final project acceptance.

(d) All other records: Retain 6 years after project final acceptance.

Note: Records included in this series may be reviewed by the State Archives prior to destruction.

## **5 Construction Project Professional Services Contract Records**

Documents the hiring of professionals for design or other pre-construction work.

### **Retention Period:**

Retain 6 years after expiration or final payment.

## **6 Construction Claims and Disputes Records**

Documents disputes between the state and contractors over change orders, contract compliance, contractor certification, claims, and related correspondence. Includes requests for hearings, change order files, submissions, and related correspondence.

### **Retention Period:**

(a) DCAM record heard by Division of Administrative Law Appeals (DALA) over change orders: Retain 15 years after final action.

(b) DCAM record for minority and women: Retain 15 years after final action.

(c) All other records: Retain 6 years after final acceptance.

Notes:

1. Refer to appropriate statute and/or regulation.

2. See also record series "B6-17 Contract Bid Award Investigation Records."

## **7 Construction Regulations Compliance Records**

Documents the monitoring of construction projects for compliance with contract provisions, wage rates, requirements for minority and women-owned enterprise participation. Includes investigation notes and reports, workforce reports, wage rates, and related correspondence.

**Retention Period:**

Retain 6 years after final acceptance.

**8 Construction Project Litigation Case Files**

Documents the litigation of cases involving state construction projects. Includes complaints, answers, pleadings, memorandum of law, affidavits, exhibits, and other materials and correspondence.

**Retention Period:**

(a) Landmark or noteworthy cases: Retain until administrative use ceases. Permission from RCB not required for destruction.

(b) All other records: Retain 15 years after final action or activity.

**9 Property Settlements and Judgments Payment Records**

Documents payment of monies owed due to settlements or judgments. Includes payment support documents and related correspondence.

**Retention Period:**

Retain 20 years.

**10 Minority/Women/Disadvantaged Business Certification Records**

Documents the application and subsequent certification activity of a minority, woman/and/or a disadvantaged-owned business relating to bidding for state and federally funded projects. Includes applications, supporting documentation, personal taxes and financial information, field notes and certification specialist reports, initial determinations, hearing notes, final determinations, decertifications, withdrawals, and related SOMWBA/business correspondence.

**Retention Period:**

(a) Certification logs and summaries: Permanent.

(b) Denied or decertified businesses: Retain 6 years.

(c) Certification documentation: Retain 6 years after inactive.

7 MGL 40N; 23A MGL 39-45; Executive Order 237 superseded by Executive Order 390; 425 CMR 2.01; 49 CFR 1-99; 13 CFR 121.

Note: State Office of Minority and Women Business Assistance (SOMWBA) is a state regulatory certification agency and a certification agent for the Massachusetts Highway Department (MHD), the Massachusetts Bay Transportation Authority (MBTA), the Massachusetts Port Authority (MWRA), the Massachusetts Turnpike Authority/Central Artery/Tunnel (MTA/CA/T), and the Massachusetts Aeronautics Commission (MAC).

**C3 Construction Planning**

**1 Master Plan for Development Records**

Overall plan for development of state property to be disposed of; amendments to plan, approvals by citizens' advisory committee, reuse committee or other local entity as required by applicable laws.

**Retention Period:**

(a) Final adopted plan: Permanent.

(b) All other records: Retain 10 years after last action.

**2 Capital Projects Planning Records**

Documents efforts to determine agency capital facility needs to assist in making budget requests, and overall planning needs.

**Retention Period:**

(a) Summary reports and substantive correspondence: Permanent.

(b) All other records: Retain 10 years.

### **3 Construction Study Library Files**

Documents final plans and studies relating to construction projects. Includes certified studies, traffic plans, environmental and engineering plans, testing reports, consultant reports, feasibility studies, and related correspondence.

#### **Retention Period:**

Review by the Archives 15 years after project is completed.

### **4 Capital Budget Request Records**

Documents DCAM review of state agency annual requests for capital outlay appropriations. Includes requests for funds, request support materials, long range plans, and related correspondence.

#### **Retention Period:**

(a) Substantive planning correspondence and minutes not found elsewhere: Permanent.

(b) All other records: Retain 10 years.

Note: Capital Budget Requests ultimately are published as part of the Governor's Annual Budget Recommendations and 'House 1' as required by 579 MGL.

## **C4 Pre-Construction**

### **1 Construction Project Designer Selection Records**

Documents the process to select designers for construction projects. Includes advertisement, scope of work, applications, and Designer Selection Board finalists' letters, Commissioner's initialed selection, and final evaluation of designer.

#### **Retention Period:**

Retain 6 years from final acceptance (E-2) of project.

### **2 Construction Project Bid Records**

Documents the process to bid on state construction projects. Includes contractor qualification applications for certification, securities for bids bonds, bid proposals, bid advertisements, bid reviews and awards, and related correspondence. May also include emergency waivers of the bid process to allow emergency repairs of state property and public works.

#### **Retention Period:**

(a) Contractors qualification documents: Retain 3 years from expiration.

(b) Bid bonds: Return to bidders after general bid or destroy if unreturnable.

(c) Bid drawings and specification security deposits: Retain until drawings returned.

(d) Non-awarded bids: Retain 3 years after end of bid process.

(e) Bid process advertisements and procedures documentation: Retain 6 years after final acceptance of project or 10 years after final acceptance for Central Artery/Tunnel records.

(f) Awarded bids and advertisements: Retain 6 years after final acceptance of project or 10 years after final acceptance for Central Artery/Tunnel records, or 15 years after final acceptance for DCAM records.

801 CMR 25.00; 800 CMR 2.14.

### **3 Construction Emergency Bid Waiver Records**

Documents waiver of bidding procedures for emergency repairs of state property, public buildings or public works.

#### **Retention Period:**

Retain 6 years after decision.

## **C5 Construction Management**

### **1 Construction Project Management Records**

Documents all phases of the administration of construction projects involving improvements to land, buildings and facilities, and waterways. Includes project manager's project files such as contracts, plans and specifications, work orders, subcontractor documentation, daily journal and schedule, and related correspondence.

#### **Retention Period:**

- (a) Archaeological materials and records, and historical designation documentation: Permanent.
  - (b) Final as-built plans, project summaries, and specifications books and reports: Permanent.
  - (c) Survey reports and surveyors' field books: Permanent.
  - (d) Land disposition vital records including land disposition agreements, title certifications, deeds, or easements acquired: Permanent.
  - (e) Construction photographs: Review by the Archives 6 years after final project acceptance or abandonment.
  - (f) Landmark projects: Review by the Archives of all materials 6 years after final project acceptance or abandonment.
  - (g) Central Artery/Tunnel Project Records: Retain 10 years after project close and subject to review by the Archives.
  - (h) Scheduling and progress summary documentation including Gantt and PERT charts: Review by the Archives 6 years after final project acceptance or abandonment.
  - (i) Status and other narrative reports including feasibility and consultants reports: Review by the Archives 6 years after final project acceptance or abandonment.
  - (j) Public relations records: Review by the Archives 6 years after final project acceptance or abandonment.
  - (k) All other records: Retain 6 years after final project acceptance or abandonment.
  - (l) Materials testing samples such as concrete borings, grout samples, x-rays: Retain representative sample for projects involving dams, tunnels, and bridges for the life of the structure; otherwise discard after project acceptance.
  - (m) Environmental monitoring and reporting records: Review by the Archives 6 years after final acceptance to identify unique documentation not held as permanent elsewhere.
- See also record series "C5-7 Geologic Samples and Records."  
579 MGL; 149 MGL; 30 MGL; 39M MGL.

### **2 Construction Project Planning and Engineering Records**

Documents state engineers' role in the execution of construction projects. Includes plans, plan reviews, issues documentation, reports, and related correspondence.

#### **Retention Period:**

Review by the Archives 6 years after final acceptance.

### **3 Construction Project Cost Oversight Records**

Documents reports required of state facilities spending funds transferred to them by DCAM in order to monitor project costs. Includes user agency request letters, Commissioner's letter of transfer, Master Oversight reports at commencement and completion, and quarterly updates.

#### **Retention Period:**

Retain 3 years.

#### **4 Construction Project Cost Accounting Records**

Documents the fiscal account tracking and reconciliation of all phases of individual construction projects. Includes proposals, payment documents, monthly expense reports, control sheets, detailed ledger listings, financial status reports, owner controlled insurance program, and related correspondence.

##### **Retention Period:**

- (a) Central Artery/Tunnel records: Retain 10 years after final project acceptance.
- (b) Owner controlled insurance program 6 years after final project acceptance.
- (c) All other records: Retain 6 years after final project acceptance.

#### **5 Facility Memorials and Dedications Records**

Documents records created as a result of naming a facility after an individual.

##### **Retention Period:**

Permanent.

#### **6 Building Plans and Specifications Records**

Documents facility or building plans and diagrams of structure or internal systems. Includes plans, diagrams, schematics, specifications, and related correspondence. Provides a record of construction plans and drawings of state facilities and building for the use of facilities staff in daily monitoring, maintenance and upkeep.

##### **Retention Period:**

- As-built drawing set or best available copies of plans, drawings and specifications: Permanent (where not held as permanent elsewhere).
- (b) Shop Drawings: Retain 6 years after project completion.
- (c) Facilities management set: Retain for the life of the facility or building.
- (d) As-bid plans and specifications: Retain one set 6 years after project completion.
- (e) Duplicate convenience sets: Retain until administrative use ceases. Permission from RCB not required for destruction.
- (f) All other records: Retain for the life of the facility or building.

#### **7 Geologic Samples and Records**

Provides a record of the field investigation data used to determine the engineering characteristics and suitability of the soil and bedrock for proposed construction, to identify mineral and water resources, to determine subsurface environmental conditions, or for scientific and educational purposes. Materials include cylindrical rock cores, rock specimens, cuttings, and thin sections; disturbed and undisturbed soil borings and samples obtained from sub subsurface borings and soils. Records include drill logs, instrumentation installation records, chemical and physical test results and analysis reports, field notes, photographs, maps, and other related documentation.

##### **Retention Period:**

- (a) Rock cores, rock specimens, cuttings and thin sections: Permanent.
- (b) Soil samples: Review by engineers, the state geologist and the Archives to determine if representative samples or all samples should be maintained permanently. Otherwise, retain until final project acceptance.
- (c) Geologic tests, reports, photographs, maps and drill logs: Permanent.

#### **C6 Property Management**

##### **1 Highway and Bridge Maintenance Records**

Documents the ongoing maintenance and monitoring of highways and bridges. Includes automobile accident reports, damage to property, traffic signal reports, periodic maintenance inspection, dispatcher reports, incident reports, scheduled maintenance, winter storm response reports, salt use reports, toll

equipment, signage upkeep, drawbridge inspections, bridge maintenance and monitoring reports, and related correspondence.

**Retention Period:**

(a) Contract related records: Retain 6 years after final completion of work.

(b) All other records: Retain 3 years.

(c) Background resource file on property, legal and activity history: Retain until administrative use ceases. Permission from RCB not required for destruction.

## **C7 Real Estate and Land Use**

### **1 State Property Management Monitoring Records**

Documents the monitoring of management companies for the management of certain state office buildings and in performance of DCAM responsibilities. Includes management contract, annual operating budget, building services sub-contracts, use and occupancy agreements, subleases, and related correspondence.

**Retention Period:**

Retain 6 years after expiration of the contract.

### **2 Housing Tenants Records**

Documents the process to rent or lease housing to qualified applicants. Includes applications, needs assessments, determinations, and leasing files.

**Retention Period:**

(a) Denied applicant records: Retain 3 years.

(b) All other records: Retain 6 years after final action.

24 CFR 982.158.

### **3 State Leasing Reports**

Documents reports listing new lease and transaction information and required by 7 MGL.

**Retention Period:**

(a) Official copy: Permanent.

(b) All other copies: Retain 5 years.

### **4 State Property Inventory Reports**

Documents every parcel of state-owned land in every city and town in the Commonwealth as prepared annually for the Legislature.

**Retention Period:**

Permanent.

### **5 Authorities Real Estate Planning and Development Records**

Documents ongoing planning and development of land and properties owned, leased, or managed by MASSPORT, the MBTA, Highways or Turnpike Authorities. Includes, plans, development reports, background support materials, project files on specific properties such as the Boston Fish Pier or the World Trade Center, and related correspondence.

**Retention Period:**

Retain 6 years after final activity.

### **6 Real Estate Disposition Proposal Records**

Documents proposals to sell or acquire property as mandated in 7 MGL 40H.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

**7 Real Estate Disposition Disclosure Records**

Documents required disclosures of parties involved in the leasing or acquisition of state land as mandated by 7 MGL 40J.

**Retention Period:**

Permanent.

**8 Fixed Asset Recording Records**

Documents the official acquisition, betterment, or disposal of fixed assets.

**Retention Period:**

Permanent.

**9 Real Estate Disposition Records**

Documents real estate disposition projects undertaken when mandated by legislation in compliance with 7 MGL 40 F 1/2. Includes background data, compliance data, project and property management data, polling documents, Citizens Advisory Committee documents, development guidelines, appraisals, photographs, master plan data, land disposition agreements, deeds, easements, and related correspondence.

**Retention Period:**

(a) Land records: Permanent.

(b) All other records: Retain 10 years after close of final agreement.

**10 Real Property Vital Records**

Documents important land documents such as deeds, land disposition agreements, easements, title certifications, and similar documents relating to land acquired by the Commonwealth or to the disposition of state land with the grantee having continuing obligations.

**Retention Period:**

Permanent.

Note: Deeds and easements are recorded at applicable Registries of Deeds.

**11 State Property for Sale Inquiries Records**

Documents routine inquiries into the availability of state land for sale initiated outside the process in 7 MGL.

**Retention Period:**

Retain 3 years.

**12 State Agency Lease Proposal Records**

Documents agencies proposals for leases as reviewed by DCAM.

**Retention Period:**

Retain 3 years.

**13 State Agency Lease Procurement Records**

Documents leases procured on the behalf of user agencies. Includes lease and all amendments, beneficial interest disclosure statements, certificates of tax compliance, estoppels, subordination agreements, change of ownerships, and related correspondence.

**Retention Period:**

Retain 6 years after expiration of lease.

## **14 State Property Access License Records**

Documents licenses issued in order to provide access to state property for a limited time period.

### **Retention Period:**

Retain 10 years after expiration of license.

Note: Licenses are not a disposition of property interest, therefore there is no 7 MGL process requirement.

## **15 Land Title Examiner Reference Records**

Documents indexes and lists created as a convenience for title examiners and the public. Includes grantor/grantee indexes, lien indexes, bankruptcy lists, and other sources.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **16 Land Registration Records**

Documents the recording and registering of documents with the Registry of Deeds relating to land ownership. Includes deeds, mortgages, subdivision rules and regulations, executions, depositions, and plans relating to registered land.

### **Retention Period:**

Permanent.

36 MGL 1; 36 MGL 15; 16 MGL 15.

## **17 Land Survey Records**

Documents land surveys undertaken by the state.

### **Retention Period:**

Permanent.

## **C8 Transportation Management**

### **1 Certificate Files (A&B) Truck or Bus**

Documents the certification of commercial vehicles not limited to specific values, towers etc. Materials must be held beyond the life of the company, per MGL c. 159 A&B. These files include core documents: Original Applications, Certificate Transfer Certification, Amendments, Approval of Sale, and Memorandum. Included is Correspondence regarding Sales or Transfers and Transcripts of Hearings.

### **Retention Period:**

Retain 3 years after revocation, denial, cancellation or superseded.

### **2 Interstate License Certification Files**

Certification records carries use by carriers engaging in interstate trade. These include Licensing Form, United States Department of Transportation Authority statement, and renewal forms and permits.

### **Retention Period:**

Retain 3 years after cancellation or superseded.

Note: United States Department of Transportation hold originals agency has copies only.

### **3 Vehicle Identification Devices and Applications for Drivers**

These records include: vehicle information, driver information and physical medical forms. They also include: Applications for Plate Decals, Stamps etc., and licensure identification items by commercial vehicle owners or operators.

### **Retention Period:**

Retain 3 years after receipt expiration.

#### **4 Complaint/Investigation/Hearing Records (A)**

The records address consumer complaints, or investigating potential violations of commercial motor vehicle companies or carriers. These documents include stenographic and typed transcript of hearing and supporting correspondence and reports.

##### **Retention Period:**

Retain 2 years after closing if no litigation pending.

Note: Complaint number arranges all records chronological.

### **C9 Department of Housing Community Development**

#### **1 Local Housing Authorities**

This office oversees and regulates the day-to-day operations of more than 243 local housing authorities to assure that they use sound management practices, follow the General Laws of the Commonwealth, and enforce compliance with the regulations of the department. These regulations cover a variety of areas including: tenant selection, admission and eligibility criteria, and affirmative action. The office also provides funds to housing authorities to build or buy structures for public housing.

- (a) Cooperation Agreements.
- (b) Final Development Cost Records including forms PHA-2152, PHA-2399.
- (c) The General Depository Agreement.
- (d) Minutes of Meetings of Local Authorities.
- (e) Property Ledger.

##### **Retention Period:**

Permanent.

#### **2 Local Housing Authorities**

- (a) Analytical Tenant Ledger Control.
- (b) Cash Receipts.
- (c) Daily Statement of Operations.
- (d) Miscellaneous Charge and Credit Tickets.
- (e) Financial and Operating Reports derived from Project General Ledger.
- (f) Balance Sheets.
- (g) Analysis of Surplus from Operations.
- (h) Statement of Land.
- (i) Statement of Operating Receipts and Expenditures.
- (j) Statement of Income and Expenses.
- (k) Statement of Initial Operating Deficit.
- (l) Computation of Payments in Lieu of Taxes.
- (m) Annual statement of accruing annual contributions.
- (n) Analysis of Fiscal Agent Funds.
- (o) Analysis of debt service funds.
- (p) Purchase Orders and Procurement copies.
- (q) Reimbursable Rent Charge.
- (r) Request for Refund of Security Deposit.
- (s) Unearned Rent.
- (t) Tenants Accounts Receivable.
- (u) Rent Roll control and analysis of dwelling rent charges.
- (v) Expense Analysis Register.

- (w) Income Analysis Register.
- (x) Initial Operating Register.
- (y) Inventory Supplies.
- (z) Investment Register.
- (aa) Labor Cost Distribution.
- (bb) Management Reports.
- (cc) PHA-2209,1227;1235;1245.
- (cc) Materials and Supplies Stock Controls.
- (ee) Petty Cash Vouchers.
- (ff) Requisitions for Supplies and Materials.
- (gg) Trial Balance.

**Retention Period:**

Retain 1 year after audit.

**3 Local Housing Authorities**

- (a) Withdrawn and Ineligible Applications from Families of Servicemen and Displaced Families.
- (b) Operating Budgets.
- (c) Certified Reports of Audits.

**Retention Period:**

Retain 3 years.

**4 Local Housing Authorities**

Bank Statements.

- (a) Reconciliations.
- (b) Cancelled Checks.
- (c) Cash Disbursement Register.
- (d) Cash Receipts Register.
- (e) Combined Cash Journal.
- (f) Contract Register (from date of last audit).
- (g) Journal Vouchers and supporting documents.
- (h) Payrolls.
- (i) Project General Ledger.
- (j) Travel Expense Records.
- (k) Voucher Check Copies with supporting documentation.
- (l) Revolving fund.
- (m) Tenant Accounts Receivable ledger sheets.
- (n) Tenant Rental Register.

**Retention Period:**

Retain 7 years.

**5 Local Housing Authorities (Miscellaneous)**

- (a) Adjustment Slips (rental fee): Retain 2 years after audit.
- (b) Eligible Applications: Retain until apartment is allocated.
- (c) Development Cost Analysis Register and Development cost ledger: Retain 7 years after completion of project.

- (d) Employee reports, service records, earnings records, and leave records: Retain 5 years from termination of employment.
- (e) Schedule of Tenants Accounts Receivable: Retain until superseded.
- (f) Tenant Files of vacated tenants: Retain 7 years following termination.
- (g) Management Contracts for Utilities and other services: Retain 7 years after final payment.
- (h) Non-expendable equipment record cards, after audit following disposition of audit.
- (i) Purchase contracts and related papers: Retain 7 years from date of final payment.
- (j) Schedule of Maximum income limits and related correspondence and schedules of PHA consolidated supply contracts: Retain until superseded.
- (k) Administration Contracts including amendments waivers and related correspondence: Retain 7 years from completion of contract.
- (l) Certificates of Cremation of Bonds and interest coupons, after audit following expiration of bond.
- (m) Construction contracts: Retain 7 years from date of final payment.
- (n) Fiscal agent's agreement: Retain 7 years after completion.
- (o) Housing surveys and census tabulations: Retain until administrative use ceases. Permission from RCB not required for destruction.
- (p) Insurance and Fidelity policies: Retain until after audit following expiration or cancellation date.
- (q) Insurance register: Retain until superseded.
- (r) Tenants security deposit record: Retain until after audit following termination of lease.

**Retention Period:**

As listed.

**C10 MassHighway Department**

**1 Consultant Selection Documents**

Includes the Scope of Work, Work hour Estimate, Request for Consultant Services, Announcement of Intent, RFQ submittals, Proposals, Selection Committee scoring matrixes and correspondence with firms. This series documents the procedures used to select the consultant.

**Retention Period:**

Retain 7 years.

**2 Consultant Contract Book**

Includes Standard Contract Form and Instructions, Scope of Services, Budget, Disclosure Statement, (Income), Disclosure Statement (Persons), Affirmative Action Certificate, Standard Provisions, Special Provisions, Consultant's Final Fee Proposal and MMARS Data. This series is a binding agreement between MassHighway and the Design Consultant for services.

**Retention Period:**

Retain 7 years.

Note: Office of Contracts and Records holds the "Record Copy" Duplicate in Consultant Contracts Section.

**3 Consultant Contract Amendments**

Includes correspondence and Board Memos related to contract modifications such as Extension of Time, Extra Work, Additional Funds, and Contract Completion etc. The purpose of this series is to document the agreement by MassHighway and the Consultant of any changes to the terms of the contract.

**Retention Period:**

Retain 7 years.

Note: Office of Contracts and Records holds the "Record Copy."

#### **4 Consultant Invoices**

Includes PRC Form, Estimate of Fee Form, Certified Payroll Report, Certified Narrative, Consultant Progress Report, Direct Expense Approval Letter, Direct Expense Summary, Direct Expense Back-up and Record of Payment to DBE. This series provides the basis for calculating partial payments based on the progress of the work.

**Retention Period:**

Retain 7 years.

Note: Fiscal Management and Consultant Contracts Section maintain copies.

#### **5 Consultant Correspondence**

This series includes: correspondence between MassHighway and the Consultant related to the execution of the Consultant Contract, such as Notice to Proceed for assignments, approval of direct expenses, and miscellaneous issues. This series provides written documentation of the resolution of minor contract issues.

**Retention Period:**

Retain 7 years.

#### **6 Project Correspondence (External)**

Correspondence between MassHighway and entities outside of the agency including, municipalities, abutters, other state agencies and federal agencies related to the project design. This series provides written documentation of the design development process.

**Retention Period:**

Retain 7 years.

#### **7 Project Correspondence (Internal)**

Correspondence between various sections and districts within MassHighway. Typically for the purposes of transmitting project designs and project review comments. This series provides written documentation of the design development process.

**Retention Period:**

Retain 7 years.

Note: Duplicates of most documents are retained in other Sections of MassHighway.

#### **8 Project Documentation and Reports**

The purpose of these documents is to present a discussion and analysis of how various design features are determined. This series includes: Functional Design Report, Design Exception Report, Geotechnical Report, Hydraulics Report, Bridge Type Study, and Value Engineering Study.

**Retention Period:**

Permanent.

Note: Duplicates of most documents are retained in other sections of MassHighway.

#### **9 Environmental Permits**

Obtained as applicable in accordance with National Environmental Policy Act, Massachusetts Environmental Policy Act, Wetland Protection Act, US Coast Guard, Clean Water Act, Rivers and Harbors Act, Coastal Zone Management Act, Water Pollution Control Act, etc. These Permits are issued by various Regulatory Agencies for the purposes of protecting the environment by defining the manner in which various construction activities are to be performed.

**Retention Period:**

Retain 7 years.

Note Copies of most permits are included in the Construction Contract. Environmental Section retain until expiration.

### **10 Public Hearing Transcript**

A verbatim transcript of the design public hearing including the sign in sheet and comment letters received subsequent to the hearing. This series documents the public participation process.

#### **Retention Period:**

Permanent.

Note: Copies are retained in the Chief Engineer's Office, Right of Way Bureau and the District Office.

### **11 Meeting Minutes**

This series is for the purpose of recording the discussions, recommendations and action items resulting from a project meeting. This series includes the list of meeting attendees as well as a narrative describing the meeting.

#### **Retention Period:**

Permanent.

### **12 Construction Contract Awards**

This series is for the purposes of documenting that the bid has been reviewed and if appropriate recommend award. Also to provide the necessary information to encumber funds for the Construction Contract. This series includes: Bid Tabulations, letter from consultant verifying quantities, Construction Pars No. Form, FMISD Form, Construction Contract MMARS Encumbrance Form, FIN 681 Form, and Interoffice Memorandum from the project Management Section to the Construction Section.

#### **Retention Period:**

Retain 7 years.

### **13 Construction Proposal Book**

This series is a binding agreement between MassHighway and the Construction Contractor for the construction of the project. This series includes: Addenda, Notice to Contractors, Supplemental Specifications, M/WBE Requirements, EEO Regulations, Wage Rates, Scope of Work, Special Provisions, Detailed Sheets, Sketches, Environmental Permits, Affidavit and Itemized Bid Proposal.

#### **Retention Period:**

Retain 7 years.

Note: The Construction Contracts Section retains a copy.

### **14 Surveying Services Contract Book**

This series contains standard contract form, scope, budget, standard and special provisions, exhibits and signed proposal documents. This series documents the binding agreement between MassHighway and the survey consultant for services.

#### **Retention Period:**

Seven years after the date of the approval of the Contract Completion Form for the consultant contract, and completion of the Audit Section Review.

Note: Office of Contracts and Records Holds the "Record Copy." Consultant Contracts, Boston Survey, District Survey, Construction and contractors' office each maintain a copy.

### **15 Payment Commodity Forms (PRC)**

This series provides the basis for bi-weekly billing for services as detailed in the contract provisions. It consists of consultant invoice and cost breakdown, direct expense back-up, and estimate of fee record.

**Retention Period:**

Seven years after the date of the approval of the Contract Completion Form for the consultant contract, and completion of the Audit Section Review.

Note: Office of Contracts and Records Holds the "Record Copy." Consultant Contracts, Boston Survey, District Survey, Construction and contractors' office each maintain a copy.

**16 Daily Report of Contract Survey Party HED-121**

These are postcards mailed to the District Survey Office signed by all survey party members. This series provides signed documentation of personnel present on project site basis for bi-weekly billing.

**Retention Period:**

Seven years after the date of the approval of the Contract Completion Form for the consultant contract, and completion of the Audit Section Review.

Note: The original is held at the District Survey Office.

**17 Weekly Progress and Time Report HED-880**

This is a weekly report by Chief of Party to District Survey Engineer and to contractor. This series provides documentation of personnel, EEO reporting and weekly progress as basis for bi-weekly billing.

**Retention Period:**

Seven years after the date of the approval of the Contract Completion Form for the consultant contract, and completion of the Audit Section Review.

Note: Two signed originals one to District Survey, Engineer, the other to contractor, a faxed copy to Boston Survey.

**18 Application for Employment Surveyors Field Personnel form HED-007**

This series is a signed verification of education and experience. It provides proof of survey party members qualifications, fulfills a contract requirement.

**Retention Period:**

Seven years after the date of the approval of the Contract Completion Form for the consultant contract, and completion of the Audit Section Review.

Note: One signed original to District Survey Engineer.

**19 Maintenance Fuel Receipts**

This is a computer generated report, it is used to reference vehicle consumption by vehicle, fuel site or fuel type.

**Retention Period:**

Retain 5 years.

**20 Radio Logs**

This series is used to reference incidents, accidents and road conditions on the highway system by time, date and location. This series is made up of typed and electronic entries of radio communications.

**Retention Period:**

Retain 7 years.

Note: The district offices and operations center maintain copies.

**21 Roadside Maintenance Contracts**

This series is used to document adherence to procurement regulations and department policies. This series is made up of; contract documents, financial forms, and correspondence from preliminary estimate to award.

**Retention Period:**

Retain 6 years after completion of contract.

Note: Contract Section and district offices maintain copies.

**22 Equipment-Heavy & Light Repair Orders**

This series is used to initiate and document vehicle repairs. This series is composed of written vehicle repair work orders.

**Retention Period:**

Retain 5 years.

Note: The district equipment section maintains a copy.

**23 Snow & Ice PV's**

This series is used to document payment for hired vendor for hours of services provided during Snow and Ice Operations.

**Retention Period:**

Retain 6 years.

Note: The district headquarters and depots maintain copies.

**24 Inmate Litter Assistance Information**

This series is used to document adherence to department policies. This series is made up of Interdepartmental Service Agreement (ISA) approvals, financial documents, and correspondence pertaining to the litter inmate program.

**Retention Period:**

Retain 7 years.

**C11 Motor Vehicles (formerly Series J5)**

**1 Motor Vehicle Operators Merit Rating Records**

Documents operator's record of driving infractions affecting status of license as determined by the courts and the merit rating board.

**Retention Period:**

Retain 50 years.

**2 Motor Vehicle Driver License Exams**

Documents exams given to licensed drivers.

**Retention Period:**

Retain 1 year or until administrative use ceases. Permission from RCB not required for destruction.

**3 Motor Vehicle Accident Investigation Records**

Documents motor vehicle related investigations of hit and run, bodily harm, property damage, death, and theft. Includes incident reports, witness statements, police reports, background support materials, and related correspondence.

**Retention Period:**

(a) Fatalities: Permanent.

(b) Hit and run and personal injury: Retain 6 years after close of case.

(c) All other records: Retain 3 years.

#### **4 Motor Vehicle Title Registration and Renewal Records**

Documents the process to register the owners of motor vehicles and to provide them with Certificates of Title. Includes applications (RMV-1), registration renewal cards (RMV-2), surrendered title, application for amendments, and any other supporting affidavits.

**Retention Period:**

Retain 25 years.

90 MGL 30.

#### **5 Uniform Traffic Citations Records**

Documents the issuance of traffic tickets.

**Retention Period:**

Retain 3 years after paid.

#### **6 Motor Vehicle Accident Reports**

Consists of Police Accident Reports (CRA-65) and Operator Accident Reports (CRA-23).

**Retention Period:**

(a) Registry of Motor Vehicles: Retain 6 years.

(b) Police Departments: Retain 6 years.

#### **7 Motor Vehicle Operators Licensing and ID Card Records**

Documents the process to register motor vehicle operators and to provide them with driver's licenses and to register individuals requiring photo ID. Includes auto and school bus applications and ID card applications (RMV-30/34) and related correspondence.

**Retention Period:**

Retain 25 years.

#### **8 Motor Vehicle Inspection Stations Records**

Documents the inspection of vehicles to meet environmental and safety standards.

**Retention Period:**

(a) Program annual reports to the EPA: Retain 5 years.

(b) Test results: Retain 3 years.

310 CMR 7.20; 540 CMR 4.00.

#### **9 Motor Vehicle License Plate Applications Records**

Documents applications for license plates.

**Retention Period:**

Retain 25 years.

#### **10 Motor Vehicle Reports**

Documents stolen vehicles, license plate loss, and other reports required to be filed with the Registry of Motor Vehicles.

**Retention Period:**

Retain 3 years.

#### **11 Motor Vehicle Towing Reports**

Documents reports of towed vehicles.

**Retention Period:**

Retain 3 years.

## **12 Motor Vehicle Citations, Parking Records**

Documents the issuance of parking tickets.

### **Retention Period:**

Retain 3 years after final payment or incident closure.

## **13 Motor Vehicle Citations, Moving Violations Records**

Documents moving violations involving motor vehicles that did not result in arrest.

### **Retention Period:**

Retain 3 years.

## **14 Boat; Recreation Vehicle; Snow Vehicle Operator; Accident Reports**

Consists of Operator Accident Reports.

### **Retention Period:**

(a) Fatalities: Permanent.

(b) All other reports: Retain 6 years.

## **15 Boat; Recreation Vehicle; Snow Vehicle; Accident Investigation Records**

Documents boat, recreation vehicle, and snow vehicle related investigations, of deaths, hit and run, bodily harm, property damage, and theft. Includes incident reports, witness statements, police reports, background support materials, and related correspondence.

### **Retention Period:**

(a) Fatalities: Permanent.

(b) All other records: Retain 6 years.

## **16 Registry of Motor Vehicles (Revenue Operations) Revenue Reports**

These reports are used to create an audit trail and to review transactions. These reports include: Daily Activity Report, Sales Tax Report, Over/Short Report, Failed Cash Report, Interims Report, Daily Deposit Listing, Override Report, CPR Report, Drawer Delete Report, MMARS RR/CT forms report, and MMARS 466c report.

### **Retention Period:**

1 year after audit or 7 years whichever is sooner.

## **17 Registry of Motor Vehicles (Revenue Operations) Bad Check Information**

These are the reports and supporting documentation for bad checks. These documents include: bad checks, alars system printout, supporting documentation, and customer correspondence.

### **Retention Period:**

Retain 7 years.

## **18 Registry of Motor Vehicles (Revenue Operations) Deposit Information**

These are the reports and all the supporting documentation for bank deposits. This series includes: deposit slips and attachments, alars cpe, ciz, cpc, cash transfer logs, and bank deposit logs, locking cash bag logs, override logs, backup activity forms, letters of notification, monthly over/short, clerk over/short form, clerk justification form, Sweda register tapes, daily revenue sheets, and bank statements.

### **Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

## **19 Registry of Motor Vehicles (Revenue Operations) Rebate Documentation**

These are reports and all the supporting documentation for Rebates. These reports include: Refund requests, customer correspondence, rebate denials, rebates issued, MMARS RF forms, funding request

book, cashed rebate checks, bank statements, scanner transaction report, unused checks old account, funding report, cross reference register, and funding requests reports.

**Retention Period:**

Retain 7 years.

**C12 Registry of Motor Vehicles Revenue Operations (formerly Schedule No. 35/91)**

**1 Revenue Reports – Drawer Date Activity Report**

Lists detail of all transactions processed. Report provides audit trail and is used to review transactions and fees collected. Investigations may require use of this report.

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**2 Revenue Reports – Drawer Date Activity Report on Microfiche**

Lists detail of all transactions processed. Report provides audit trail and is used to review transactions and fees collected. Investigations may require use of this report.

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**3 Revenue Reports – Sales tax Report**

Lists detail of sales tax transactions (included in 1 Revenue Reports – Drawer Date Activity Report). Report provides audit trail and is used to review transactions and sales tax collected.

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**4 Revenue Reports – Daily Over/Short Report**

Lists clerical overages or shortages in the collection of fees. Report is used to record data onto clerks' cards for evaluation of clerks' cash handling performance. Supports data submitted to State Auditor per Chapter 647, Acts of 1989.

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**5 Revenue Reports – Failed Cash Report**

Lists transactions updated where fees not reflected on clerks' records on RMV System (ALARS). Report used to confirm fees collected when they are not reflected on clerks' records. Auditing tool.

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**6 Revenue Reports – Interims Purged Report**

Lists certain transactions that are purged from the RMV System (ALARS) after 3 days. Report provides hard copy of transactions purged from RMV System (ALARS).

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**7 Revenue Reports – Daily Deposit Listing**

Lists daily deposits by RMV Branch for Registry fees, Sales Tax and Inspection Sticker fees. Report provides deposit information for all offices.

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**8 Revenue Reports – Override Reports**

Lists all overrides performed for each day. Report is used to review clerical overrides and ensure unauthorized overrides are not performed.

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**9 Revenue Reports – CPR Report**

Lists clerk cash drawers that are re-opened. Provides audit tool to control and monitor the re-opening of clerk cash drawers.

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**10 Revenue Reports – Drawer Delete Report**

Lists clerk deposit data when purged from RMV System (ALARS). Provides information in hard copy form when unavailable on RMV System (ALARS).

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**11 Bad Check Information – Outstanding Bad Checks**

Checks maintained to pursue reimbursement.

**Retention Period:**

Retain 7 years.

**12 Bad Check Information – RMV System Printouts of Bad Checks**

Printouts confirm entry of bad checks on RMV ALARS System.

**Retention Period:**

Retain 7 years.

**13 Bad Check Information – RMV System Printouts of Bad Check Payments and Supporting Documents**

Printouts confirm entry of bad check payments on RMV ALARS System and document substantiating payment entry.

**Retention Period:**

Retain 7 years.

**14 Bad Check Information – Correspondence with Customers**

Maintained for justification of status of bad checks.

**Retention Period:**

Retain 7 years.

**15 Bad Check Information – Correspondence Between RMV Offices Relating to Bad Checks**

Correspondence for proper bad check status and suspension status on ALARS. SYSM used between offices.

**Retention Period:**

Retain 7 years.

### **16 Deposit Related Documents – RMV Computer System (ALARS) Documents**

CPE: office deposit information; ClZ: clerks' daily deposit information; and CPC: clerk cash drawer closing. These documents display deposit information that supports totals on deposit slips.

#### **Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

### **17 Deposit Related Documents – Deposit Slips and MPCA10 Attachment**

Forms prepared for deposits. Receipted copies are maintained.

#### **Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

### **18 Deposit Related Documents – Cash Transfer Log**

Log documents transfer of RMV funds between employees when clerks close-out.

#### **Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

### **19 Deposit Related Documents – Monthly Bank Deposit Log**

Log documents transfer of funds to Law Enforcement personnel.

#### **Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

### **20 Deposit Related Documents – Locking Cash Bag Logs**

Log documents transfer of funds between RMV employees during the day.

#### **Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

### **21 Deposit Related Documents – Override Log**

Log documents clerks' overrides of RMV System calculated fees.

#### **Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

### **22 Deposit Related Documents – Back-up Activity Sheets**

Sheets document transactions processed manually when RMV System is unavailable.

#### **Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

### **23 Deposit Related Documents – Letters of Notification**

Letters used to inform Boston Cashier's Office of certain clerical shortages.

#### **Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

### **24 Deposit Related Documents – Monthly Over/Short Report Used by Managers**

Report used to evaluate clerks' cash handling performance.

#### **Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

### **25 Deposit Related Documents – Clerical Over/Short Acknowledgment**

Documentation necessary for clerical discipline if required to correct clerical cash handling problems.

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**26 Deposit Related Documents – Clerk Over/Short Justification Form**

Used to inform the Boston Cashier's Office of justified clerical cash variances.

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**27 Deposit Related Documents – Sweda Register Taps for Years 1985-86**

These tapes are no longer generated. Used as a register tape to record transaction amounts and generate a total.

**Retention Period:**

Retain 3 years.

**28 Deposit Related Documents – Daily Revenue Sheets**

Sheets used for entry of revenues listed by RMV Branch.

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**29 Deposit Related Documents – Revenue Account Bank Statements (approximately 80 accounts)**

Bank statements and reconciliations.

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**30 Rebate/Refund Documents – Customer Refund Requests for Duplicate Payments 1986**

These requests of approximately 400 were not honored due to a lack of supporting documentation.

**Retention Period:**

Retain 7 years.

**31 Rebate/Refund Documents – Customer Correspondence**

Correspondence for rebates and exceptions.

**Retention Period:**

Retain 7 years.

**32 Rebate/Refund Documents – Customer Rebate/Refund Requests Denied**

Requests from parties who were ineligible for a rebate or refund.

**Retention Period:**

Retain 7 years.

**33 Rebate/Refund Documents – Rebates or Refunds Processed**

Rebate/refund applications and supporting documents of refund/rebates processed.

**Retention Period:**

Retain 7 years.

**34 Rebate/Refund Documents – Funding Request Books for 1985-86**

Books list all rebates/refunds included on report whose rebate/refunds were approved for payment by the Comptrollers Office.

**Retention Period:**

Retain 7 years.

**35 Rebate/Refund Documents – Cashed Rebate/Refund Checks**

Checks filed by check number. These are cashed checks issued to customers.

**Retention Period:**

Retain 7 years.

**36 Rebate/Refund Documents – Bank Statements**

Bank statements reconciled and filed for Rebate/Refund Account.

**Retention Period:**

Retain 7 years.

**37 Rebate/Refund Documents – Reports of Transactions Processed Through RMV Optical Scanning**

Reports needed to confirm eligibility of rebate/refund requests and payments made.

**Retention Period:**

Retain 7 years.

**38 Rebate/Refund Documents – Unused Checks of Obsolete Rebate/Refund Bank Account**

Checking account closed – checks must be destroyed.

**Retention Period:**

Retain 1 year after audit or 7 years whichever is sooner.

**39 Rebate/Refund Documents – Funding Reports for Automatic Rebates**

Funding reports show approval of funding by Comptroller's Office for a list of refunds/rebates automatically produced by RMV ALARS System.

**Retention Period:**

Retain 7 years.

**40 Rebate/Refund Documents – Cross Reference Check Register**

Report shows physical check number and logical number assigned to the list of refunds/rebates being processed.

**Retention Period:**

Retain 7 years.

**41 Rebate/Refund Documents – Funding Request Reports**

Funding reports show approval of funding by Comptroller's Office for a list of rebates/refunds manually entered into ALARS.

**Retention Period:**

Retain 7 years.

# D Fiscal

## D1 Accounting

### 1 Independent Accounting/Payroll System Records

Documents the records of fiscal accounting systems that do not post individual line-item transactions to the State Comptroller's Fiscal Systems. Includes account ledgers and registers, year-end reports, encumbrance and balance reports, fiscal transaction payment support materials, payroll registers, cash accounting records, and related correspondence.

#### Retention Period:

- (a) General ledgers (year-end final closing) reports: Permanent.
- (b) Payroll registers (year-end) showing pay-stub detail for individual employees or other documentation sufficient to document employee creditable prior service: Retain 75 years.
- (c) Primary copies of payment support documentation and transaction postings: Retain 6 years.
- (d) Lockbox or service providers' records: Retain 6 years.
- (e) Secondary copies of payment support documentation and account reconciliation materials: Retain 3 years.

### 2 Grant and Contract Cost Accounting Records

Documents the fiscal accounting of grants and contracts monies in compliance with federal, state, or private contractual guidelines and reporting requirements. Includes budget plan, account set-up and changes documents, encumbrance and payment backup supporting documentation, matching fund documents, procurement documentation, monthly expense reports, time and effort reports, invoices and related correspondence.

#### Retention Period:

Retain 6 years after last payment.

Note: For contract records associated with a project, see record series "C5-4 Construction Project Cost Accounting Records."

### 3 Contract and Agreement Negotiation Records

Documents the process to enter into a contract or agreement, or understanding. Includes background support materials, drafts, memos, letters, and related correspondence.

#### Retention Period:

- (a) Where contracts and agreements were finalized: Retain 6 years after contract expiration.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

See also record series "M2-2 Labor Relations Records."

30B MGL; 260 MGL 1, 2.

### 4 Grant and Contract Administration Records

Documents all phases of the administration of federal and other grants, contracts, sponsored research projects, and agreements from negotiation to final performance such as grants-in-aid, state contracted services, and vendor contracts. Includes negotiation issues documentation, memos of understanding, agreements, contracts, amendments, terms and conditions, budget proposals, and related correspondence.

#### Retention Period:

- (a) Research projects or those reflecting the mission or direction of the agency: Review by the Archives Retain 6 years after final payment or close.
- (b) Summary records such as proposal, award letter and selected deliverables and reports: Permanent.

(c) All other records: Retain 6 years after contract final payment or end of litigation, whichever is later.

Notes:

1. Do not use this record series for contracts within a larger project such as a construction project. See record series "C5-1 Construction Project Management Records."

2. See also record series "D1-2 Grant and Contract Cost Accounting Records."

### **5 Grant Development and Proposal Records**

Documents efforts to develop and submit grant proposals for outside funding. Includes discussion notes, lists of potential topics, sample grant proposals from outside agencies, secondary copies of rejected and accepted grants proposals, and related correspondence.

#### **Retention Period:**

(a) Retain summary planning documents and proposals that reflect the direction of the agency: Permanent.

(b) Unfunded grants: Retain 3 years.

(c) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

### **6 Grant Program Records**

Documents the administration of programs to grant funds (including federal funds), or aid to individuals, institutions, the community, or agencies based on predetermined qualifications and subsequent review.

#### **Retention Period:**

Grant program establishment and policy documentation: Permanent.

### **7 Routine Accounting Records**

Documents the general administration and reconciliation of agency account expenditures and receipts as posted to the State Comptroller's systems and accounts. Includes small purchases that are not grants or contracts.

#### **Retention Period:**

Retain 3 years.

Notes:

1. For grant and contract fiscal accounting use record series "D1-2 Grant and Contracts Cost Accounting Records."

2. For construction project fiscal accounting use record series "C5-4 Construction Project Cost Accounting Records."

3. See also record series "D1-1 Independent Accounting/Payroll System Records."

26 CFR 31.3401(a)-1, 31.6001-1; 26 CFR 301.6501(a)-1.

### **8 Bank and Cash Records**

Documents the handling of any cash transactions, including receipt and deposit of funds posted to the State Comptroller's systems and accounts. Includes receipt journals, cancelled checks, balance books, receipts, bank deposit slips and wire transfers and reports and related correspondence.

#### **Retention Period:**

Retain 3 years.

### **9 Revenues and Sales Records**

Documents the billing and receipt of unit revenues for services such as permit and license applications, and ticket sales as posted to the State Comptroller's systems and accounts. Also documents the handling of any sales or other transactions where cash is received or disbursed. Includes applications, approvals, daily journals and logs, balance tabulations, invoices, cancelled checks, revenue reports, and related correspondence.

**Retention Period:**

Retain 3 years.

**10 Billing and Collections Records**

Documents activities relating to the billing of customers for goods sold or services performed as posted to the State Comptroller's systems and accounts. Includes customer lists, work orders, sales invoices, customer billing worksheets and edit documentation, account reconciliation materials, collection letters and responses, and related correspondence.

**Retention Period:**

Retain 3 years after final payment, settlement, or write-off.

62 MGL 25, 26; 26 CFR 301.6501(a)-1; 26 USC 6501.

**11 Claims and Disbursements Records**

Documents payment claims made or received as part of an agency's programs and functions as posted to the State Comptroller's systems and accounts. Includes claims, invoices, purchase orders, financial reports, account reconciliation documentation, payment support materials, and related correspondence.

**Retention Period:**

(a) Claims and disbursement documentation involving contracted funds: Retain 6 years after contract closes and after final payment, unless a longer period is specified in the contract.

(b) All other records: Retain 3 years.

**12 Trust and Loan Disbursement Records**

Documents the fiscal accounting of loan monies disbursed by the agency. Includes budget plan, account set-up and changes documents, invoices, vouchers, monthly expense reports, and related correspondence.

**Retention Period:**

Retain 6 years after last payment.

**13 Signature Authorization Records**

Documents the delegation of department head signature authorization. Includes authorization lists and related correspondence.

**Retention Period:**

Retain 3 years after superseded.

See also record series "B1-5 Delegation of Authority Records."

**14 Bid and Procurement Records**

Documents the solicitation and/or purchase of goods, supplies, services, materials, and equipment where the purchase is made from general accounts and not contract account funds. Includes bid submissions, bid appeals before the Operational Services Division, or the applicable agency, hearings documentation, requisitions, purchase orders, invoices, payment vouchers, packing slips, and related correspondence.

**Retention Period:**

(a) Retain 6 years after last payment or litigation whichever is longer except for the following:

(b) Non-awarded bid records, or small procurements that are not grants or contracts: Retain 3 years from bid close or bid appeal final determination.

808 CMR 2.04 (12); 260 MGL 5B; 26 CFR 301.6501 (a)-1; 48 CFR 4.

**15 Vendor Resource Materials**

Consists of materials referenced in order to purchase supplies, services, and products. Includes advertisements, brochures, and catalogs, and vendor promotional literature not included in procurement or bid records.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

**16 Vendor Relations Records**

Documents the history of the relations between the agency and individual vendors or service providers. Includes vendor background notes, secondary copies of bids and proposals, contact notes and logs, copies of service contracts, profiles and histories, and related correspondence.

**Retention Period:**

Retain 1 year or until administrative use ceases. Permission from RCB not required for destruction.

**17 Fixed Asset Records**

Documents the fiscal tracking of fixed assets such as furniture, equipment, and vehicles for accounting purposes. Includes acquisition, betterment, and final disposition records.

**Retention Period:**

Retain 3 years where fixed assets are permanently recorded elsewhere.

Notes:

1. See also record series "C1-4 Equipment Case Files."
2. See also record series "C7-8 Fixed Asset Recording Records."

**D2 Development and Review**

**1 Fiscal Planning, Reports, and Surveys Records**

Documents the planning, review and reporting of an agency's fiscal operations. Includes spreadsheets, background materials, calculations, salary surveys, plans, reports, spreadsheets, and related correspondence.

**Retention Period:**

- (a) Primary copies of final summary plans, studies, and reports: Retain until administrative use ceases. Permission from RCB not required for destruction.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

**2 Capital Improvement Plan Records**

Documents major capital expenditure and project planning. Includes background support materials and reports, working papers and notes, and related correspondence.

**Retention Period:**

- (a) Final plan and substantive support materials: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

**3 Budget Preparation and Monitoring Records**

Documents the process to develop, estimate, propose, and monitor the yearly budget for the agency. Includes budget guidelines, work papers, spreadsheets, internal analysis sheets, distribution reports, estimates and projections, expense summaries, variance reports, final budget requests, budget submission letters, and related correspondence.

**Retention Period:**

- (a) Agency's primary copy of budget guidelines and submission letters: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

#### **4 Fiscal Audit Records**

Documents year-end or other audits of an agency's programs, accounts, including internal or external audits. Includes audit reports, work papers responses, and related correspondence.

**Retention Period:**

- (a) Agency's primary copy of final audit reports and responses: Permanent.
- (b) Audit background materials and work papers: Retain 6 years.

#### **5 Fiscal Monitoring Records**

Documents the oversight of fiscal operations of specific programs within an agency and of the fiscal system as a whole. Includes worksheets, spreadsheets, ad-hoc reports, notes, status reports and recommendations, and related correspondence.

**Retention Period:**

Retain 6 years.

#### **6 Fund Development Records**

Documents efforts to develop additional or supplemental funding for agency programs. Includes discussion notes, lists of potential topics, sample proposals from outside agencies, secondary copies of rejected and accepted proposals, planning documentation, and related correspondence.

**Retention Period:**

- (a) Summary planning documents and proposals that reflect the direction of the agency: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

#### **7 Fiscal Systems Internal Control Records**

Documents the internal monitoring and control of fiscal systems pursuant to 647 MGL. Includes background support documentation, evaluation review notes, policy and procedure documentation, and related correspondence.

**Retention Period:**

- (a) Policy and procedure documentation and substantive correspondence: Review by the Archives after 6 years and inactive.
- (b) All other records: Retain 6 years.

See also record series "F5-4 Systems Documentation Records."

647 MGL (Acts of 1989); 7A MGL 9A.

### **D3 Grants and Aid**

#### **1 State Municipal Funding Records**

Documents payments of local aid to municipalities. Includes budget analysis, applications, budget allotments, and related correspondence.

**Retention Period:**

Retain 6 years.

#### **2 State Economic or Development Grants Records**

Documents aid given to programs to promote economic or other development in communities and the state. Includes applications, evaluations, grant materials, and related correspondence.

**Retention Period:**

Retain 6 years after close of grant.

## **D4 Payroll**

### **1 Travel Expense Records**

Documents travel expenses of staff as posted to State Comptroller's systems. Includes receipts, credit card statements, travel authorizations, mileage logs, and related correspondence.

#### **Retention Period:**

Retain 3 years.

### **2 Payroll and Benefits Case Files**

Documents pay histories of employees. Includes deductions, credits due, benefits and insurance enrollments, and any other materials affecting employee pay.

#### **Retention Period:**

(a) Payroll registers (year-end) showing pay-stub detail for individual employees or other documentation sufficient to document employee creditable prior service: Retain 75 years.

(b) All other records: Retain 6 years after separation of employee.

See also record series "L11-7 Employee Retirement, Disability, and Benefits Case Files."

### **3 Time and Attendance Records**

Documents actual hours worked by unit employees and types and amounts of leave taken. Includes time sheets, time cards, attendance forms, absence reports, leave reports, and related correspondence.

#### **Retention Period:**

(a) Fiscal/Payroll Office records: Retain 6 years.

(b) Originating office records: Retain 3 years if records contain unique documentation that is not forwarded to the Payroll Office such as original signatures; otherwise retain until administrative use ceases. Permission from RCB not required for destruction.

Notes:

1. For time and attendance records relating to grants, contracts, or federal aid see record series "D1-2 Grant and Contract Cost Accounting Records."

2. Time and attendance records policy and procedures should be in writing and approved by the head of division or department.

### **4 W-2s**

Documents employee earnings for tax reporting purposes. Includes W-2 forms and attachments.

#### **Retention Period:**

Retain 3 years.

### **5 Payroll Administration Records**

Documents the daily routine administration and reporting of payroll related matters. Includes payroll warrants, monthly reports, and related correspondence.

#### **Retention Period:**

Retain 6 years.

## **D5 Public Employee Retirement Administration Commission**

### **1 Financial Statements**

Public Employee Retirement Administration Commission (PERAC) is required by statute to monitor the investment performance of 106 retirement systems. The case file includes financial Statements, monthly cashbook entries, trial balances, journal entries and broker confirm and custodial statements from 106 retirement systems and Pension Reserves Investment Trust Fund (PRIT).

**Retention Period:**

Retain 5 years.

Note: Retirement Board retains a duplicate copy.

**2 Data Questionnaires**

Related materials to prepare appropriation letters; used in the appropriation process.

**Retention Period:**

Retain 5 years.

**3 Valuation Workpapers**

Back up documents used to produce valuations; which includes valuation reports.

**Retention Period:**

Retain 5 years.

**4 Valuation Data Workpapers**

Analysis of data received from boards to produce valuation reports.

**Retention Period:**

Retain 2 years after final report.

**5 Non-Valuated Data Workpapers**

Analysis of data received from boards used to update records.

**Retention Period:**

Retain 1 year or until administrative use ceases. Permission from RCB not required for destruction.

Note: Retirement Board retains a duplicate copy.

**D6 Office of the State Auditor (OSA)**

**1 Audit Work Papers**

Documents communications and writings in connection to each audit performed by the Office of the State Auditor. Includes communications detailing the work to be performed, engagement letters, independence certificates, entrance conference forms, supervision logs, audit quality checklists, audit evidence obtained, evidentiary sources, timing, extent, results, and conclusions reached.

**Retention Period:**

Retain 6 years.

**2 Final Audit Reports**

Documents audit results, findings, conclusions and recommendations. Includes a summary of the views of responsible officials, compliance statements, and if applicable a statement pertaining to the nature of any confidential or sensitive information omitted.

**Retention Period:**

OSA's primary copy: Permanent.

**3 Audits Detecting Fraud and Illegality**

Documents the discovery of fraud or illegality committed by an audited entity. Includes internal communications, planning responses, communications to the audited entity with regard to the fraud or legality, and all referrals and other communications with parties external to the OSA.

**Retention Period:**

(a) Letters referring cases to the Attorney General's Office, US Attorney's Office, or District Attorney: Permanent.

- (b) Letters reporting unemployment, pension, Medicaid, or insurance fraud: 25 years.
- (c) Team discussion on fraud risk forms, and all other records pertaining to fraud and illegality: Retain 6 years after final resolution.

#### **4 Certifications, Training and Continuing Education Records**

Documents the training of Audit staff in compliance with state laws or agency rules and regulations. Includes documentation of the sponsoring organization, the location at which the program was given, title of the program and brief description, dates attended, number of hours earned toward minimum requirements, and any other related correspondence. .

##### **Retention Period:**

- (a) If filed separately from personnel file: Retain 10 years.
- (b) Where filed in personnel file: Retain as long as file kept.

#### **5 Records of Non-Audit Services Performed by Audit Operations**

Documents the performance of non-audit services performed by audit operations. Includes, planning documents, written communications, and all other related correspondence and records.

##### **Retention Period:**

Documentation related to compliance of independence requirements. 6 years from conclusion of non-audit service performed.

#### **6 External Peer Review Records**

Documents the findings of an external peer review evaluating the sufficiency of, and the OSA's adherence to, Audit Operations system of quality control.

##### **Retention Period:**

- (a) All planning documents and communications with external peer review entity: Retain 6 years.
- (b) Written reports communicating the results of the peer review: Permanent.

#### **7 Bureau of Special Investigations Records (BSI)**

Documents records and supporting materials accumulated within the course of a BSI investigation of fraudulent claims or wrongful receipt of payment or services from public assistance programs. Includes investigative reports, witness statements, bank, business, and employment records.

##### **Retention Period:**

- (a) All investigative materials and investigative reports with no finding of probable cause: Retain 6 years after case closure.
- (b) All investigative reports referred for civil or criminal action: Permanent.
- (c) Letters referring cases to the Attorney General's Office, US Attorney's Office, or District Attorney: Permanent.
- (d) All other records: Retain 6 years.

#### **8 Division of Local Mandate Records (DLM)**

Documents collected in the course of determining if a proposed or existing state mandate imposes any direct services or costs on a city or town. Includes requests made of DLM, subsequent correspondence, as well as background and research materials.

##### **Retention Period:**

- (a) Petitions for opinions and requests for cost analysis. Permanent.
- (b) MGL 11 6B Mandate Determinations. Permanent.
- (c) MGL 126 Municipal Impact Studies. Permanent.
- (d) All final opinion letters. Permanent.
- (e) Work papers, and all other records. 6 years.

# E Personnel

## E1 Program Administration

### 1 Human Resources Programs Records

Documents programs sponsored by Human Resources such as orientation, wellness, and training. Includes program handouts and literature, attendance lists, reports, evaluations, employee newsletters and related correspondence.

**Retention Period:**

- (a) Program documentation and materials: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

### 2 Employee Awards and Recognition Records

Documents awards given to employees. Includes award description, qualification materials, and related correspondence.

**Retention Period:**

- (a) Summary documentation: Permanent.
- (b) All other records: Retain 6 years after employee separation.

### 3 Agency Telephone Directories and Staff Listings

Provides a listing of staff and organizational units of an agency.

**Retention Period:**

Permanent.

## E2 Recruitment and Hiring

### 1 Recommendation Letters

Documents letters sent out regarding employees or past employees. Includes letters or recommendation and other correspondence.

**Retention Period:**

Retain 3 years.

### 2 Unsolicited Job Applications

Documents unsolicited requests for employment with the agency. Includes vitae, letters of application, and related correspondence.

**Retention Period:**

When filed: Retain 1 year, otherwise discard.

### 3 Recruitment and Hiring Records

Documents the process to hire new employees. Includes job postings, eligibility lists, job descriptions, job applications, resumes, interview notes, letters of recommendation, exam and test results, approvals to hire, and related correspondence.

**Retention Period:**

- (a) Executive position searches: Review by the Archives 3 years after hiring process is closed.
- (b) Retain 3 years after hiring process is closed.

31 MGL 61; 151B MGL; 258 MGL 4; 260 MGL 5B; 29 CFR 1600, 1602.30, 1627.

#### **4 Job Position Administration Records**

Provides a record and/or history of position descriptions and functions, compensation rate charts, position advertisement formats, classifications, and related correspondence.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

#### **5 Employment Eligibility Verification (I-9s) Records**

Documents immigration and naturalization requirements for work in the United States in compliance with the Immigration Reform and Control Act of 1986. Includes I-9 forms and related correspondence.

**Retention Period:**

Retain 3 years after date of hire or 1 year after employment is terminated, whichever period is later.

8 CFR 274a.2(b)(2).

### **E3 Affirmative Action/EEO**

#### **1 Protected Employee Records**

Documents the identification of employees falling under the classification of disabled, woman, veteran, or minority for the purpose of acquiring employment, job advancement, and job security. Includes self-identification forms and support materials, approval and certification documentation, and related notes and correspondence.

**Retention Period:**

Retain 6 years after separation.

See also record series "E4-6 Employee Medical and Personal Records."

260 MGL 5B; Executive Order of the Governor 227, 235, 246, 253, 390; 29 CFR 1602; 29 CFR 1613.222; 41 CFR; 45 CFR 84; 29.

U.S.C. 794 (Rehabilitation Act of 1973 section 504).

#### **2 Employee ADA Accommodation Records**

Documents the agency's (reasonable) accommodation and provisions for its employees with disabilities in compliance with the American's With Disabilities Act of 1990. Includes employee requests, medical information, engineering and design plans, complaint and labor relations documentation, and related correspondence.

**Retention Period:**

Retain 6 years after employee separation.

See also record series "C1-3 Facilities Disability Access Records."

28 CFR 35.105c.

#### **3 Affirmative Action/EEO Administration Records**

Documents the administration of the program to promote an equal opportunity work environment. Includes oversight documentation of practices such as hiring, equipment purchasing, and contracts and may include ongoing analysis relating to the measurement of affirmative action program success and compliance.

**Retention Period:**

(a) Internally produced reports, policies, and procedures: Permanent.

(b) All other records: Retain 3 years.

151B MGL; 260 MGL 5b; 258 MGL 4; 268 MGL 25; 29 CFR 1602; 29 CFR 1602.30; 29 CFR 1613.222 ; 29 CFR 1627; 149 CFR 24.

#### **4 Affirmative Action Plans and Reports Records**

Documents reports and plans submitted to the State Office of Affirmative Action (SOAA). Includes plans, reports, statistics, goals, and related correspondence.

##### **Retention Period:**

- (a) Agency's primary copy of final plans and substantive support materials: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

Note: State Office of Affirmative Action is the office of record.

151B MGL 3A; 29 CFR 1602.30; 41 CFR; 29 CFR 1613.222; 260 MGL 5B; Executive Order of the Governor 227, 235, 390.

#### **5 Affirmative Action Monitoring/Compliance Records**

Documents the monitoring of programs and activities relating to the functions of affirmative action requiring oversight, review, opinion, or input. Includes information on the monitoring of contract bids for EEO requirements, minority and women proposals, grants and contracts, facilities handicapped access, hiring, purchasing, and related correspondence.

##### **Retention Period:**

- (a) Contract related documentation: Retain 3 years after close of bid process.
- (b) All other records: Retain 3 years or until administrative use ceases, whichever period is longer.

### **E4 Employee**

#### **1 Employee Confidentiality Statements**

Consists of agreements signed by employees indicating that they will comply with the confidentiality standards of the agency.

##### **Retention Period:**

Retain 3 years after inactive.

#### **2 Employee Web Browsing Authorizations**

Documents the authorization of employees to be connected to and to use the internet and the WEB for state work.

##### **Retention Period:**

Retain 3 years after inactive.

- (a) Department of Mental Health (DMH) 6 years.

#### **3 Employee ID Card Records**

Documents the process to produce ID cards for employees. Includes intake information, card production dates, and related correspondence.

##### **Retention Period:**

Retain data and records until card expires or is voided.

- (a) Department of Mental Health (DMH) 6 years.

#### **4 Employee Contact Information Records**

Consists of employee contact information cards or forms and employee emergency contact forms.

##### **Retention Period:**

Retain during period of employment.

## **5 Employee Personnel Case Files**

Documents individual employee work histories. Includes job application forms, resumes, job offer and acceptance letters, personnel appointment and change forms, awards and commendations, performance reviews, and related correspondence.

### **Retention Period:**

(a) Information needed to calculate creditable prior service time, i.e. dates of service, rates of pay, payroll action dates and summaries, and annual salary along with identifying information such as name and social security number and date of birth: Retain 50 years after separation.

(b) Records relating to persons under medical surveillance or who have been awarded workers compensation: Retain 30 years after separation.

(c) Supervisor or Departmental copy of personnel file: Retain 6 years after employee separation.

(d) All other records: Retain 6 years after employee separation unless stipulated as shorter in any applicable bargaining unit contracts and agreements.

### **Notes:**

1. After employee separates combine "Employee Medical and Personal File (E4-6)" with the "Employee Personnel Case Files.

(E4-5)."

2. See also record series "E4-7 Employee History Cards."

3. See also record series "B1-6 Ethics and Conflict of Interest Records."

31 MGL 6.29; 35 MGL 48-56; 41 MGL 96B; 66A MGL 3; 149 MGL 24C, 24D, 52C; CFR 1627.3.

## **6 Employee Medical and Personal Records**

Documents medical and personal materials of an employee. Includes affirmative action data, disabilities documentation, health related insurance claims, accident and safety reports, medical leave documents, medical (exposure) surveillance documents, employee ADA accommodation.

### **Retention Period:**

(a) Medical records relating to exposure to hazardous substances: Retain 30 years from separation.

(b) Workers compensation awarded claims: Retain 30 years from separation.

(c) All other records: Retain 6 years after employee separation.

Note: File should be kept separate from the "Employee Personnel Case Files (E4-5)" until the employee separates and then the two files should be brought together.

28 CFR 35.105c; 29 CFR 201,516,825, 1602, 1627, 1630, 1910.20; Pub. L. 101-336; EEOC ADA Technical Assistance Manual section 6.5; 29 CFR 825; Pub L 93-579.

## **7 Employee History Cards**

Provides summary information on the employment history of individual employees. Information includes employees name, social security number, job title, dates of service, rate of pay, and any changes affecting employment.

### **Retention Period:**

(a) Records dating before 1950: Permanent.

(b) All other records: Review by the Archives 6 years after employee separation.

## **8 Employee Training and Certification Records**

Documents the training of staff in compliance with state laws or agency rules and regulations. Includes training program materials, session schedules, attendance reports, continuing education documentation, in-service documentation, certification lists and documents, and related correspondence.

### **Retention Period:**

(a) If filed separately from personnel file: Retain 10 years.

(b) Where filed in personnel file: Retain as long as personnel file is kept.  
29 CFR 1627.3.

## **9 Intern and Volunteer Records**

Documents individual volunteer and intern involvement with agency. Includes resumes, applications, agreements, work plans, and related correspondence.

### **Retention Period:**

Retain 6 years after separation.

## **E5 Personnel Actions**

### **1 Employee Complaint/Investigation/Disciplinary Records**

Documents informal or formal investigations into alleged employee misconduct. Includes complaints, notes, statements, and determinations and record of actions taken.

### **Retention Period:**

Retain 6 years after last activity.

151B MGL; 260 MGL 5B; 356 MGL 48-56; 29 CFR 1602.30.

### **2 Employee Grievance/Complaint Records**

Documents work related complaints from non-union employees and grievances from union employees relating to their job environment. Includes complaints, grievances, hearing notices, arbitration findings, meeting notes, dispositions, and related correspondence.

### **Retention Period:**

(a) Landmark cases: Permanent.

(b) Case summaries and final decisions: 25 years.

(c) All other records: Retain 6 years final resolution.

Notes:

1. Maintain action summary documentation relating to individuals in their personnel file.
2. See also record series "M2-5 Grievance, Mediation, Arbitration Administration Records."  
149 MGL 24;151b MGL; 258 MGL 4; 260 MGL 5B, 6; 29 CFR 1602.30, 1627, 1904.6.

### **3 Personnel Action Records**

Documents individual or class actions relating to reclassifications, promotions, demotions, transfers, layoffs, reductions-in-force, severance agreements, and terminations. Includes justification documentation, working notes, requests, employee notifications and responses, appeals, and related correspondence.

### **Retention Period:**

(a) Landmark or policy setting cases: Permanent.

(b) Case summaries and final decisions: Permanent.

(c) All other records: Retain 6 years final resolution.

Note: Maintain action summary documentation relating to individuals in their personnel file.

5 CFR 432, 752; 260 MGL 5B; 29 CFR 516, 621, 1602, 1620, 1627.

## **E6 Accident and Injury**

### **1 Employee Illness and Injury Records**

Documents state employee work-related accidents and injuries. Includes accident report forms, incident reports, doctor's reports, logs and summary reports, and related correspondence.

**Retention Period:**

(a) Occupational Illness and Injury Logs: Retain 75 years.

(b) All other records: Retain 6 years.

**Notes:**

1. See also record series "M1-7 Workers Compensation Insurance Claim Files."

2. See also record series "M1-2 Occupational Safety and Health Reports."

152 MGL 41, 69; 153 MGL 6; 258 MGL 4; 260 MGL 2A, 3A, 4; 29 CFR 1904.6, 1910, 6001.2-8.

# F Information and Records Management

## F1 Unclassified

### 1 Blank Forms Stock

Consists of blank forms. Form types include business forms, letterhead, phone slip tablets, and card stock.

#### Retention Period:

- (a) Hardcopy master set of current and superseded forms: Permanent.
- (b) All other materials: Retain until administrative use ceases. Permission from RCB not required for destruction.

### 2 Publication Stock

Consists of copies of printed materials created and/or stored by an agency. Publications include books, journals, catalogs, brochures, flyers, posters, business cards, and other stand-alone items.

#### Retention Period:

Create and follow a diminishing inventory schedule by publication title and publication date, where stock is reduced each year.

See also record series "A5-5 Program Publication Records."

### 3 Returned Mail

Consists of official business notifications or other mailings that were undeliverable and returned to the agency where the agency may need to account for the mailed documents.

#### Retention Period:

- (a) Records that need to be accounted for: Retain 1 year unless otherwise specified by statute.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

### 4 Dead Letter File

Consists of incoming mail that cannot be acted upon due to insufficient information such as lack of a return address or sender name. Permission from RCB not required for destruction.

#### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

### 5 Unused Permits, Certificates, Decals, and Stickers

Consists of blank copies of damaged, returned, unsold, voided, or otherwise unused copies of permits, licenses, certificates, decals, stickers, stamps, tickets, or checks that will not be used, but that need to be accounted for.

#### Retention Period:

- (a) Destroy immediately after audit unless otherwise specified by statute.
- (b) Audit and destruction documentation: Retain 10 years.

Notes:

1. Destruction should be monitored and certified or otherwise audited according to written policy and procedures.
2. See also record series "G3-7 Elections Ballots and Instructions Records."

### 6 Damaged/Contaminated Files

Consists of files that were damaged to the point where they cannot be salvaged or may not be worth salvaging. Includes the damaged materials, files inventories, assessments, and related correspondence.

#### Retention Period:

- (a) Damaged materials: Contact the Archives for an assessment of damages, possible recourse, and remedies to prevent future occurrences report. If destruction is recommended: Retain Archives

# F Information and Records Management

recommendation report, destruction certification and audit documentation, and inventory listings for 10 years.

## 7 Old Records

Consists of old state records that have been abandoned, stored without records disposition schedules, or otherwise neglected.

### Retention Period:

(a) Records older than 1870 must be retained permanently by statute.

(b) Records older than 50 years old: Review by the Archives to determine if the materials have historical value.

See also record series "F7-7 Legacy Data Records."

## F2 Reference

### 1 Reference/Resource Material

Consists of general library-type reference materials collected from sources outside of the agency. Includes reference manuals, directories, catalogs, books, articles, and other items.

### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

Notes:

1. Review periodically to remove unnecessary or outdated items.
2. Provide an on-line or hard-copy listing of materials for office staff.

### 2 Systems Manuals and Technical Reference Materials

Consists of reference manuals for computer hardware and computer applications.

### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

### 3 Referral Resource Files

Consists of alternative sources of information related to an agencies functions and programs maintained for the purposes of referral.

### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

## F3 Facilitative

### 1 Information Routing and Tracking Records

Documents the routing and tracking of documents, reports, mail, and messages inside or outside the unit for facilitative purposes. Includes telephone message slips, tracking logs, routing slips, fax cover sheets, post-it cover slips and instructions, email cover messages, mailing lists, postal receipts, information accompanying checks for routing purposes, and other related materials.

### Retention Period:

(a) Where these materials relate to decision or policy making files or files of a legal or regulatory nature, that are required as an audit trail, or other substantive nature: Retain according to the retention period for record series of the file.

(b) Where these materials accompany or document routine or transitory matters: Retain until administrative use ceases. Permission from RCB not required for destruction.

### 2 Transaction Transmission Receipts

Provides a quick reference or visual check that confirms that information or data has been successfully received, transferred or otherwise handled. Includes transaction receipts, slips, or reports.

# F Information and Records Management

## **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **3 Drafts and Notes**

Consists of drafts and notes relating to agency business.

## **Retention Period:**

(a) Substantive materials that add to an understanding of the work done, the thought process or intent of the subjects covered, or that show the process by which conclusions were drawn: Retain according to the retention period of the related record series. For example: drafts of policy, legislation, decision-making, legal opinions, and executive level notes may be of historical value to be retained permanently.

(b) Materials such as random notes, preliminary, and copy edit drafts that do not add significantly to an understanding of the file: Retain until administrative use ceases. Permission from RCB not required for destruction.

Notes:

1. At the conclusion of specific work, files should be gone through and weeded to remove duplicate and unnecessary materials and loose information should be consolidated into a summary format, a file summary sheet produced, and all materials put into a logical order.

2. See also record series "F3-4 Document Composition Materials."

## **4 Document Composition Materials**

Consists of materials created during the process to draw-up, design, or develop layouts for individual documents such as memos, letters, reports, plans, and publications. Includes informal notes, shorthand, sketches, worksheets, outlines, design and layout trial sheets, and rough drafts.

## **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **5 Stenographers Notes**

Consists of shorthand or typed notes taken by a stenographer at hearings, court proceedings, or meetings from which written transcriptions will be made.

## **Retention Period:**

(a) Legal proceedings and official boards, commissions, and committees notes: Retain 1 year and after transcribed.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

4 MGL 7(26).

## **F4 Media/Format**

### **1 Electronic Records**

Electronic records created, used, or filed for the purposes of agency business are public record as defined by 4 MGL 7(26). No additional paper or other hardcopy or eye-readable copy need be kept except where specifically required by statute, Supervisor of Public Records Bulletin, or agency legal counsel.

## **Retention Period:**

(a) Publications. Contact the State Librarian for procedures and formats necessary for the transmission of the electronic data.

(b) Archival Records (those designated as permanent). Contact the State Archivist for procedures and formats necessary for the transmission of the electronic data to the Archives.

(c) Official copies of meeting minutes are required to be kept in hardcopy format by Supervisor of Public Records Bulletin 2-92.

(d). Electronic Record-Keeping System Plan (RCB-1E) needs to be approved by the Records Conservation Board before any hardcopy source documents are destroyed. Records to be scanned and destroyed use RCB-2E.

# F Information and Records Management

(e) All other records: For retention requirements use the appropriate record series retention period in the Statewide Records Retention Schedule or in the approved Electronic Record-Keeping Plan (RCB-1E). 4 MGL 7(26).

## 2 Micrographic Records

Micrographics records created, used, or filed for the purposes of agency business are public record as defined by 4 MGL 7(26). No additional paper or other hardcopy or eye-readable copy need be kept except where specifically required by statute, Supervisor of Public Records Bulletin, or agency legal counsel. Typical formats include microfilm, microfiche, and aperture cards.

### Retention Period:

Where the micrographic record has been determined to be the official business copy and the hard copy source documents have been destroyed: Retain based on the appropriate record series retention period as determined by the content and function of the data.

Notes:

1. For permanent records, maintain 3 copies of the film: a negative print master, a positive print master, and a reference use copy. When transferring to the Archives, send all three copies.
2. For film with retention periods greater than 15 years: Film according to specifications of 950 CMR 39.00. At a minimum, maintain a master copy and a use copy in separate locations. Ideally, one copy should be off-site.
3. See also record series "F7-8 Retrospective Data Conversion Source Records."
4. Records to be microfilmed then destroyed use the RCB-2M.

## 3 Audio/Visual Tape or Digital Recordings

Consists of agency program data captured as sound or moving images. Includes intake or dispatch telephone call recordings, digital messaging system messages, security video tapes, hearing testimony tapes, investigators audio and video tapes, special projects videos, meeting minutes and proceedings recordings, or other digital renderings.

### Retention Period:

- (a) Security and surveillance tapes: Retain 1 month.
- (b) Dispatch, digital messaging, program intake tapes: Retain 1 year.
- (c) Hearing and testimony tapes: Retain 3 years.
- (d) Investigation tapes: Retain 6 years after case closed; Retain selected noteworthy cases for review by the Archives.
- (e) Committee proceedings or minutes: Retain tapes 1 year and until transcribed on suitable medium for permanent retention.
- (f) Press conferences or ceremonies: Retain until administrative use ceases. Permission from RCB not required for destruction.
- (g) Special projects or events recordings: Retain until administrative use ceases. Permission from RCB not required for destruction.
- (h) Work tapes used to facilitate work in progress for the convenience of the person working on the case or project: Retain until administrative use ceases. Permission from RCB not required for destruction.
- (i) Moving image films: Review by the Archives after administrative use ceases. Permission from RCB not required for destruction subsequent to review by Archives.

See also record series "J4-4 Dispatch and Communications Recordings."  
4 MGL 7(26).

## 4 Photographs, Slides, and Illustrations

Consists of any materials produced or maintained for the purposes of state business including photographs, lantern slides, glass plates, illustrations, and sketches.

### Retention Period:

Review by the Archives after administrative use ceases. Permission from RCB not required for destruction subsequent to review by Archives.

# F Information and Records Management

4 MGL 7(26).

## 5 Maps, Drawings, and Plans

Consists of drawings, maps, and plans produced or used in the course of agency business.

### Retention Period:

Review by the Archives after administrative use ceases. Permission from RCB not required for destruction subsequent to review by Archives.

4 MGL 7(26).

## F5 System Infrastructure

### 1 System Programs, Applications, and Code Records

Consists of the software used to run agency computer systems. Includes coding and applications.

### Retention Period:

Retain while any related business data are retained in the system or on backup media.

### 2 Systems Maintenance, Monitoring, and Testing Records

Consists of various computer output reports and procedures, which serve as tools for diagnostic, comparative, or retrospective analysis of systems integrity, performance, and use. The reports are used to monitor changes that may be indicators of potential, developing, or actual conditions warranting corrective actions. Includes report planning and design notes, report programming documentation, reports, report production cycle schedules, and related correspondence.

### Retention Period:

Retain 3 years.

Note: These records may be needed to demonstrate that proper procedures and controls for the capturing of information are established and being followed consistently over a period of time.

### 3 Website Documentation Records

Documents the design, construction, and use of agency websites. Includes general description of purpose of the site, descriptions of major features and sections, diagrams and descriptive lists of links, description of data sources, screen dumps of major pages, Webpage electronic snapshots, and related correspondence.

### Retention Period:

(a) Summary documentation describing major aspects, use, design, content of the site, and major changes and restructuring, major page screen dumps and Webpage electronic snapshots: Permanent.

(b) All other records: Retain until superseded.

Notes:

1. See also record series "F7-6 Website Content Records."

2. See also record series "F5-4 Systems Documentation Records."

### 4 Systems Documentation Records

Consists of documentation for all aspects of systems hardware, software, and systems use. Includes flow charts, layouts, schematics, network diagrams, data structure trees, database field definitions and parameters, content gathering instructions, business rules, policy and procedures, workflow, and processes.

### Retention Period:

Retain for the life of the system or while related machine readable records exist unless another system can read the records.

### 5 Systems Contingency Records

Documents the development and implementation of plans to restore and maintain system availability in the event of hardware or software failure due to internal system breakdown or faults or the physical damage of equipment from external sources.

# F Information and Records Management

## **Retention Period:**

Retain until superseded.

## **6 Systems Technical Support and Assistance Records**

Documents the installation, maintenance of computer system hardware and software as well as help-desk requests for technical assistance from system users. Includes logs, job orders, requests and responses, troubleshooting notes, and related correspondence.

## **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

Notes:

1. Maintain major troubleshooting, installation, and other documentation records with the record series "Systems Documentation Records (F5-4)."
2. Take any necessary statistics before discarding any files.

## **7 Systems and Applications Development Records**

Documents plans, proposals, and ideas for new or reconfigured computer systems. Includes budget guidelines and worksheets, plans, proposals, quotes and bids documents, reference data, statistics, and related correspondence.

## **Retention Period:**

Retain for the life of the system.

## **8 Systems Conversion, Enhancement, and Upgrade Records**

Documents the planning and implementation of major system changes, restructuring or additions to add functionality and to extend capabilities. Includes plans, schedules, implementation procedures, data conversion details, summary reports, program code fixes, problem logs, and verification procedures.

## **Retention Period:**

(a) Final plans, summary reports, and substantive materials relating to major changes: Retain for the life of the system or while related machine readable records exist unless another system can read the records.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

See also record series "F7-8 Retrospective Data Conversion Source Records."

## **F6 System Operations**

### **1 Records Management Records**

Documents the storage, retrieval, and final disposition of agency records whether these are on-site, in the records center, or in the archives. Includes box storage transmittal forms, file and box inventory lists, retrieval requests and notes, records center delivery manifests, Records Conservation Board approved disposal schedules (RCB-1), RCB transfer and destruction approvals (RCB 2, 2T), electronic records deletion reports, and related correspondence.

## **Retention Period:**

(a) Record disposal schedules: Permanent.

(b) Record disposal schedule case files: Retain until disposal schedule is superseded.

(c) Archival transfer documentation: Permanent.

(d) Record inventories and surveys: Retain until administrative use ceases. Permission from RCB not required for destruction.

(e) Records Conservation Board copies of destruction documentation: Permanent.

(f) Agency copies of destruction documentation: Retain 10 years.

(g) All other records: Retain 3 years.

# F Information and Records Management

## 2 Systems Data Deletion Records

Documents the deletion of electronic records and data from systems in compliance with 30 MGL 42. Includes deletion policy and procedures, approved Applications for Destruction (RCB-2), deletion reports (scratch reports), deletion audit trail, and related correspondence.

### Retention Period:

Retain 10 years.

Notes:

1. Deletion policy and procedures should be maintained in systems documentation manual.
2. See also record series "F6-1 Records Management Records."

## 3 System Job Order (Run) Records

Documents jobs to create and run reports for agency offices. Includes job logs and schedules, work orders, payment documentation, job run source code, transaction logs, and related correspondence.

### Retention Period:

Retain 3 years.

## 4 Systems Intermediate Work Files Records

Consists of facilitative data, code, notes, and reports created during information transfers, batch processing, data input/scanning, file maintenance, and running of routine procedures and processes.

### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

## 5 Systems Use Reports

Consists of reports documenting computer use for fiscal and administrative planning or cost recovery purposes including internet use and website activity.

### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

See also record series "F6-6 System Audit Trail Records."

## 6 System Audit Trail Records

Documents the monitoring of system use and activities to ensure the integrity and reliability of data, and to determine system user needs. Data includes information on log-ins, log-offs, edit dates, and related audit data fields.

### Retention Period:

(a) Substantive audit trail information: Retain while any related business data are retained in the system or on backup media.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

(c) Department of Mental Health (DMH): Retain 6 years.

Note: Audit trail policy and procedures should be outlined in agency documentation manual including descriptions of substantive audit trail information.

## 7 Systems Security Records

Documents provisions to secure the system, its data, and any components from damage, intrusion, or loss. Includes monitoring programs and physical preventative structure design plans, and related correspondence.

### Retention Period:

(a) Retain for the life of the system or while related machine-readable records exist if necessary to help substantiate integrity of the data.

(b) Otherwise, retain until superseded.

# F Information and Records Management

## 8 Data Processing, Verification, and Monitoring Records

Documents the activities done to process, verify, and monitor data captured or utilized by electronic, microfilm, or other record-keeping systems. Includes processors' work and shift schedules; information tracking and routing logs; batch control and error reports, file maintenance and monitoring reports and code, document quality control reports, data kept solely for quality assurance purposes, and related correspondence.

### Retention Period:

(a) Information and data that can be used to document that proper procedures and control methods are established and are being followed consistently over a period of time: Retain 3 years.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

## 9 Systems Training Records

Documents the training of employees relating to their work with agency information systems. Includes training materials and descriptions, session attendance records, and related correspondence.

### Retention Period:

Retain 3 years.

Notes:

1. Maintain major troubleshooting, installation, and other documentation records with the record series "Systems Documentation Records (F5-4)."
2. Take any necessary statistics before discarding any files.
3. These records may be needed to demonstrate that proper procedures and controls for the capturing of information are established and being followed consistently over a period of time.

## F7 System Data

### 1 Data Source Records

Consists of original data source materials such as data input forms, records received from outside sources on non-standard or transitional formats, media, or software, or any other newly acquired materials that are scheduled to be reformatted and/or captured in a uniform manner by the agency's micrographic or electronic record-keeping system.

### Retention Period:

Retain source documents until data capture is verified on the electronic record-keeping system.

Notes:

1. Data capture and verification policy and procedures should be detailed in the agency's systems documentation manual.
2. The Archives may wish to preserve the hard copy source documentation for record series with permanent retention periods. Contact the Archives before destroying any records with permanent retentions.
3. See also record series "F7-8 Retrospective Data Conversion Records."

### 3 Voice Mail Correspondence Files

Consists of information and communications sent or received by individuals connected to voice messaging systems. Records include transmission messages.

### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

4 MGL 7(26).

### 4 Information Finding Aids, Indexes, and Lists

Consists of indexes, logs, lists and other control access to information, documents, and materials held by the unit.

# F Information and Records Management

## **Retention Period:**

- (a) Superseded copies: Retain until administrative use ceases. Permission from RCB not required for destruction.
- (b) All other records: Retain as long as related records exist.

## **5 Database Content Records**

Consists of the business data input or otherwise captured by database applications.

## **Retention Period:**

Retain based on the appropriate record series retention period as determined by the content and function of the data.

Notes:

1. Databases, data warehouses, document management systems, GIS systems, and electronic record-keeping systems may need to be appraised and scheduled individually and may not be fully covered by this disposition schedule. Please contact the Records Management Unit of the Archives for further details.
2. See also record series "F5-4 Systems Documentation Records."

## **6 Website Content Records**

Documents the posting of program business on websites. Includes public announcements, publications, policy, and other items.

## **Retention Period:**

- (a) Official public announcements and notifications: Retain 3 years.
- (b) Contract related matters: Retain 6 years from contract close.
- (c) Publications: Permanent. Make arrangements with the State Librarian to transfer a copy to the State Library.
- (d) All other web content: Retain based on the appropriate record series retention period as determined by the content and function of the data.

Notes:

1. Records on the website with long retention periods do not have to remain on the website for the duration of the retention period. Provide documentation of the location of any records removed from the web.
2. See also record series "F5-3 Website Documentation Records."
3. See also record series "F5-4 Systems Documentation Records."

## **7 Legacy Data Records**

Consists of data from superseded or defunct systems where upgrade or conversion has not occurred, or may not occur. Materials include hardcopy, magnetic tapes, on-line data and program applications, floppy disks, CD-ROM, DVD-ROM, data punch cards, or index cards.

## **Retention Period:**

Retain data based on applicable record series. Where record series is unidentified such as for a defunct and closed record series submit records to the Archives to determine proper retention periods and to determine if reformatting is necessary to assure proper preservation of the data for the duration of the retention periods.

Note: It may be necessary to retain original hardware and software along with the data to assure files can be read and accessed for the duration of the retention periods.

## **8 Retrospective Data Conversion Source Records**

Consists of records from existing files that have been selected for conversion into other formats or systems, especially electronic scanning applications, databases, and microfilm. Includes documents, images, audio-visual tapes, and data.

## **Retention Period:**

Retain original source materials until verified as complete and legible on new system formats.

Notes:

# F Information and Records Management

1. Data capture and verification policy and procedures should be detailed in the agency's systems documentation manual.
2. The Archives may wish to preserve the hard copy source documentation for record series with permanent retention periods. Contact the Archives before destroying any of these records.
3. See also record series "F7-1 Data Source Records."

## 9 Data "Archival" Storage Records

Consists of electronic records, which must be retained for their continuing informational value and not for systems crash protection. Records may be on-line, near-line, off-line, or some combination.

### Retention Period:

Retain based on the appropriate record series retention period as determined by the content and function of the data.

Notes:

1. Data storage methods should be outlined in the systems documentation manual.
2. It is recommended that a minimum of three copies be kept for any important files and that one of these is off-site.
3. Data should be tested yearly to assure no data loss, that data is migrated, and that proper storage is being maintained.
4. See also record series "F5-4 Systems Documentation Records."
5. See also record series "F7-5 Database Content Records."

## 10 Data Backup Records

Consists of system data backups whether on-line, near-line, off-line, or some combination. Provides systems crash protection in the event of lost or damaged files, or otherwise irretrievable files or programming code.

### Retention Period:

Retain media and data based on a backup system schedule.

Notes:

1. Backup cycle schedules should be maintained in the system documentation manual.
2. It is recommended that a minimum of three backups be kept for any important files and that one of these is off-site.
3. It is recommended that some long term backups be kept in addition to dailies such as a monthly and a yearly to guard against incremental or undetected data corruption.
4. Test backups at least yearly to assure capture is complete and that files are retrievable.

# G Secretary of State

## G1 Election Candidates

### 1 Candidate Qualifying Records

Documents candidates' application to be placed on ballots. Includes application, qualification materials, nomination papers, and related correspondence.

#### Retention Period:

Retain 6 years.

### 2 Candidate Public Financing Request Records

Documents candidates' requests for limited public financing. Includes request for limited public financing, statement of qualifying contributions and qualifying contributions list and summary.

#### Retention Period:

Retain 6 years.

Notes:

1. Most information duplicated in candidates financial filings.
2. Documents filed with Director of Campaign Finance.  
55A MGL 1-12.

### 3 State Primary and Election Nominations

Documents nomination of persons by political parties at state primaries.

#### Retention Period:

Retain 1 year from date of filing.

### 4 Federal Candidate Financial Reports

Provides a record of reports required to be filed by political campaigns and political action committees for Presidential, Senatorial, and Congressional campaigns by order of the Federal Elections Commission. Includes FEC forms 3, schedule A, schedule D, and organizational statements.

#### Retention Period:

Retain 1 year.

Notes:

1. Reports are available on the FEC website available in the Secretary's office.
2. The federal government retains reports permanently.  
Pub. Law 92-225 (b)(2).

### 5 Campaign Finance Disclosure Records

Documents contributions and expenditures to persons running for office. Includes earnings reports and related correspondence.

#### Retention Period:

Permanent.

### 6 Campaign Finance Monitoring and Investigation Records

Documents investigations and review of campaign financing, disclosure of expenditures and contributions, or other election process that may be subject to abuse. Includes audit materials, interview notes, hearings and disposition agreements, and related correspondence.

#### Retention Period:

Retain 20 years.

55 MGL 3, 55A.

# G Secretary of State

## 7 General Court Candidate Financial Filings

Documents filings of candidates for seats in the General Court of their finances. Includes reports, crosschecking materials, and related correspondence.

### **Retention Period:**

Permanent.

Note: Documents filed with Director of Campaign Finance.  
55 MGL 1.

## 8 Statewide Office Candidate Financial Filings

Documents filings of candidates for statewide offices designating a bank or trust company in which they will be depositing campaign funds, and campaign finance reports. Includes certificate of appointment of depository, campaign finance reports and reports of general and fundraising contributions, and related correspondence.

### **Retention Period:**

Permanent.

Note: Documents filed with Director of Campaign Finance.  
55 MGL 1.

## 9 Referendum Committee Financial Filings

Documents filings of committees organized to promote the success or defeat of a question placed before the people on a state ballot of their finances.

### **Retention Period:**

Permanent.

Note: Documents filed with Director of Campaign Finance.

## 10 Corporation Campaign Contributor Financial Filings

Documents filings of corporations that contribute funds to influence the vote on questions submitted to the people. Includes report of disbursements and outstanding liabilities.

### **Retention Period:**

Retain 6 years.

Notes:

1. Information duplicated in referendum committee filings, unless independent expenditure.
  2. Documents filed with Director of Campaign Finance.
- 55 MGL 22.

## G2 Lobbyists

### 1 Lobbyists' Employers Financial Disclosure Filings

Documents the semi-annual filing of financial disclosure reports with the Secretary by employers of lobbyists to effect legislative change.

### **Retention Period:**

Retain 1 year.

3 MGL 47.

### 2 Political Committee Statements of Organization Filings

Documents filings of all political committees of statements of organization pursuant to 55 MGL 5. Includes statements, amendments, and related correspondence.

### **Retention Period:**

Permanent.

# G Secretary of State

Note: Documents filed with Director of Campaign Finance.

55 MGL 5.

## **3 Ward and Town Political Party Committee Financial Filings**

Documents filings of ward and town political parties of their finances.

### **Retention Period:**

Retain 4 years.

Note: Documents filed with Director of Campaign Finance, Secretary of State, State parties, and town clerks.

## **4 Lobbyist/Organization Registration and Financial Disclosure Filings**

Documents the annual registration of lobbyists (legislative agents) and organizations with the Secretary of State's Office and the subsequent semi-annual filing of financial disclosure reports. Includes identification and photo, Notice of Employment or Agreement, Executive of Legislative Agent Registrations for Multiple or Indirect Employers, Authorization of Executive of Legislative Agent, Executive and Legislative Agent Reporting Statement, Reporting Statement for Campaign Contributions, Reporting Statement for Employers of Executive and Legislative Agents, filing fee documentation, and related correspondence.

### **Retention Period:**

Retain 1 year.

Notes:

1. Information is maintained in record series "Lobbyists and Employers Reports (G2-6)" as a permanent record.
  2. The Director of Political and Campaign Finance maintains files permanently.
- 3 MGL 41,44.

## **5 Lobbyist/Organization Filings Monitoring Records**

Documents reports of violations of filing requirements by not filing or filing improperly. Includes financial disclosure files, reports of violation of disclosure, and related information and correspondence.

### **Retention Period:**

Retain 1 year.

3 MGL 43,44,47.

## **6 Lobbyists and Employers Reports**

Provides a summary of lobbyist and employer registrations and financial disclosures. Titles include: Massachusetts Lobbyists and Employers Registration Listing, Report of Disclosed Salaries and Expenditures, and Statistical Report of Salaries and Expenditures.

### **Retention Period:**

- (a) Year-end reports: Permanent.
- (b) Interim reports: Retain until year-end report is published.

Notes:

1. Copies are sent to the State Library.
2. Non-profit organizations disclosures and statistics are not included in the reports.

## **7 Political Action Committee Financial Filings**

Documents filings of Political Action Committees of their financial status. Includes campaign finance reports and related correspondence.

### **Retention Period:**

Retain 4 years.

Note: Documents filed with Director of Campaign Finance.

55 MGL 1.

# G Secretary of State

## G3 Election Voting

### 1 Electoral College Records

Documents the administration of federal Electoral College proceedings. Includes rosters of electors, oaths, sample ballots, federal election procedure information, certification of electoral votes and proceedings.

**Retention Period:**

Permanent.

54 MGL 148.

### 2 Election Districts Records

Documents any changes to voting districts in cities and towns as reviewed by the Local Election District Review Commission. Includes precinct maps, census data, copies of votes from city councils and selectmen authorizing precincts and LEDRC authorization letters.

**Retention Period:**

Permanent.

### 3 Voting Machine Certification Records

Documents the certification of voting machines for accuracy and reliability for use in local and state elections. Includes notifications of types of machines used, specimen ballots, procedure manuals, test results, and related correspondence.

**Retention Period:**

Retain 3 years after decertification.

54 MGL.

### 4 Voter Registration Records

Documents the registration of voters. Includes registration forms and listings.

**Retention Period:**

Retain 3 years after superseded.

### 5 Polling Place Registrations

Documents registered voters by polling place.

**Retention Period:**

Retain 3 years.

### 6 Election Returns of Town Officers

Documents annual reports from Town Clerks of Elections of Town Officers, including notices of resignations and interim appointments.

**Retention Period:**

Permanent.

### 7 Election Ballots and Instructions Records

Documents ballots cast in state elections for state officials, petitions, and referendums. Includes ballot preparation materials, notification of number of members to be elected, sample ballots, street lists for information distribution, ballot instructions and penalties information, cast ballots, and ballot handling documentation.

**Retention Period:**

(a) A sampling of ballots, instructions, voting machine specifications, and voter information pamphlets: Permanent.

(b) Cast Ballots: Retain 30 days after finalization of ballot count.

(c) Unused Ballots: Retain 30 days after finalization of ballot count.

# G Secretary of State

(d) All other records: Retain 3 years after finalization of the ballot count.  
53 MGL 70B; 52 MGL 9; 54 MGL 48; 383 MGL Acts of 2002 as of Feb 25, 2003.

## **8 Election Initiative, Petitions, and Referendums Records**

Documents petitions to be considered for placement on ballots. Includes certified signatures of the first ten signers, the certified summary of the petition text, Attorney General opinion's as to the appropriateness of the issues for vote, and related correspondence.

### **Retention Period:**

- (a) Petitions as certified whether approved by voters or not: Permanent.
  - (b) Non-qualified petitions: Retain 3 years.
  - (c) Signature sheets: Retain 30 days after election is finalized.
  - (d) Alcoholic Beverage License Petitions: Retain 3 years.
- See also record series "B6-2 Attorney General Initiative Petition Review Records."

## **9 Vote Returns Certification Records**

Documents the reporting of election vote totals (tabulations) for federal, state offices, petitions, and elected town officials, and referendums. Includes reports, and written certifications of votes by the Governor and the Governor's Council or the Town Clerk for municipal elections.

### **Retention Period:**

- (a) Certification of totals: Permanent.
- (b) All other records: Retain 1 year.

## **10 Election Reviews and Challenges Records**

Documents the review of elections where results may have been questioned.

### **Retention Period:**

Review by the Archives 6 years after conclusion.

## **11 Access to the Ballot Case Files**

Documents the decisions of the State Ballot Law Commission to resolve complaints of individuals regarding access to the ballot through the nominating process or through placement of initiatives or referendums on a state ballot. Includes complaints, objections, notice of public hearings, and commission decisions.

### **Retention Period:**

Permanent.

## **G4 Commissions and Appointments**

### **1 Commissions and Boards Appointment Log Books Records**

Provides a summary listing of appointments to boards and commissions and any changes such as resignations or interim/recess appointments.

### **Retention Period:**

Permanent.

### **2 Boards, Authorities, Councils, Commission Appointment Records**

Documents the appointment of members to Housing Authorities, Mental Health and Retardation Boards, Metropolitan Area Planning Council, and special commissions. Includes appointment notifications, change in status, and related correspondence.

### **Retention Period:**

Permanent.

# G Secretary of State

## **3 Appointment Qualification Signature Books**

Documents the signature (at the Secretary's Offices) before witnesses of notary publics, justices of the peace, and other appointments in order to complete the appointment process.

### **Retention Period:**

Permanent.

## **4 Appointment Performance Bond Filings**

Documents the filing of bond files by certain state and county officials, members of commissions, boards and authorities of the Commonwealth. Bonds protect the governmental body from fraudulent actions on the part of the individual. Filing of bonds is a requirement before taking office.

### **Retention Period:**

Retain 6 years after expiration.

Note: Attorney General's office reviews and monitors bond contracts.

## **5 Appointment Qualification Certification Records**

Documents completion of the election/appointment qualification process by any appointee by their filing and/or signing oaths of office at the Secretary's Offices. Includes notifications of appointment, nomination letters and oaths (form-O), interim appointments, and related correspondence. Appointments include among others: Governor and Lieutenant Governor, classified civil officers, county officers, court clerks, medical examiners, Governor's appointments, Housing Authority board members, justices of the peace, and notary publics.

### **Retention Period:**

Permanent.

Note: Governor and Lieutenant Governor oaths of office are signed by the President of the Senate, the Speaker of the House, and the Secretary.

## **6 Non-Residents and Resident Clergyman and Solemnization of Marriage Records**

Documents the appointment of non-resident and resident clergymen and the one-time solemnization of marriages.

### **Retention Period:**

Retain 1 year.

## **7 City and Town Acceptance of General Laws Records**

Documents the acceptance or rejection of state legislation by cities and towns. Includes acceptances, rejections, and related correspondence.

### **Retention Period:**

Permanent.

## **8 City and Town Appointment Notifications**

Documents city and town appointment and resignation notifications and other notifications filed with the Secretary that do not require appointment qualification certification filings.

### **Retention Period:**

Permanent.

## **9 Notary Public Apostille Verification Records**

Documents the verification of notary public signatures on documents sent to foreign countries in compliance with the Hague Convention of Oct. 5, 1961. Includes carbonless copy of Apostille (form A-1).

### **Retention Period:**

Retain 1 year.

# G Secretary of State

## 10 Notary Public Validation of Acts Certification Records

Documents the issuance of certificates by the State Secretary validating acts of notary publics where the original notarization was invalid due to a failure to re-register after a change of name or due to expiration of commission.

### Retention Period:

Permanent.

9 MGL 15A; 39 MGL 59.

## 11 Form O Notary Public Filing

An appointee's signature appears on Form O, along with residence, position, appointment date, qualification date. This is done after having been sworn in to the position (i.e., Notary Public) before two commissioners to qualify. Form O's are scanned in as a Tiff image and saved on the local area network. The system is backed up using the industry standard, Grandfather, Father, Son methodology for tape rotation. The Secretary institutes a four-week on-site/off site weekly tape rotation from the main office located at One Ashburton Place, Boston, MA 02108 to The Massachusetts State Archive located at 220 Morrissey Blvd. Boston, MA.

### Retention Period:

Backup tapes are stored in a secure location in western Massachusetts for a period of 12 months. After 12 months, the tapes are returned to the Secretary's main office for reinsertion into the tape queue.

## 12 Notary Public Re-Registration (name Change)

These documents are filed alphabetically by surname before the name change.

### Retention Period:

Permanent. The certificates are bound and sent to the archive.

## G5 Legislation and Policy

### 1 Rules and Regulations Filings

Documents the official filing of state agency rules and regulations. Includes submissions, public hearing documentation, and related correspondence.

### Retention Period:

(a) Rules and Regulation filings with Secretary of State's Office: Permanent.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

### 2 Acts and Resolves Filings

Documents the official filing of House and Senate Acts and Resolves with the Secretary's office. Includes engrossed copies and accompanying support materials.

### Retention Period:

Permanent.

### 3 Request for Opinions

This is a log of Request for Opinions from the Governor's Legislative Office to the Secretary of State's Legislative Office. The purpose of this series is to track the time when the Secretary of State response is due at the Governor's office.

### Retention Period:

Keep until the end of the current administration.

### 4 Secretary of State's Responses

This series is the Secretary of State's responses to requests on legislation awaiting the Governor's signature. The purpose of this series is to comment on impact of legislation on the office of the Secretary and the laws of the Commonwealth under which the Secretary has jurisdiction.

# G Secretary of State

## **Retention Period:**

Keep until the end of the current administration.

## **5 Legislation Files-Passed Legislation (Record Copy)**

This series is used to track agency input and progress of legislation of concern to the Secretary's office that was passed by the General Court. This series includes: copies of bills in various stages, agency questionnaires and comments by staff, public hearings, community testimony, and correspondence. They are arranged by bill number.

## **Retention Period:**

Permanent.

Note: Duplicates of selected material is kept in the Governor's Legislation Office.

## **6 Legislation Files-Unpassed**

This series is used to track agency input and progress of legislation of concern to the Secretary's office that was not passed by the General Court. If the bill is reintroduced a new folder is created. This series includes: copies of bills in various stages, agency questionnaires and comments by staff, public hearings, community testimony, and correspondence. They are arranged by bill number.

## **Retention Period:**

Permanent.

## **7 Legislative Liaison Correspondence**

This series is correspondence documenting issues brought to the attention of the Secretary by a member of the General Court, constituent referrals, casual and routine communications. These files are arranged chronologically.

## **Retention Period:**

Retain 3 years.

Note: Duplicates of selected material is kept in the Secretary's files.

## **8 Reference Subject Files**

This is a ready reference file on divisions of state government. This series is composed of: clippings, agency/division publications, and administrative memorandum. This file is arranged alphabetically. None of this material is original.

## **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **9 Legislation Status Report**

This is a monthly report tracking progress of bills through the legislative process. This series is arranged chronologically.

## **Retention Period:**

Retain 3 years.

Note: A duplicate is kept in the Secretary's files.

## **G6 Corporations and Business**

### **1 Corporations Service of Process Records**

Documents the Secretary's role as agent for service of process for certain corporations. Includes summons, complaints, and compliance letters issued by the Secretary of the State.

## **Retention Period:**

Retain 3 years.

### **2 Corporations and Businesses Regulation Records**

Documents the registration of corporations, foreign corporations, limited partnerships, trusts, and public charities. Includes applications, articles of organization and amendment, annual reports, change of

# G Secretary of State

officers and directors, bylaws, registrations, Department of Public Health, Department of Public Works, or Board of Higher Education approvals, revivals of dissolved corporations, and related correspondence.

## **Retention Period:**

Retain 85 years after microfilming and public hearing. Master microfilm transfer to Archives.

155 MGL 2B; 180 MGL 6; 69 MGL 30,31.

## **3 Universal Commercial Code Filings**

Documents the filing with the Secretary's office of Universal Commercial Codes. Includes amendments and continuations.

## **Retention Period:**

(a) 1 year after microfiche and verification.

(b) Master: 6 years from date of filing.

106 MGL.

## **4 Trademark Registration Filings**

Documents the registration of trademarks with the state. Includes applications, support documentation, and related correspondence.

## **Retention Period:**

Retain 20 years and subject to review by the Archives.

# **G7 Securities**

## **1 Registration, Exemption, and Notice Filing Register**

Provides a summary listing of all notice filings made under subsection (b) of section 202 (federally registered investment advising firms) and section 306 (investment companies/mutual funds) of MGL c. 110A and all applications for registration and registration statements which are or have ever been effective under this chapter, all exemption filings under section 402 of this chapter, all exclusion notice filings under 950 CMR 14.401, and all denial, suspension, or revocation orders which have been entered under this chapter.

## **Retention Period:**

Permanent.

Notes:

1. The Register is maintained on the Security Divisions database.
2. Most broker-dealer and investment advisor information is also retained on the Central Registration Depository (CRD) and/or the Investment Adviser Registration Depository (IARD), both operated by the National Association of Security Dealers (NASD).

110A MGL 413.

## **2 Broker-Dealer Registration and Exclusion Notice Filings**

Documents the registration of NASD-member broker/dealers, non-NASD broker-dealers, and the exclusion notice filing by certain Canadian broker-dealers when claiming an exclusion from the definition of broker-dealer as found in 950 CMR 14.401. Includes initial application Form BD, amendments to Form BD, financial statements, registration renewal materials, withdrawal notice Form BD-W, disciplinary information, and related support materials and correspondence.

## **Retention Period:**

Retain 3 years after current registration or exclusion period ends.

Notes:

1. Carry forward any materials from previous registrations necessary to complete the current filing.
2. Materials, which are also retained on the Central Registration Depository (CRD) or the Investment Adviser Registration Depository (IARD), and materials that were unnecessarily sent to the Division need not be retained.

110A MGL 202,203; 950 CMR 12.202, 12.203, 14.401.

# G Secretary of State

## 3 Investment Adviser Registration and Federal Covered Advisor Notice Filings

Documents the registration of investment advisers and the notice filings of federal covered advisers. Includes initial registration Form ADV, amendments to ADV, disclosure brochures, surety bonds and financial statements, advisory contracts, registration renewal materials, Form ADV-W, disciplinary information, and related support materials and correspondence.

### Retention Period:

Retain 3 years after current registration or notice filing period ends.

Notes:

1. Carry forward any materials from previous registrations or notice filings necessary to complete the current filing.
2. Materials, which are also retained on the Central Registration Depository (CRD) or the Investment Adviser Registration Depository (IARD), and materials that were unnecessarily sent to the Division need not be retained.

110A MGL 202, 203; 950 CMR 12.205.

## 4 Broker-Dealer Agent and Investment Adviser Representative Registration

Documents the registration of agents of broker-dealers and representatives of investment advisers. Includes initial application Form U-4, amendments to Form U-4, section 202(a) affidavits, evidence of meeting examination or certification requirements, registration renewal materials, termination notice Form U-5, disciplinary information, and related support materials and correspondence.

### Retention Period:

Retain 3 years after current registration ends.

Notes:

1. Carry forward any materials from previous registrations necessary to complete the current filing.
2. Materials, which are also retained on the Central Registration Depository (CRD) or the Investment Adviser Registration Depository (IARD), and materials that were unnecessarily sent to the Division need not be retained.

110A MGL 202,203; 950 CMR 12.202, 12.203, 12.205.

## 5 Securities Registration and Exemption Filings

Documents the registration of securities for entities offering securities for sale. Includes Massachusetts notice form or federal notice form (SEC Form D), consent to service of process (Form U-2), and may include offering materials and related correspondence.

### Retention Period:

(a) Documents duplicated on the federal Securities and Exchange Commission's EDGAR Database: Retain until administrative use ceases. Permission from RCB not required for destruction.

(b) All other records: Retain 3 years after final determination.

110A MGL.

## 6 Investment Company Notice Filings

Documents the filing of notices by investment companies (investment companies, face amount certificate companies, closed-end management companies, and unit investment trusts) offering mutual funds for sale but exempted from registration. Includes notice form (Form NF), Consent to Service of Process (Form U-2), cover letters, and related correspondence.

### Retention Period:

Retain until data is verified on database.

## 7 Issuers Consent to Service of Process Filings

Documents the filing of Uniform Consent to Service of Process notices by issuers (non-investment companies) of securities who are exempted from registration. Includes Uniform Consent to Service of Process (Form U-2) and related support materials and correspondence.

# G Secretary of State

## **Retention Period:**

Retain until data is verified on database.

110A MGL 414(g).

## **8 Sales and Advertising Literature Filings**

Documents the filing of sales and advertising literature from brokerage firms for review by the Securities Division to determine that advertising and promotional materials are not false or misleading pursuant to 110A MGL 403 and that materials reflect full and fair disclosure and readability. Includes prospectus, pamphlet, circular, form letter, advertising or other sales literature intended for distribution to prospective investors, and related correspondence.

## **Retention Period:**

Retain until review is completed.

Note: A destruction application does not need to be filed with the Records Conservation Board before discarding these.

records.

## **9 Interpretative Opinion Records**

Documents the General Counsel of the Securities Division's responses to public inquiries or requests for legal clarifications, opinions, or explanations of the Securities Act and Rules in order to assist persons in complying with the law. Includes initial requests for information, background support materials and notes, formal legal opinion releases or other products, and related correspondence.

## **Retention Period:**

(a) Final products and substantive support materials: Permanent.

(b) All other records: Retain 3 years.

## **10 Inquiries and Complaints Records**

Documents the handling of routinely disposed of inquiries and complaints from individual investors or potential investors relating to security firms, agents, or transactions. Includes inquiries, letters of complaint, support materials, and related correspondence.

## **Retention Period:**

(a) Withdrawn, non-jurisdictional, or incomplete inquiries and complaints: Retain 1 year.

(b) All other records: Retain 3 years.

## **11 Investigation and Enforcement Records**

Documents the investigation of public or private firms, agents, or persons and any subsequent enforcement of violations of the Uniform Securities Act 110A MGL, Blue Sky Law). Includes letters of complaint, subpoenas, background and evidentiary materials, depositions, oaths and affirmations, requests for opinions, administrative sanction documentation, and related correspondence.

## **Retention Period:**

(a) Landmark or policy setting cases: Permanent.

(b) All other records: Retain 6 years after final settlement or action.

Note: Some cases may be referred to the Attorney General or other enforcement bodies.

110A MGL.

## **12 Administrative Hearing Enforcement Action Case Files**

Documents the adjudicatory proceedings of investigations initiated by the Secretary of State's filing of an administrative complaint. Includes administrative complaints, requests for hearings, answers, pre-hearing conference materials, background support materials, motions, subpoenas, orders and answers, exhibits, evidence, settlement or consent order documentation, decisions and final orders, notices of appeal, and related correspondence.

## **Retention Period:**

Permanent.

# G Secretary of State

110A MGL; 950 CMR 10.06.

## **13 Investor Education Program Records**

Documents the Securities Division program created to provide potential investors with information on methods to protect themselves against unnecessary risks, determining their personal financial situation and needs, and setting realistic investment objectives. Includes investor education forum materials, publications, program administrative records, testimonials, and related correspondence.

### **Retention Period:**

- (a) Substantive planning documentation and summary presentation materials: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

## **G8 Deeds**

### **1 Deed Registration Records**

Documents the registration of deeds to commonwealth land. Includes applications, lien histories, easements and right of ways, and related correspondence.

### **Retention Period:**

Permanent.

## **G9 State Matters**

### **1 State Seal and Other Records**

Documents the Secretary's keeping of the State Seal including any determinations or complaints about its use as regulated by 2 MGL 5. Includes complaints, determinations, and related correspondence.

### **Retention Period:**

Permanent.

2 MGL 5.

### **2 Abolished County Records**

Consists of any records left over from counties that have been abolished.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

### **3 State Citations and Awards Records**

Documents awards by the state to the public for achievement or merit.

### **Retention Period:**

Permanent.

## **G10 Historic Property**

### **1 Property Appraisers Certification Records**

Documents the registration of property appraisers.

### **Retention Period:**

Retain 3 years.

### **2 Historic Preservation Information Source Files**

Documents the development of preservation planning and resources in the community. Includes field reports, photographs, inventory forms, pre-registry inquiries, and related correspondence.

### **Retention Period:**

Permanent.

# G Secretary of State

## **3 Historic Preservation Restrictions Agreement Records**

Documents the agreements between owners of land and the Massachusetts Historical Commission or a non-profit organization regarding the future use of historic and archeological properties.

### **Retention Period:**

Permanent.

Note: Some records duplicated at the Registry of Deeds.

## **4 National Historic Preservation Act Compliance Records**

Documents the monitoring and review of public projects and their effects on historic and archeological properties.

### **Retention Period:**

Retain 5 years in office, then 40 years in the State Records Center.

National Historic Preservation Act of 1966; 9 MGL 26-27C.

## **5 National Register of Historic Places Compliance Records**

Documents the monitoring of properties in, or eligible for inclusion in, the National Register of Historic Places. Includes written summaries, photographs, drawings, and related correspondence.

### **Retention Period:**

Permanent.

## **6 Historic Preservation Certification Records**

Documents Massachusetts Historical Commission help to property owners, developers, architects, and preservation consultants apply for certification that qualify them to apply for federal tax credits for the rehabilitation of historic buildings. Certifications are granted by the National Park Service. Includes historic preservation certification applications, photographs, architectural drawings, and related correspondence.

### **Retention Period:**

Permanent.

Tax Reform Act of 1976, the Revenue Act of 1978, the Tax Treatment Extension Act of 1980, the Economic Recovery Tax Act of 1981 amended by the Tax Reform Act of 1984, and the Tax Reform Act of 1986.

## **7 Archeology Records**

Documents state archeological programs to find and protect archeological remains.

### **Retention Period:**

Permanent.

## **G11 Library/Archives**

### **1 Library/Archives Accession Log**

Documents the acceptance of materials into libraries, archives, or special collections.

### **Retention Period:**

Permanent.

### **2 Archives and Records Center Vault Records**

Documents the monitoring of records storage areas for security purposes. Includes security logs and environmental data sheets.

### **Retention Period:**

Retain 3 years.

# G Secretary of State

## 3 Library/Archives Reference Requests

Documents patron requests for information or materials from the holdings of the State Library or the Massachusetts Archives or other agency where the researcher is using permanent archival materials from vaults or closed stack areas. Includes request and response communications, fee payment documentation.

### Retention Period:

- (a) Archival collections request forms: Permanent.
- (b) Where payments are made: Retain 3 years.
- (c) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

Notes:

1. Gather any necessary statistics before discarding any materials.
2. See also record series "B2-1 Public Records Request Records."

## 4 Library/Archives Call Slips

Documents in-house movement of materials from shelves.

### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

Note: Take any necessary statistics before destroying any records.

## 5 Archives Researcher Registers

Documents the registration of researchers to the Massachusetts Archives or other agency facility for identification, security and statistical purposes.

### Retention Period:

Permanent.

## 6 State Publications Listing

Consists of a listing of state publications received by the State Library, published quarterly with an annual compilation.

### Retention Period:

Retain 2 copies permanently in the State Library collection.

## 7 Librarian Certification Records

Documents the certification of public librarians in the Commonwealth pursuant to 78 MGL 19B; 605 CMR 4; 78 MGL 22-31; 605 CMR 3.

### Retention Period:

Retain 75 years.

78 MGL 19B; 605 CMR 4; 78 MGL 22-31; 605 CMR 3.

## 8 Reference Activity Reports/Statistics

Periodic compilation of statistics of reference requests, researcher visits, collection use, and fees received.

### Retention Period:

Permanent.

## 9 LSTA (Library Services and Technology Act)

The LSTA State Program has a five-year funding cycle that starts with the submission and approval of the Five Year Plan, continues with the awarding of five consecutive Grant Awards and their respective Reports, and ends with a Five-Year Evaluation. All of these parts are directly related and cannot function independently of the others.

# G Secretary of State

## **Retention Period:**

Since the entire five-year package of documents is pertinent to the State Program, records for all documents associated with that five-year period must be kept until seven years after the last report is submitted. Typically, the last report to be submitted for a given five-year is the fifth year's Annual Report.

Notes:

(a) In 45 CFR 1183.42 (a) and (b), Federal regulations state that records must be kept for three years after the grantee (a.k.a., the State Library Administrative Agency) submits the last expenditure report for that period.

(b) Audits for any of the state's fiscal year LSTA activities can extend the records retention period; documents must be retained for a period of three years following the resolution of an audit.

## **10 LSCA (Library Services and Construction Act) Title II-Public Library Construction**

The period of use for LSCA Title II funds is not limited, and federal regulations maintain that a "Federal Interest" is attributable to all state projects funded in part by Title II for a period of twenty years after the completion of those projects. For state construction projects that have already been completed, IMLS will maintain completion reports; the states, however, must maintain all records pertaining to their projects, including blueprints. Accurate records are always important, but they become critical when a library that is constructed with Title II funds outgrows the facility and needs to be remodeled or moved to another building, or is no longer used as a library and needs to be sold. Approval for any changes to the property must be approved by IMLS, and the percentage of federal interest must be updated.

## **Retention Period:**

20 years after completion of project.

## **11 State Records Center: Records Request Sheet**

Used by state agencies to request information stored within the State Record Center.

## **Retention Period:**

Retain 5 years.

## **12 State Records Center: Assessment**

Consists of information that assists the State Record Center in managing the inventory of records.

## **Retention Period:**

Retain 5 years.

## **G12 Corporations (formerly Schedule No. 39/87, 48/87)**

### **1 Annual Reports of Corporations AKA Mass Conditions (Filed Pursuant to MGL c. 156A, 156B, and 181)**

Includes corporate name, name and addresses of officers and directors, principal office, stock information, and federal identification number. Duplicates are available at the Corporations Division or the State Records Center.

## **Retention Period:**

(a) Annual report paper copy (MGL c. 156): Retain 6 months after microfilming and verification.

(b) Annual report microfilm master copy (MGL c. 156): Retain 10 years.

(c) Annual report microfilm duplicate copy (MGL c. 156): Retain 10 years.

### **2 Annual Reports of Non-Profit Corporations (Filed Pursuant to MGL c. 180)**

Includes corporate name, name and addresses of officers and directors, principal office, and federal identification number. Duplicates are available at the Corporations Division or the State Records Center.

## **Retention Period:**

(a) Non-profit annual report paper copy: Retain 6 months after microfilming and verification.

(b) Non-profit annual report microfilm master copy: Retain 10 years from filing.

(c) Non-profit annual report microfilm duplicate copy: Retain 10 years from filing.

# G Secretary of State

## **3 Uniform Commercial Code (UCC) Financing Statements (including amendments and continuations) filed pursuant to MGL c. 106**

Includes name and address of debtor and secured party, a description of collateral, and signatures of debtor and secured party.

### **Retention Period:**

- (a) Paper copy: Retain 6 years from filing.
- (b) Microfilm master copy: Retain 6 years from filing.
- (c) Microfilm duplicate copy: Retain 6 years from filing.
- (d) Microfilm second duplicate copy: Retain 6 years from filing.

## **4 Termination Statements Filed Pursuant to MGL c. 106**

Terminates a financing statement. Includes the name and address of the debtor and secured party, the original file number, date of termination and signature of secured party.

### **Retention Period:**

- (a) Paper copy: Retain 1 year from filing.
- (b) Microfilm master copy: Retain 1 year from filing.
- (c) Microfilm duplicate copy: Retain 1 year from filing.

## **5 Certificates of Organization for Limited Liability Companies Filed Pursuant to MGL c. 156C**

### **Retention Period:**

- (a) Paper copy: Retain 85 years after microfilming and public hearing.
- (b) Microfilm master copy: Permanent.
- (c) Microfilm duplicate copy: Retain until administrative use ceases.

## **6 Certificates of Organization for Limited Liability Partnerships Filed Pursuant to MGL c. 108A**

### **Retention Period:**

- (a) Paper copy: Retain 85 years after microfilming and public hearing.
- (b) Microfilm master copy: Permanent.
- (c) Microfilm duplicate copy: Retain until administrative use ceases.

## **7 Annual Reports for Limited Liability Companies and Limited Liability Partnerships Filed Pursuant to MGL c. 156C and 108A**

### **Retention Period:**

- (a) Paper copy: Retain 6 months after microfilming and verification.
- (b) Microfilm master copy: Retain 10 years.
- (c) Microfilm duplicate copy: Retain 10 years.

# H Education

## H1 Administration

### 1 HEGIS Report Records

Documents reports on the institution sent to the U.S. Department of Education.

#### Retention Period:

Permanent.

### 2 Dean's Records

Document's the Dean's activities. Includes subject or correspondence files maintained for monitoring and decision making purposes.

#### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

See also record series "A3-1 Executives' Correspondence/Subject Files."

### 3 Satellite Campus Oversight Records

Documents the management of satellite campuses. Includes reports, memos, directives, and related correspondence.

#### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

## H2 Admissions

### 1 Student Admissions/Registration Records

Documents applications to the school and subsequent progress. Includes transcripts, acceptance letters, transfer records, course credit sheets and evaluations, veteran information, and related correspondence.

#### Retention Period:

(a) Matriculated students' records: Retain 5 years after graduation or separation from institution.

(b) All other records: Retain 3 years.

See also record series "H5-8 Official Course and Grade Records."

### 2 Student Immunization Records

Documents the immunization of students entering the institution. Includes immunization record and related correspondence.

#### Retention Period:

(a) Students entering health training programs: Retain 5 years after separation from the program.

(b) All other records: Retain 10 years.

See also record series "H9-5 Student Health Clinic Records."

105 CMR.

### 3 Tuition and Fees Records

Documents tuition and fee structure, analysis, and policy.

#### Retention Period:

(a) Policy documentation: Permanent.

(b) Actual payments: Retain 3 years after settlement.

### 4 Student Financial Aid Records

Documents aid given to students to help pay for schooling. Includes financial aid applications, federal student aid forms, federal tax forms, award letters and confirmations, verification records, and interview documentation.

# H Education

## **Retention Period:**

Retain 5 years after separation.

34 CFR.

## **5 Student Scholarships, Fellowships, and Awards Records**

Documents the process to give scholarships and other aid awards.

## **Retention Period:**

(a) Summary records: Permanent.

(b) All other records: Retain 5 years.

## **6 Student Record Transcript Requests Records**

Documents requests for student transcripts.

## **Retention Period:**

Retain 1 year.

## **H3 Academic Program**

### **1 Academic Program Administration Records**

Documents the routine daily administration of courses and programs of the institution. Includes referral, orientation, facilitative and other administrative correspondence and materials.

## **Retention Period:**

Retain 3 years.

### **2 Academic Advisement Records**

Documents faculty or academic advisors advisement of students.

## **Retention Period:**

Retain 3 years after student graduates or separates from academic program.

### **3 Student Internships and Practicums Records**

Documentation of field experience.

## **Retention Period:**

Retain 5 years after separation. Record with registrar.

### **4 Independent/Cooperative or Alternate Study Records**

Documents alternative course programming.

## **Retention Period:**

Retain 3 years.

### **5 International Studies Program Records**

Documents programs of foreign study sponsored or in conjunction with other colleges.

## **Retention Period:**

Review by the Archives after 6 years.

### **6 Award Establishment Records**

Documents the establishment of awards.

## **Retention Period:**

(a) Summary documentation: Permanent.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

# H Education

## 7 Commencement and Awards Records

Documents graduation ceremonies and awards given to outstanding students. Includes programs, program revisions, logistical support documentation, and related correspondence.

### Retention Period:

- (a) Final programs with edits: Permanent.
- (b) All other records: Retain 3 years H Education H.

## H4 Course and Curriculum

### 1 Curriculum Development Records

Documents the development of courses.

### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

### 2 Class Schedule Records

Documents courses scheduled to be taught.

### Retention Period:

Official copy: Permanent.

### 3 Course Outlines and Descriptions Records

Documents descriptions of courses taught by institution.

### Retention Period:

Permanent.

## H5 Testing and Grades

### 1 Student Tests and Examinations

Documents tests taken by students as part of course requirements.

### Retention Period:

- (a) Final tests taken as requirements for degree programs: Permanent.
- (b) All other records: Retain 1 year.

### 2 Student Evaluations of Teachers

Documents student evaluations of courses and instructors. Includes questionnaires and summary reports.

### Retention Period:

- (a) Where information is summarized: Retain summary report 6 years and discard data forms, otherwise:
- (b) Retain data forms 6 years.

Note: Records may be used for tenure review.

### 3 Masters Theses

Documents papers completed as partial fulfillment of degree requirements.

### Retention Period:

Permanent.

### 4 Academic Degree Audit Records

Documents review of student coursework to determine if they have met the requirements to receive their degree. Includes degree applications, degree audits, credit evaluations, course substitution forms, honors recommendations, and related notes and correspondence.

### Retention Period:

- (a) Approved degree application documents: Retain 5 years after graduation or separation.
- (b) Denied or withdrawn application materials: Retain 1 year.

# H Education

Note: Denied students are required to reapply and submit a new application to be considered for graduation.

## 5 General Educational Development (GED) Certification Records

Documents the certification that an individual has passed the GED test as equivalent of a high school education.

### Retention Period:

- (a) Official copy: Retain 60 years.
- (b) All other records: Retain 3 years.

## 6 Academic Degree Audit Records

Documents review of student coursework to determine if they have met the requirements to receive their degree. Includes degree applications, degree audits, credit evaluations, course substitution forms, honors recommendations, and related notes and correspondence.

### Retention Period:

- (a) Approved degree application documents: Retain 5 years after graduation or separation.
- (b) Denied or withdrawn application materials: Retain 1 year.

Note: Denied students are required to reapply and submit a new application to be considered for graduation.

## 7 General Educational Development (GED) Certification Records

Documents the certification that an individual has passed the GED test as equivalent of a high school education.

### Retention Period:

- (a) Official copy: Retain 60 years.
- (b) All other records: Retain 3 years.

## 8 Official Course and Grade Records

Provides a permanent record of student's courses taken and grades received as maintained by the Registrar.

### Retention Period:

- (a) Official courses taken and transcripts: Permanent.
- (b) Transcript requests: Retain 1 year.

## H6 Faculty

### 1 Faculty Personal and Professional Papers

Consists of faculty research or other materials where left in the institutions care.

### Retention Period:

Review by the Archives if left in custody of institution.

### 2 Tenure and Promotion Records

Documents changes in faculty employment.

### Retention Period:

Retain 6 years.

### 3 Teacher Certification Records

Documents the certification of teachers by the Department of Education in compliance with 71 MGL 38G.

### Retention Period:

- (a) Records before 1980: Retain 40 years.
- (b) All other records: Retain 6 years after expiration.

# H Education

Educational Reform Act of 1993. 71 MGL 38G.

## **4 Faculty Appointment Records**

Documents the appointment and subsequent history of individuals to join the institution's faculty.

### **Retention Period:**

(a) Summary record: Permanent.

(b) All other records: Retain 6 years after separation.

## **5 Faculty Workload Records**

Documents work assignments of individual faculty.

### **Retention Period:**

Retain 3 years.

Note: These records may be used for tenure review.

## **6 Sponsored Research Records**

Documents grants to pursue academic research.

### **Retention Period:**

Review by the Archives after 6 years after close.

## **H7 Student Activities**

### **1 Student Event/Activities Applications Records**

Documents student participation in special activities.

#### **Retention Period:**

Retain 3 years.

### **2 Student Clubs and Associations Records**

Documents the activities of student run clubs and associations.

#### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

### **3 Student Government Records**

Documents activities of student government groups.

#### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

### **4 Student Newspaper**

Documents the publication of the student newspaper.

#### **Retention Period:**

(a) Final publications: Permanent.

(b) Photographs and artwork: Retain until administrative use ceases. Permission from RCB not required for destruction.

(c) Newspaper staff memorabilia: Permanent.

(d) Summary policy and administrative records: Permanent.

(e) All other records: Retain 3 years.

### **5 Student Athletic Participation Records**

Documents student participation in sports.

#### **Retention Period:**

(a) Retain summary documentation, films, and photos: Permanent.

# H Education

(b) All other records: Retain 6 years after separation.

## H8 Student Affairs

### 1 Student Grievance/Complaint Records

Documents student complaints.

#### Retention Period:

Retain 3 years after closure.

### 2 Student Discipline Records

Documents the discipline of students for infraction of school policy.

#### Retention Period:

(a) Expulsion records: Retain 25 years.

(b) All other records: Retain 3 years after separation.

### 3 Student Disability Records

Provides a record of disability information on students.

#### Retention Period:

Retain 5 years after student graduates or withdraws.

### 4 International Students Case Files

Documents international students enrolled at the school.

#### Retention Period:

Retain 5 years after separation.

## H9 Student Services

### 1 Student Support Services Records

Documents programs to support student life.

#### Retention Period:

(a) Substantive summary data: Permanent.

(b) All other records: Retain 3 years.

### 2 Special Services Program Records

Documents special programs for students not within normal course schedule.

#### Retention Period:

(a) Summary records: Permanent.

(b) All other records: Retain 3 years.

### 3 Student Counseling Records

Documents social services provided to students.

#### Retention Period:

Retain 6 years after separation.

### 4 Student Career/Placement Records

Documents records kept on file for placement purposes.

#### Retention Period:

Retain 10 years.

### 5 Student Health Clinic Records

Documents student clinic health histories. Includes visit documentation and charts, medical notes, and related correspondence.

# H Education

## **Retention Period:**

Retain 20 years.

111 MGL 70.

## **H10 Library and Learning Center**

### **1 Borrowers Records**

Documents library use by patrons.

## **Retention Period:**

Retain until items are returned.

## **H11 Department of Early Education & Care: Licensing (formerly Schedule No. 16/88)**

### **1 Substitute Care Program Files (A)**

Includes Regional Office files (Office of Record), arranged alphabetically by corporate name.

## **Retention Period:**

Retain 27 years after creation of document.

### **2 Substitute Care Program Files (B)**

Includes Central Office files, arranged alphabetically by corporate name.

## **Retention Period:**

Retain 5 years after creation of document.

### **3 Group Day Care/SACC Program Files (A)**

Includes school age Child Care, Regional Office files (Office of Record), arranged alphabetically by corporate name.

## **Retention Period:**

Retain 27 years after creation of document.

### **4 Group Day Care/SACC Program Files (B)**

Central Office files, arranged alphabetically by corporate name.

## **Retention Period:**

Retain 5 years after creation of document.

### **5 Family Day Care Program Files (A)**

Regional Area/Office files, (Office of Record) arranged alphabetically by corporate name.

## **Retention Period:**

Retain 27 years after creation of document.

### **6 Family Day Care Program Files (B)**

Central Office files, arranged alphabetically by corporate name.

## **Retention Period:**

Retain 5 years after creation of document.

### **7 Investigation Files (A)**

Regional/Area (FDC) Office files. Includes a copy of the complaint, copies from licensing files, collateral contacts, reports, resolution form or referral to Central Office. Arranged alphabetically.

## **Retention Period:**

Retain 27 years after creation of document.

# H Education

## 8 Investigation Files (B)

Central Office files. Includes a copy of the complaint, copies from licensing files, collateral contacts, reports, resolution form or referral to Central Office. May also include therapist reports, medical records, interim/final reports, memos, investigation notes, legal documents and orders. Arranged alphabetically by program.

### **Retention Period:**

Retain 27 years after creation of document.

## H12 Charter School Application Records

Documents the application process for awarding charters to establish charter schools. Includes documents created or received by the Department and the Board of Elementary and Secondary Education during the course of the application process for charter schools.

### **Retention Period:**

(a) Documents submitted by applicants, public comments, reviewers' comments formally collected by the Department of Elementary and Secondary Education, synopses of consensus discussions and interviews, and documents provided to the Board of Elementary and Secondary Education in connection with the Board's deliberation and vote regarding the award of charters. Includes prospectuses, applications, correspondence, memoranda, reports, synopses, plans, and publications: Retain 5 years after vote by Board of Elementary and Secondary Education.

(b) All other records created during the process of developing documents in (a). Includes notes, worksheets, outlines, design and layout trial sheets, and rough drafts: Retain until administrative use ceases.

# I Environment and Energy

## I1 Environmental Conservation and Protection

### 1 Environmental Natural Resources Management Records

Documents plans and studies for state facilities on how best to manage the natural and recreational resources at those facilities. Includes project documentation, studies, areas of environmental concern (ACEC) records, surveys, site assessments, GIS maps, resource plans and related correspondence.

**Retention Period:**

Review by the Archives 6 years after inactive.

### 2 Environmental Historic Preservation Program Records

Documents projects, including grant projects, proposals, studies, and programs to conserve, preserve and protect historic landscapes and regions. Includes plans, proposals, final products and reports, photographs and slides, archaeological surveys, restoration guidelines, structural studies, specifications and drawings, curatorship documentation, and related correspondence.

**Retention Period:**

Review by the Archives 6 years after completion.

### 3 DEP and Brownfields Grant Program Records

Documents the process to grant monies to clean up polluted brown fields sites. Includes applications, attorney notes, site materials, grant program materials, and related correspondence.

**Retention Period:**

Review by the Archives 25 years after closure.

### 4 Environmental Disaster Planning and Relief Records

Documents efforts to protect areas from environmental disasters.

**Retention Period:**

(a) Summary documentation: Permanent.

(b) All other records: Retain 10 years.

### 5 Conservation District Election Certificates Records

Documents areas that have been designated as protected.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

### 6 Coastal Community Relations Records

Documents the coordination and planning between state and coastal communities for the purposes of environmental protection. Includes issues and problems notes and reports, technical assistance given, and summaries of work and projects undertaken.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

### 7 Coastal Resources and Wetlands Deed Restriction Case Files

Documents land deed restrictions placed on inland and coastal wetlands for the purpose of protection of natural resources. Includes restriction orders, aerial photos, plans and related correspondence. The management and monitoring of areas that have been designated as protected.

**Retention Period:**

Permanent.

# I Environment and Energy

## 8 Wetlands Project Approval Records

Documents appeals to DEP regarding applications for construction projects within wetland restricted deed areas as determined by local municipal Conservation Commissions. Includes notices of intent, order of conditions, determinations of applicability, denials, and appeals.

### Retention Period:

(a) Unappealed determinations of applicability and orders of conditions: Retain 30 days following municipal decision.

(b) Appealed orders of condition: Retain 1 year after certificate of compliance has been issued.

(c) Appealed determinations of applicability: Retain 3 years from DEP's final determination.

## I2 Construction and Engineering

### 1 Environmental Maps, Plans, and Photos

Documents resources required for planning and implementation of policies. Includes aerial photos, GIS maps, and other related materials.

### Retention Period:

Review by the Archives after administrative use ceases. Review by the Archives after administrative use ceases. Permission from RCB not required for destruction subsequent to review by Archives.

### 2 Environmental Impact Studies, Site Analyses, and Reports

Documents reports and studies summarizing environmental impact of proposals and plans.

### Retention Period:

Permanent.

### 3 Environmental Systems Records

Documents the regulation of the design, building, and operation of environmental systems such as wastewater sludge and septic sewage and septic systems. Includes permit applications, engineering plans, variance requests, and related correspondence.

### Retention Period:

Retain 10 years.

### 4 Environmental Engineering Reports and Plans

Documents the use of appropriate technology, the proper operation and maintenance of equipment and to determine site suitability. Includes descriptions of pollution control equipment, design criteria, site plans, system schematic diagrams, construction drawings and specifications, and related correspondence.

### Retention Period:

Retain 15 years after final acceptance of project.

111 MGL 142A-142M; 21 MGL 27(13).

## I3 Laboratory

### 1 Environmental Lab Certification Records

Documents the certification of labs under the USEPA Laboratory Certification Program, DEP, or other agency, and also documents daily quality assurance monitoring. Includes logs, equipment calibration and testing, data reports and workbooks, and related correspondence.

### Retention Period:

Retain 3 years.

310 CMR 22.17; 310 CMR 42.00, 42.14.

# I Environment and Energy

## 2 Environmental Laboratory Records

Documents the laboratory testing of environmental samples containing contaminants, toxins, and pollutants. Includes bacteriological and chemical samples, tests and reports, lab log books, chromatograms, data reports and workbooks, and related correspondence.

### Retention Period:

- (a) Analytical reports, logs, and charts: Retain 10 years.
  - (b) Proficiency tests: Retain 3 years.
- 310 CMR 7.00; 310 CMR 22.17; 310 CMR 42.00; 40 CFR part 58.

## I4 Regulation and Compliance

### 1 Environmental Administrative Law Appeal Case Files

Documents non-criminal cases relating to environmental regulations and laws. Includes administrative record, pleadings, and final decisions.

### Retention Period:

Retain 15 years after closure or last action.

### 2 Environmental Licensing Course Approval Records

Documents the contracting of services relating to the offering of courses suitable for the continuing education requirements of professionals with environmental licenses.

### Retention Period:

Retain 6 years after contract expires.

### 3 Mass Environmental Protection Act (MEPA) Review Records

Documents comments and inputs submitted in accordance with MEPA review requirements prior to EOEAs permit issuance. Includes MEPA documents, engineering reports, environmental assessments, Clean Water Act (Watershed) documents NPDES permit applications and documentation, and related correspondence.

### Retention Period:

- (a) Agency copy: Retain 2 years after EOEAs decision.
- (b) EOEAs copy: to be determined.

Note: EOEAs is the office of record.

30 MGL 61-62H; 310 CMR 7.01(1); 301 CMR 11.00.

### 4 Environmental Strike Force Case Files

Documents complaints about possible criminal violations.

### Retention Period:

- (a) Landmark or noteworthy cases: Permanent.
- (b) Case referral and screening notes: Retain 10 years.
- (c) Non-investigated cases: Retain 10 years.
- (d) Investigated cases: Retain 20 years after case is closed.
- (e) Attorney General civil judgments: Retain 20 years.

### 5 Environmental Licensed Site Professional (LSP) Licensing and Disciplinary Records

Documents related to the licensing and discipline of Hazardous Waste Cleanup Professionals.

### Retention Period:

- (a) Applicant and licensee files: Retain 10 years after application is denied or license ends.
- (b) Disciplinary Complaint Files: Retain 10 years after file is closed.
- (c) Licensing Denial Appeal Files: Retain 10 years after appeal is concluded.
- (d) Meeting Files: Retain final minutes permanently; retain all other records 10 years.

# I Environment and Energy

- (e) Continuing Education Course Files: Retain 10 years after Board's approval of course.
  - (f) Litigation Files: Retain 6 years after litigation is concluded.
  - (g) Contract Files: Retain 6 years after contract expiration.
  - (h) Licensing examinations: Retain 3 years.
  - (i) Program Administration Records: Retain 3 years.
  - (j) Regulation Promulgation Files: Retain final accepted regulations and substantive support materials permanently; retain all other records 3 years.
- 21A MGL 19.

## 6 Environmental Facilities Licensing, Permits, and Certification Records

Documents the licensing of environmental facilities covering operating procedures, facility design, emission limits, groundwater discharge, holding tanks, handling of hazardous waste, recycling, and compliance review. Includes applications, transcripts, fact sheets and plan approval letters, license issuance letters, disciplinary action letters, inspection reports, and related correspondence.

### Retention Period:

Retain 15 years.

310 CMR 7.00; 111 MGL 142A-142M; 21 MGL 43.

## 7 Environmental Regulation and Licensing Records

Documents the licensing, permitting, and subsequent status updating of buildings, facilities, or operations that could adversely impact the environment. Includes applications, site plans, operations and procedures reviews, testing, hazardous waste handling change of status forms, hazardous waste state generator registration forms, and related correspondence.

### Retention Period:

Retain 15 years.

310 CMR 7.00.

## 8 Environmental Monitoring and Inspection Records

Documents the ongoing monitoring of environmental conditions such as air emissions or water discharges to determine and document a facility's compliance status. Includes facility activity descriptions, operating status of pollution control equipment, test results, discharge monitoring reports, and record-keeping evaluations.

### Retention Period:

Retain 15 years.

111 MGL 142A-142M; 21A MGL 16; 310 CMR 5.13; 310 CMR 30.00; 21C MGL; 21 MGL 27(7).

## 9 Environmental Investigation and Enforcement Records

Documents the investigation into licensing violations or other activity adversely impacting the environment. Used to enforce the requirements of 21 MGL as stated in 21A MGL 16; 310 CMR 5.13; and 111 MGL 142A-142M. Includes notices of non-compliance, enforcement orders, penalty assessment notices, return to compliance documents, notice of enforcement conference, includes Ad judicatory hearings and related correspondence.

### Retention Period:

Retain 15 years.

21A MGL 16; 310 CMR 5.00, 5.13; 111 MGL 142; 91 MGL; 131 MGL 40.

## I5 Hazardous Waste Management

### 1 Hazardous Waste Cleanup Cost Recovery Records

Documents DEP invoicing to recover costs incurred by the State in the cleanup of oil and/or other hazardous materials. Includes invoices, site specific reports, annual compliance fees support, and related correspondence.

# I Environment and Energy

## **Retention Period:**

Retain 15 years after costs recovered or written off.

21E MGL; 310 CMR 40.0000; 310 CMR 4.00.

## **2 Federal Superfund Sites Records**

Documents the cleanup of sites designated as Federal Superfund Sites on the National Priorities List (NPL). Superfund sites consist of the most toxic waste sites in the US. 31 had originally been identified in Massachusetts. Includes feasibility studies, proposed plans, remedial design, progress documentation, and delisting documentation.

## **Retention Period:**

Permanent.

21E MGL; 310 CMR 40.000; 42 USC 9605 as amended; 40 CFR 300-399.

## **3 Hazardous Materials Right-To-Know Records**

Provides hazards information for the purpose of chemical spill and other emergency planning. Includes hazardous materials user lists, substances lists, and related other listings.

## **Retention Period:**

Retain 3 years.

Note: Official copy is held by the Local Emergency Planning Commission.

42 USCA 11021; 639 MGL.

## **4 Hazardous Materials Contingency Plan Records**

Documents facility plans to respond hazardous waste emergencies to prevent and minimize hazards to public health, safety, and the environment. Plans are reviewed during inspections, compliance reviews, and enforcement investigations. Includes plans, support materials, and related correspondence.

## **Retention Period:**

Retain 15 years after inactive.

Note: Contingency Plans are filed with local authorities as defined in 310 CMR 30.522.

21C MGL; 310 CMR 30.000; 310 CMR 30.522.

## **5 Hazardous Waste Sites and Spills Records**

Documents the process to apply for, maintain and/or delist (from National Priorities List) hazardous waste sites in compliance with Superfund site regulations. Includes applications, engineering plans, variances, log of materials deposited, and related correspondence.

## **Retention Period:**

Permanent.

42 USC 9605.

## **6 Contaminated Site Cleanup Records**

Documents cleanups of involving hazardous waste spillage or leaks.

## **Retention Period:**

(a) Summary reports: Permanent.

(b) All other records: Retain 10 years.

(c) Non-Reportable: Includes Less than's, Retract's, NOT21E's, and Complaints and Inquiries, Etc.: Retain 3 years.

## **7 Hazardous Materials Regulation Records**

Documents the licensing or other regulation of buildings, areas, or activities that could impact the environment.

## **Retention Period:**

Retain for the life of the structure or installation plus 6 years.

# I Environment and Energy

## 8 Facilities Hazardous Substances Records

Documents hazardous materials use at facilities such as toxic, caustic, flammable and combustible materials. Includes material safety data sheets and related lists and reports.

### Retention Period:

Retain 30 years.

Note: Reports are sent to DEP and to local Fire Marshals.

## 9 Toxics Use Reduction Records

Documents programs to encourage industry and others to lower toxic byproducts created during industrial processes. Includes data from industries relating to developments in the control and reduction of toxins and generic summaries of developments in the control and reduction of toxins.

### Retention Period:

(a) Generic Summary reports: Permanent.

(b) All other records: Retain until summary report is produced, then destroy.

Note: Data may contain trade secret and other exempted materials.

## 10 Asbestos Regulation Records

Documents the process to inspect, review, and enforce asbestos regulations. Includes inspection/test reports, decontamination plans, blanket approvals, waiver requests, field notes, asbestos sampling results, and related correspondence.

### Retention Period:

(a) Notification forms: Retain 3 years.

(b) All other records: Retain 15 years.

Note: DEP is the office of record.

310 CMR 7.15.

## 11 Hazardous Waste Transport and Disposal Records

Documents the transportation and disposal of hazardous waste shipments from generator to final disposal. Includes Uniform Hazardous Waste Manifests (US EPS form 8700-22) and monthly operating report summaries from each transporter.

### Retention Period:

(a) Manifests and receipts: Retain 3 years.

(b) Waste disposal sites: Retain summary data permanently.

## 12 Radioactive Waste Disposal Records

Documents the transportation and disposal of hazardous waste.

### Retention Period:

(a) Manifests and receipts: Retain 30 years.

(b) Waste disposal sites: Retain summary data: Permanent.

## I6 Waste and Emissions

### 1 Air Quality Testing and Monitoring Records

Documents testing of air quality for reporting to the federal EPA as required by 310 CMR 7.99 and 40 CFR 58.

### Retention Period:

Retain 6 years.

310 CMR 7.00; 40 CFR 58.

# I Environment and Energy

## 2 Environmental Equipment Quality Assurance Records

Documents the status of equipment and proper operation and maintenance. Includes site log books, monitoring equipment calibration forms, quality control forms, precision and accuracy, data records, and related correspondence.

### Retention Period:

Retain 6 years.

40 CFR 58.

## 3 Air Quality Public Health Studies Records

Documents special studies of air quality in areas of special concern for the protection of public health. Includes log books, reports, field notes, and other related documents.

### Retention Period:

Retain 15 years.

310 CMR 7.00; 40 CFR 58.

## 4 Clean Air and Water Records

Documents the regulation, monitoring and control of facilities that may produce air or water pollution or other areas of special concern for the protection of public health. Includes facility design and equipment design, operating procedures, permit applications, tests, inspections, field reports and log books, enforcement orders, assessment notices, and related correspondence.

### Retention Period:

Retain 15 years.

310 CMR 6-8,60; 21 MGL 111; 40 CFR part 58.

## 5 Medical, Biological, and other Waste Disposal Records

Documents the disposal of materials from hospitals, laboratories, and other facilities.

### Retention Period:

Retain 3 years.

105 CMR 480.400.

## I7 Water Resources

### 1 Drinking Water Certification, Permits, and Approval Records

Documents the process to review and approve drinking water sources and uses, water withdrawal in excess of threshold, system operators, vending machines, and other. Includes submission review materials, approvals, waivers, monitoring and compliance, and related correspondence.

### Retention Period:

(a) Central Office Copy (DWP Boston): Retain for active period plus 3 years.

(b) Other DWP copies: Retain for active period plus 3 years.

Note: Records may be duplicated in PWS history file.

### 2 Safe Water Act Monitoring and Compliance Records

Documents the monitoring of PWS and private systems for compliance with the Safe Drinking Water Act. Includes water chemical analysis and testing, lead and copper analysis reports, schedule of sampling and analysis, fluoridation reports, sanitary surveys and reports, and related correspondence.

### Retention Period:

(a) Retain 12 years.

Notes:

1. Materials partially duplicated in PWS history files.
2. Essential data is entered onto database.

# I Environment and Energy

## 3 Safe Water Act Investigation and Enforcement Case Files

Documents the investigation and enforcement of drinking water standards pursuant to Safe Drinking Water Act. Includes complaints, field notes, support materials, actions taken, and related correspondence.

### **Retention Period:**

Retain 6 years from final action.

Note: Records may be partially duplicated in PWS history files.

## 4 PWS History Records

Documents all substantive activities and events relating to individual public water systems. Includes permits, certifications, approvals, land acquisition, surveys and inspections, complaints, enforcement documentation, clippings, and related correspondence.

### **Retention Period:**

(a) Central office copies (Boston DWP): Permanent.

(b) Town and regional copies: Retain 12 years.

Note: Boston DWP is the Office of Record for all documentation except correspondence between the Public Water System and the public.

310 CMR 22; 40 CFR 1.

## 5 PWS Construction Plan Review Records

Documents the process to review and approve new construction, modifications and improvements pursuant to 310 CMR 22.04 and the Department's "Guidelines and Policies for Public Water Supplies."

### **Retention Period:**

(a) Consultant's Engineering Reports: Permanent.

(b) Plans and Specifications: Retain 6 years after project is completed.

(c) Denied or otherwise unapproved projects: Retain 3 years.

## 6 PWS/Cross Connection Records

Documents the program to approve permits and to monitor compliance relating to cross connections or other plumbing that may adversely impact with PWS water. Includes Cross Connection Testers certifications, permit approvals, waivers, credits and exemptions, inspection materials, enforcement notices, filter backwash records, underground injection control records, annual reports, and related correspondence.

### **Retention Period:**

(a) Central Office Copy (DWP Boston): Retain for the life of the connection plus 3 years.

(b) Other DWP copies: Retain 3 years.

## 7 Water Management Annual Reports, Surveys, and Statistics Records

Documents the annual water consumption and long-term water usage and trends.

### **Retention Period:**

(a) Final reports, maps, and substantive unique documentation: Permanent.

(b) All other records: Retain 3 years.

## 8 Water Supply Protection Program Records

Documents any programs set up to help locate and protect sources of drinking water. Programs include groundwater protection, aquifer land acquisition, wellhead protection, community technical assistance, drinking water compliance awards. Includes grant documentation, reports, general administration records, and related correspondence.

### **Retention Period:**

(a) Award winners list, water consumption reports, final reports, and substantive unique data and correspondence: Permanent.

# I Environment and Energy

(b) All other records: Retain 6 years after grant or last activity.

Note: Records may be partially duplicated in PWS history files.

## 9 Water Supply Contamination Records

Documents the monitoring of contamination or potential contamination of drinking water due to release of hazardous waste or other toxins into the environment. Includes federal superfund site reports, 21-E hazardous waste site monitoring records, and related correspondence.

### Retention Period:

Retain 12 years.

Note: DEP Bureau of Waste Site Cleanup is the office of record for cleanup enforcement.

## 10 Water Emergency Program Records

Documents the declaration of Water Emergencies pursuant to 21G MGL 15, 17 as amended by 240 MGL Acts of 1989. Includes determination of emergency, water conservation plan, public notices and order letters of determination, reports, water conservation plan checklists, and related correspondence.

### Retention Period:

(a) Central Office Copy (DWP Boston): Permanent.

(b) Other DWP copies: Retain for active period plus 3 years.

Note: Records may be duplicated in PWS history file.

## I8 Public Utilities and Energy

### 1 Energy Conservation Services and Assistance Records

Documents programs to assist the public to conserve energy. Includes grant applications, field notes, and related correspondence.

### Retention Period:

Retain 6 years after close of grant.

### 2 Public Utilities Case Files

Documents the hearing of cases relating to the regulation of public utilities creation, operation, and use as brought before the public utility through the Public Utilities Commission pursuant to 159-164 MGL. Matters may include licensing, rate and tariff setting, land use, accidents, consumer affairs, and other matters. Includes annual returns petitions, applications, hearing notice, exhibits, notice of appearance, briefs, transcripts, Commissioner orders and decisions and related correspondence.

### Retention Period:

Permanent.

159-164 MGL.

### 3 Utility Company Annual Returns Reports

Documents final required reports of utility companies.

### Retention Period:

Permanent.

Cable Television.

For Cable Television Please See B7.

## I9 Forestry, Parks, and Recreation

### 1 Parks Shift Records

Documents incidents and activities on state owned recreational lands. Includes incident reports, shift log books, day use permits, assignments, inventories, and related correspondence.

### Retention Period:

(a) Shift log books (Red-Books): Review by the Archives 6 years after inactive.

# I Environment and Energy

(b) All other records: Retain 3 years.

## 2 Timber Harvesting Licensing Records

Documents the process to issue licenses for persons to harvest lumber. Includes applications, support materials, exams, licenses, and related correspondence.

### Retention Period:

- (a) Summary list of licensees: Permanent.
- (b) Denied or withdrawn applications: Retain 3 years.
- (c) Approved license materials: Retain 3 years after license expires.

## 3 Fishing and Hunting Licensing Records

Documents the process to issue licenses for persons to hunt or fish. Includes applications, support materials, licenses, and related correspondence.

### Retention Period:

- (a) Summary list of licensees: Permanent.
- (b) Denied or withdrawn applications: Retain 3 years.
- (c) Approved license materials: Retain 3 years after license expires.

## 4 Forester Licensing Records

Documents the process to issue forestry licenses for persons to offer their professional services such as forest inventory forest management planning, and timber appraisal. Includes applications, support materials, exams, licenses, and related correspondence.

### Retention Period:

- (a) Summary list of licensees: Permanent.
- (b) Denied or withdrawn applications: Retain 3 years.
- (c) Approved license materials: Retain 3 years after license expires.

Note: Carry forward any materials from previous applications as deemed necessary.

132 MGL 47.

## I10 Well Driller Program

### 1 Completion Reports

The submission of a Completion Report is required by St 1962, c513, the Well Driller submits these reports to the appropriate agency, they are generally one-page reports, and some are submitted with attached maps. Since 2000, the data from these reports has been entered into a MS Access database.

### Retention Period:

- (a) Paper Reports: Permanent at office of deposit.
- (b) Database: Permanent at office of creator.

### 2 Initial Registration Well Driller Application

This series includes: the driller's credentials, licensing test scores, social security number and or federal id number and affidavits.

### Retention Period:

Retain for the life of the driller.

### 3 Renewal Applications

The Well Driller Renewal Application is filed annually, and documents the well driller's pattern. These applications include the driller's social security number, and or federal id number, and copies of checks. This series is arranged by year then by renewal application number. This is a separate series from the Initial Application.

### Retention Period:

Retain 10 years.

# I Environment and Energy

## I11 Energy Facilities Siting Board (formerly Schedule No. 47/89)

### 1 Regulatory Case Files

Utility Forecast Dockets: Includes maps, plans, photos, environmental impact reports, notices of intent, hearing transcripts, exhibits, and decisions. Arranged by case number. These records are not subject to audit.

**Retention Period:**

Retain 10 years.

### 2 Adjudicatory Case Files

Facility Site Dockets. Includes maps, plans, photos, environmental impact reports, notices of intent, hearing transcripts, exhibits, and decisions. Arranged by case number. These records are not subject to audit.

**Retention Period:**

Retain 10 years.

### 3 Hydroelectric Generating Facilities Licensing Case Files

Includes correspondence, maps and plans, field notes, depositions, hearing transcripts, relevant court decisions or DEQE decisions, letter of approval/disapproval. These records are not subject to audit.

**Retention Period:**

Retain 10 years.

### 4 Federal Energy Regulatory Commission (FERC) Filing Files

Includes maps, plans, photos, environmental impact reports, notice of intent, hearing transcripts and decisions. These records are not subject to audit.

**Retention Period:**

Retain 10 years.

### 5 Regulation Review Files

Includes drafts of regulations, testimony, hearing notices, hearing transcripts and decisions. These records are not subject to audit.

**Retention Period:**

Retain 10 years.



# J Public Safety

## J1 Administration

### 1 Uniform National Crime Reports

Documents the production of federally mandated reports. Crime data are, for the most part, supplied by federal, state, and local law enforcement agencies to the FBI on a monthly basis. The FBI assembles, publishes, and distributes the data to contributing agencies, state UCR programs, to government bodies, and to others interested in the nation's crime problem.

**Retention Period:**

Retain 3 years.

### 2 Crime Reports

Documents reports of crimes as sent to State Crime Office.

**Retention Period:**

- (a) Murder reports: Permanent.
- (b) All other reports: Retain 10 years.

### 3 Special Events and Activities Records

Documents the agency's role in the caring out of special events or activities such as parades, sporting events, or concerts. Includes planning documentation, logistical reports, incident reports, narrative and summary reports, and related correspondence.

**Retention Period:**

- (a) Summary reports: Permanent.
- (b) All other records: Retain 3 years or until administrative use ceases, whichever period is longer.

### 4 Emergency Planning and Response Records

Documents planning and reaction to major emergency or disaster situations. Includes plans, background support materials, and related correspondence. Documents official reaction to disasters and emergencies. Includes incident reports, field reports, notes, and related correspondence.

**Retention Period:**

- (a) Summary reports and substantive correspondence: Permanent.
- (b) All other record: Retain 6 years.

### 5 Criminal History Files

Includes information collected on subjects such as arrests, detentions, convictions, acquittals, indictments, corrections history, fingerprints, photographs, and related correspondence.

**Retention Period:**

Permanent.

### 6 Sexually Dangerous Person Case Files

Documents petitions for release of sexually dangerous persons. Includes pleadings, legal research, psychiatric records, investigator materials, and correspondence.

**Retention Period:**

Retain 35 years.  
123A MGL 9; 6 MGL 167; 66A MGL.

## J2 Licensing and Regulation

### 1 Special Licenses and Permits Records

Documents special licenses and permits such as firearms license to sell and carry, permits and registrations, private detective licenses, gunsmith licenses.

# J Public Safety

## **Retention Period:**

Licenses and Permits: Retain until expiration of license.  
140 129b, 131, 122, 122a.

## **J3 State Police**

### **1 Death Investigations and Reports Records**

Documents investigations into sudden or unexplained deaths. Includes death reports, investigation work product, and related correspondence.

## **Retention Period:**

Permanent.

### **2 Criminal Investigation Case Files**

Documents investigations pursued for the purposes of obtaining evidence relating to criminal acts in the Commonwealth. Includes police reports, field interrogation and observation reports, investigation notes and research data, evidence, attorney notes, and related correspondence.

## **Retention Period:**

- (a) Any cases involving noteworthy persons or which set precedent: Review by the Archives after retention period has elapsed.
  - (b) Death cases such as homicides, suicides, and sudden or unattended deaths: Retain 50 years after case is closed.
  - (c) Attorney General's prosecution files: Retain 35 years after case is closed.
  - (d) Attorney General Files not prosecuted: Retain 25 years after case closed.
  - (e) Sexual assault: Retain 15 years after case is closed or if involving a minor victim retain 15 years after minor becomes 16 years old.
  - (f) Felonies: Retain 10 years after case is closed.
  - (g) All other cases: Retain 6 years after case is closed.
- 6 MGL 167; 265 MGL 17,18,19,21; 22, 22A, 23, 24, 24B; 272 MGL 17; 277 MGL 63 as amended 1996.

### **3 Special Investigation Records**

Documents the investigation of jurors, missing persons, businesses, and other situations that criminal activity may be present.

## **Retention Period:**

- (a) Any cases involving noteworthy persons or which set precedent: Review by the Archives after retention period has elapsed.
  - (b) All other records: Retain 6 years after case is closed.
- 234 MGL 4.

### **4 Criminal Activity Surveillance Records**

Documents the monitoring of sources and locations of potential criminal activity. Includes background materials and notes, reports, tapes, photographs, and related correspondence.

## **Retention Period:**

Retain 3 years or until administrative use ceases, whichever period is longer.

### **5 Incident/Complaint Investigation Records**

Documents responses to incidents that did not require formal charges.

## **Retention Period:**

Retain 3 years.

# J Public Safety

## J4 State Police Shift

### 1 Missing Persons Reports Records

Documents reports of missing persons.

#### **Retention Period:**

Retain while active plus 6 years.

### 2 Evidence/Property Control Records

Documents the control of evidence, confiscated materials, and lost and found materials. Includes chain of custody logs and sheets, controlled substances seizure reports, Notice of Sale of Unclaimed Property Control, disposal certifications, and related correspondence.

#### **Retention Period:**

(a) Murder and rape evidence: Retain 50 years.

(b) All other evidence: Retain 6 years after case and appeals closed.

(c) Found or confiscated property: Retain 1 year.

### 3 Crime Scene Documentation Records

Documents the recording of crime scenes through photography and fingerprint taking.

#### **Retention Period:**

(a) Noteworthy cases: Review by the Archives after retention period elapses.

(b) Murder and rape evidence: Retain 50 years.

(c) All other evidence: Retain 6 years after case closed.

### 4 Dispatch and Communications Recordings

Documents all radio, telephone, or electronic communications received or generated during a shift relating to incidents, complaints, patrols, or response. Includes digital, audio, or video recordings of dispatch calls, ambulance calls, E-911 calls, field response, and communications between units and/or command centers.

#### **Retention Period:**

Retain 1 year.

6A MGL 18A-F.

### 5 Shift Logs

Provides supplemental tracking of shift activities in addition to the central activity log.

#### **Retention Period:**

Retain 3 years.

See also record series "J4-11 Central Activity Log Blotter Records."

### 6 Shift Administration Records

Documents the internal administration of shifts. Includes work schedules and assignments, roll calls, premises inspections, equipment and weapons inventories and check out logs, equipment and vehicles maintenance checks, and related materials.

#### **Retention Period:**

Retain 3 years.

### 7 Lost and Recovered Property Records

Documents property where the owner cannot be determined.

#### **Retention Period:**

Retain 1 year.

# J Public Safety

## 8 Firearm/Gunshot Wound Reports

Documents any incidents involving weapons that resulted in wounds. Includes reports and related correspondence and notes.

### **Retention Period:**

Retain 50 years.

## 9 Arrest Records

Documents the process to arrest and book individuals for alleged violations of civil or criminal law. Includes warrants, subpoenas, booking sheets, fingerprint cards, RMV Reports, vehicle inventories, and related reports and correspondence.

### **Retention Period:**

- (a) Official posting of adult records: Permanent.
  - (b) Official posting of juvenile records: Retain 35 years.
  - (c) Sexual assault records: Retain 15 years after final appeal.
  - (d) All other records: Retain 10 years after final case activity or appeal.
- 22B MGL 7; 90 MGL 24N.

## 10 Cell Monitoring Records

Documents the monitoring of detainees as part of routine or special watch such as medical or suicide watch. Includes log postings, reports, or other notes.

### **Retention Period:**

Retain 3 years.

## 11 Central Activity Log/Blotter Records

Documents all incidents, investigations, and activities of each shift.

### **Retention Period:**

Permanent.

## 12 Officers Daily Journal

Documents notes taken by individual officers in the course of routine shift assignments.

### **Retention Period:**

Retain until all required reports and narratives are completed and filed.

## 13 Protective Custody Records

Report containing name and address of citizen placed in protective custody, results of field sobriety test, breath analyzer test results (if applicable) and narrative. In order to record and document the process of placing a citizen into protective custody.

### **Retention Period:**

Retain 3 years.

See also record series "J4-9 Arrest Records."

111B MGL 8.

## 14 Detainee Property Records

Documents a detainee's personal possessions placed in safekeeping.

### **Retention Period:**

Retain 3 years after release.

## 15 Use of Force Reports

Documents the use of force by officers in the response to incidents while on patrol or otherwise. Includes discharge of weapons reports, K-9 use reports, injuries sustained, justifications, and related correspondence.

# J Public Safety

## **Retention Period:**

Retain 10 years.  
140 MGL 155A.

## **16 Ramp Permits**

Documents vehicle information used to record ramp stickers from various airlines and tenants at Logan airport. These files are used for reference purposes.

## **Retention Period:**

Retain 2 years.

## **J5 State Laboratory**

### **1 Laboratory Quality Assurance Records**

Documents crime laboratory quality control monitoring and reporting.

## **Retention Period:**

Retain 3 years.

### **2 Crime Lab Case Records**

Documents laboratory testing to find forensic evidence of arson, drugs, explosives, toxins, personal or material identification, or other related areas. Includes evidence samples, continuity sheets, chain of evidence custody logs, inventories, and receipts, test results and reports, background support materials, and related correspondence.

## **Retention Period:**

- (a) Criminal activity testing: Retain 15 years or 6 years after case closed and appeals exhausted.
- (b) Non-criminal activity testing such as fabric safety tests: Retain 1 year after analysis.

### **3 Forensic Lab Reports**

Documents lab work relating to the identification of confiscated drugs or crime scene analysis. Includes chain of custody receipts and logs, samples for analysis, laboratory test reports and results, and related support materials and correspondence.

## **Retention Period:**

Retain 15 years.

Note: Information may be needed to support court testimony.

### **4 Medical Examiners Autopsy Case Files**

Documents the investigation process to determine the cause of death where an individual met death by violence, such as suicide, murder, gunshot, automobile accident, under the authority of 38 MGL 6,7. Includes history sheet describing medical history and fatal incident, hospital and police reports, final Autopsy Report, a detailed narrative describing the examination, drawings, and examiner's conclusions.

## **Retention Period:**

- (a) Medical Examiner's copy: Permanent.
- (b) District Attorney's copy: Retain 50 years.

## **J6 Fire Marshal**

### **1 Massachusetts Fire Incident Reports**

Documents reports from Fire Chiefs to State Fire Marshal regarding all fires with a dollar loss or human casualty as required by 148 MGL 2.

## **Retention Period:**

Retain 7 years.

# J Public Safety

## 2 Massachusetts Burn Injury Reports

Documents reports by treating Physicians of burns involving 5% or more of the body surface as required by 112 MGL 12A.

### Retention Period:

Retain 7 years.

## 3 Massachusetts Property Insurance Loss Reports

Documents reports by insurance companies regarding claims of \$1,000 or more for structure as required by 148 MGL 32.

### Retention Period:

Retain 7 years.

## 4 Massachusetts Burned/Recovered Motor Vehicle Reports

Documents the compilation of reports pursuant to 266 MGL 29B.

### Retention Period:

Retain 7 years.

## 5 Fire Services Statistical Reports

Documents the compilation of reports and data received by the Department of Fire Services.

### Retention Period:

Permanent.

## 6 Fuel Tank Facility Permit Records

Documents the application for permits for underground storage tanks, above ground storage tanks, marine fueling facilities, and self-service gas stations.

### Retention Period:

Retain for the life of the tank plus 6 years.

## 7 Fire Professional Certificates/Licensing Records

Documents the application of individuals to engage in fireworks, special effects displays, cannon and mortar operations, blasting operations, users and possessors of explosives or black/smokeless powder, fire equipment testing, and maintenance activities. Includes applications, test scores, supporting documents, renewal documents, background checks, and license status documents.

### Retention Period:

- (a) Exams and testing materials: Retain 3 years.
- (b) All other records: Retain 10 years after inactive.

## 8 Fire Marshal Inspection Records

Documents regulatory inspections of facilities or individuals certified, permitted, or licenses by the State Fire Marshal.

### Retention Period:

- (a) If civil, administrative or criminal action is taken: Retain 10 years after case is closed.
- (b) If no civil, administrative or criminal action is taken: Retain 3 years after last activity.

## 9 Fire Code Investigation Records

Documents investigations conducted by civilian compliance officers relating to alleged or actual fire code violations.

### Retention Period:

- (a) Cases involving noteworthy persons or a death: Permanent.
- (b) All other records: Retain 3 years after case is closed.

# J Public Safety

## 10 Firefighting Academy Course and Curriculum Records

Documents the training of Massachusetts firefighters. Includes curriculum and course records and student admissions and registrations.

### Retention Period:

- (a) Official copies of scheduled courses and course descriptions: Permanent.
- (b) Instructor and training manuals: Permanent.
- (c) Curriculum development records: Retain 10 years.

## 11 Firefighting Academy Admissions/Registration Records

Documents the application and subsequent histories of students. Includes applications, acceptance letters, course rosters, medical /injury reports, testing and evaluations, and related correspondence.

### Retention Period:

- (a) Recruit summary records: Retain 75 years.
- (b) In-service summary records: Retain 75 years.
- (c) Pre-screening materials, tests, and quizzes: Retain until 6 months after separation from program.
- (d) All other records: Retain 3 years after program end date.

## 12 State Fire Station Administration Records

Documents activities while on shift, reporting, and other administrative functions. Includes incident reports, shift summaries, shift log journals, environmental inspection summaries, emergency response reports, and related correspondence.

### Retention Period:

- (a) Shift logs and reports: Permanent: Where not held elsewhere as permanent.
- (b) All other records: Retain 3 years.

## J7 Corrections/Inmate

### 1 Inmate Commitments/Discharges Logs and Indexes

Documents the posting of inmate commitments and discharges for the institution. Includes commitment and/or discharge logs or registers, and register index cards.

### Retention Period:

Permanent.

### 2 Inmate Booking Records

Documents the official booking and registration of an individual inmate. Includes booking sheets, fingerprint cards, and photographs.

### Retention Period:

- (a) Fingerprint cards and photographs: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

Note: Substantive booking information becomes incorporated into the "Inmate Institutional Case File (J8-5)."

127 MGL 23, 28.

### 3 Inmate/Detainee Personal Property Records

Documents inmate/detainee personal property received in, sent out, stored, or in the possession of. Includes property sheets, changes, and related correspondence.

### Retention Period:

Retain 3 years after final release.

127 MGL 3.

# J Public Safety

## 4 Inmate Account Records

Documents any inmates personal monies or savings kept under their own account for purchases from the canteen, store or other. Includes receipts, release authorizations and receipts, balance reports, stipend records, and related correspondence.

### Retention Period:

Retain 3 years.

127 MGL 3. 96A MGL.

## 5 Inmate Institutional Case File

Documents the history of individual inmates within a given facility. Folders subcategories include legal, classification, institutional programming, community programming, health, and parole.

### Retention Period:

(a) State prison records: Permanent.

(b) House of Correction records: Retain 25 years after release.

(c) Jail records: Retain 6 years after release.

127 MGL 135.

## 6 Inmate Central Case File

Provides a secondary record of individual inmates as retained by the Central Records Office of the Department of Corrections.

### Retention Period:

Retain 25 years.

Note: The "Inmate Institutional Case File (J8-5)" is the primary inmate file.

## 7 Inmate Medical Records

Documents inmate medical histories while incarcerated. Includes initial screening, medical background materials, doctor or clinic visit documentation, prescriptions, dental records and x-rays, special diets, and related information.

### Retention Period:

Retain 30 years from close of file.

111 MGL 70; 127 MGL 17; 105 CMR 205; 103 CMR 918.06, 932.07.

## 8 Inmate Program Records

Documents institutional programs for inmates such as the Correctional Recovery Academy (CRA), the sex offender program, and the education program. Includes program administration materials, program volunteer files, inmate program acceptances, background materials, progress notes and plans, evaluations, attendance rosters, course completions, and related correspondence.

### Retention Period:

(a) Program routine administration records including program volunteer files: Retain 3 years.

(b) Inmate GED scores: Permanent.

(c) All other records: Retain 5 years after inmate final release.

Note: Be sure no substantive policy, decision-making, or other important records are contained within these files before discarding any records.

27 MGL.

## 9 Inmate Earned Good-Time Rosters (129-D)

Documents support for inmate good-time determinations.

### Retention Period:

Retain 60 years.

# J Public Safety

## 10 Inmate Industrial and Institutional Work Records

Documents inmate participation in work for compensation programs. Includes acceptance documentation, job assignments, work status reports, hours, and related correspondence.

### Retention Period:

Retain 5 years after final release.

127 MGL 51.

## 11 Inmate Furlough/Work Release Files

Documents inmate temporary release from the institution for work or other reasons. Includes authorizations, background materials, reports and notes, transportation and arrangement documentation, and related correspondence.

### Retention Period:

Retain 10 years after final release.

## 12 Inmate Parole Records

Documents the release on parole of an inmate from the institution. Includes Parole Board decisions and discussions, release documentation, and related correspondence.

### Retention Period:

Permanent.

## 13 Inmate Pardons and Commutations Records

Documents decisions to grant or deny pardons or commutations of individuals sentenced to serve time in correctional institutions. Includes requests, background materials, discussion notes, and related correspondence.

### Retention Period:

Permanent.

## 14 Inmate Drug Testing

Documents testing of inmates for use of contraband substances.

### Retention Period:

Retain 3 years.

## 15 Awaiting Action Unit (AAU) Records

Documents the special temporary housing of individuals under protective, sanctioned, or other type of custody.

### Retention Period:

(a) Weekly/monthly AAU status review reports: Retain 3 years.

(b) Daily AAU sheets: When filed separately from Inmate Institutional Case File: Retain 10 years.

## 16 Inmate Restraint, Seclusion, and Monitoring Records

Documents orders to authorize and regulate chemical and non-chemical restraint and/or seclusion or isolation administered to inmates who may be a danger to themselves or others. Includes restraint and seclusion orders, logs, and related correspondence.

### Retention Period:

Retain 10 years when filed separately from "Inmate Institutional Case File (J8-5)."

127 MGL 4.

## 17 Inmate Disciplinary Records

Documents infractions of rules and regulations leading to official disciplinary charges being presented to inmates. Includes notices to appear before Disciplinary Board or Committee, findings, appeals, summary of evidence.

# J Public Safety

## **Retention Period:**

- (a) Primary copies: Retain 10 years when filed separately from "Inmate Institutional Case File (J8-5)."
- (b) Secondary copies: Retain 3 years.
- (c) Hearing tapes: Retain 1 year.

## **18 Inmate Surveillance Records**

Documents general monitoring and investigation of inmates in order to identify possible infractions warranting special investigation. Includes surveillance tapes, background materials and notes, and related correspondence.

## **Retention Period:**

- (a) Materials maintained as evidence in disciplinary action, use of force incident, or civil/criminal litigation: Retain 10 years.
- (b) All other materials: Retain until administrative use ceases. Permission from RCB not required for destruction.

27 MGL.

## **19 Inmate Investigation Records**

Documents investigations of inmates for misconduct or illegal activities. Includes incident or shift reports, investigation notes and reports, and related correspondence.

## **Retention Period:**

Retain 10 years.

## **20 Inmate Visitor Records**

Documents requests to visit inmates. Includes request to visit inmate forms, visitor background information, inmate visitor cards and related correspondence.

## **Retention Period:**

- (a) Request to visit inmate forms: Retain 3 years.
- (b) Barred visitor case files: Retain 20 years.
- (c) Inmate visitor cards ( itemizing all visits per inmate): Permanent in "Inmate Institutional Case File (J8-5)."
- (d) Jail visitor records: Retain 5 years.

126 MGL 16.

## **21 Inmate Grievance Logs and Records**

Documents inmate written complaints filed by an inmate in accordance with 103 CMR 491.00. Includes grievance logs, grievances, resolution documents, and related correspondence.

## **Retention Period:**

Retain 7 years.

Notes:

1. Secondary copies with support materials are maintained by the Institutional Grievance Coordinator. Primary copies are filed in the "Inmate Institutional Case Files (J8-5)."

2. The grievance log tracks all formal grievances filed at the institution.

103 CMR 491.00.

## **22 Inmate Institutional Correspondence**

Documents correspondence to and from inmates.

## **Retention Period:**

Retain 3 years.

## **23 Inmate Telephone System Number Requests**

Documents inmate requests to add or delete persons from the Inmate Telephone System.

# J Public Safety

## **Retention Period:**

Retain until entered onto system.

## **24 Inmate Marriage Records**

Documents the marriage of an individual who is incarcerated.

## **Retention Period:**

Permanent.

## **J8 Corrections Institutional**

### **1 Shift Commanders Daily Reports/Package**

Documents shift activity, significant occurrences, security shift post/daily assignments, time off, etc. for that specific day for all 3 shifts. Includes shift reports, significant occurrences, incident reports, disciplinary reports, master shift rosters, roll call information, daily activities, and related materials.

## **Retention Period:**

Retain 7 years.

260 MGL 3A.

### **2 Unit Log Books**

Documents the daily activities in institution units such as inmate movement into and out of unit and incidents.

## **Retention Period:**

Retain 10 years.

127 MGL 5.

### **3 Shift Post Orders**

Documents instructions to guide staff in the performance of their duties. Orders are signed off by individual staff each shift.

## **Retention Period:**

Retain 7 years.

### **4 Shift Assignment Bid and Swap Records**

Documents the completion of swap slips by staff members requesting to swap one of their shifts with another staff member with the understanding that each staff member is responsible to cover each other's shift. Also documents security staff bidding on an available shift and days off, or available job, or vacation week that becomes available. Includes swap slips, swap log books, bid slips, and time-off log books.

## **Retention Period:**

(a) Swap Slips: Retain 1 year.

(b) Swap Log Books: Retain 5 years.

(c) Bid Slips: Retain 1 year.

(d) Time-off Log Books: Retain 5 years.

Notes:

1. Swap log books accurately account for the approved swap between two staff members: noting their names, and the date and shifts the swaps are to occur.

2. Time-off log books are used by security staff to request time off in advance by writing their name in the log book. It will also note what they are requesting to use for time (Vacation, Personal, and Comp.). These requests are reviewed and signed off on in this book.

### **5 Dietary/Meal Records**

Documents the provision of food and meals to persons under care in state facilities. Includes menu plans, special diet plans, and related correspondence.

# J Public Safety

## **Retention Period:**

Retain 3 years.

## **6 Census and Population Counts**

Documents the tracking of the population of persons under care of DOC.

## **Retention Period:**

Retain until information is captured on electronic record-keeping system.

## **7 Authorization to Enter Forms**

Documents authorizations for non-institutional persons to enter facility. Includes background support materials, and related correspondence.

## **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **8 Vehicle and Persons Trap Logs**

Documents movement of vehicles and persons into and out of prison grounds.

## **Retention Period:**

Retain 10 years.

103 CMR 924.01.

## **9 Inmate Movement Records**

Documents the daily population and movement tracking of inmates within the institution.

## **Retention Period:**

Retain 3 years.

## **10 Mittimus Records**

Consists of court writs instructing the jailor to hold the prisoner.

## **Retention Period:**

(a) When kept in institutional case file: Permanent.

(b) Otherwise: Retain 6 years after release.

127 MGL 7; 103 CMR 155.

## **11 Habeas Corpus Records**

Documents court orders requesting the presence of an inmate.

## **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **12 Code or Alert Records**

Documents routine events requiring emergency response such as medical incidents, fights, or small fires.

## **Retention Period:**

Retain 3 years.

## **13 Use of Force Reports/Package**

Documents the use of force by employees within DOC. Includes use of force reports, incident and d-reports, summary from shift commander, cover letter from Superintendent to Special Operations, and applicable video.

## **Retention Period:**

Retain 10 years.

# J Public Safety

## 14 Corrections Emergency Planning and Response Records

Documents planning and reaction to emergency or disaster situations. Includes plans, background support materials, and related correspondence. Documents official reaction to disasters and emergencies. Includes incident reports, field reports, notes, follow-up, final reports, and related correspondence.

### Retention Period:

- (a) Summary reports and substantive correspondence: Permanent.
- (b) All other records: Retain 10 years.

## 15 Urgent Matter Reports

Documents filing of reports with the Secretary of State's office regarding public safety communications relating to major emergencies or events such as riots, escapes, or serious injury to or by department personnel.

### Retention Period:

- (a) Secretary of State copy: Permanent.
- (b) Commissioner's copy: Permanent.
- (c) Other copies within Public Safety: Retain 10 years.

## 16 Certification and Notification Records

Documents notifications to certified petitioners of changes in inmate incarceration status such as lower security transfer, escape, release, or death.

### Retention Period:

Retain 4 years.

## 17 Overtime Call Lists

Documents notification of available overtime to union employees. Information includes staff member who was hired for overtime, date, shift, number of hours hired for, reason for hire, no phone contact made, refusal to take overtime, and person who made calls.

### Retention Period:

Retain 3 years.

## J9 Middlesex Sheriff's Office

### 1 Inmate Commitments/Discharges Logs and Indexes

Documents the posting of inmate commitments and discharges for the institution. Includes commitment and/or discharge logs or registers and register index cards.

### Retention Period:

Permanent on an electronic record keeping system.

### 2 Inmate/Detainee Central Case Record

Documents the official booking and registration of an individual inmate. Includes fingerprints, FBI official response to fingerprint identification, commitment mittimus, booking memos, any warrants or habeas corpus documents, discharge and property slip.

### Retention Period:

- (a) Fingerprint Cards and photographs: permanent on an electronic record keeping system.
- (b) All other records: Retain 6 years then move to electronic record keeping system.

### 3 Inmate/Detainee Personal Property Records

Documents inmate/detainee personal property received in, sent out, stored or in the possession of. Includes property sheets, changes, and related correspondence.

### Retention Period:

Retain 3 years after final release then move to electronic record keeping system.

# J Public Safety

## 4 Inmate/Detainee Account Records

Documents any inmates personal monies or savings kept under their own account for purchases from the canteen, store or other. Includes receipts, release authorizations and receipts, balance reports, stipend records and related correspondence.

### Retention Period:

Retain 3 years after final release then move to electronic record keeping system.

## 5 Inmate/Detainee Institutional Case File

Documents the history of individual inmates within a given facility. Folders subcategories include legal, classification, institutional programming, community programming, health and parole.

### Retention Period:

(a) House of Correction records: Retain 6 years after release then move to electronic record keeping system.

(b) Jail Records: Retain 6 years after release then move to electronic record keeping system.

## 6 Inmate/Detainee Medical Records

Documents inmate medical histories, including but not limited to initial screening, medical background materials, x-rays, and psychiatric evaluations and visits.

### Retention Period:

Retain 10 years after final release then move to electronic record keeping system.

## 7 Shift Commanders Daily Reports/Package

Documents shift activity, significant occurrences, security shift posts/daily assignments, etc.

### Retention Period:

Retain 5 years.

## 8 Mittimus Records

Consists of court writs instructing the jailor to hold the prisoner.

### Retention Period:

Retain 6 years after release.

## J10 All Sheriffs

### 1 Annual Report to the Commissioner

This is an annual report to the Department of Corrections, pursuant to c. 127 s. 10 103 CMR 915.14.

### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

Note: Department of Corrections maintains a copy.

### 2 Application to Conduct Social Research

This series is to record and provide access to inmate's records pursuant to c. 127 ss. 1A , 1B: c. 127 ss. 1(d), 1(q) 103 CMR 918.02.

### Retention Period:

Retain 5 years after request.

### 3 Arsenal Log

This series is used to record items in the arsenal and identify the personnel who received them.

### Retention Period:

Retain 5 years after date of last entry.

# J Public Safety

## **4 Calendar of Inmates (Inmate log or Convict Register)**

This series is used to track admittance and activity of inmate, pursuant to c. 126 s.5, c. 127 s. 7 103 CMR 915.05.

### **Retention Period:**

Transfer to Archives for Selective Retention.

## **5 Calendar of Inmates (Prepared for Superior Court)**

This series is used to track inmates for appearance in court pursuant to c. 126 s. 5, 103 CMR 915.05.

### **Retention Period:**

Destroy after closure of court session.

## **6 Daily Court Lists**

This series is used to track inmates for appearance in court.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **7 Day Sheets**

This series is used to track activity of inmates.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **8 Disapproval of Correspondence**

This series is used to monitor inmate correspondence Pursuant to 103 CMR 948.07.

### **Retention Period:**

Retain 5 years, unless pending litigation.

## **9 Health Records**

This series is used to record physical exams of inmates pursuant to, c. 127 s. 17, 103 CMR 915.03.

### **Retention Period:**

Retain 5 years after release or termination of parole.

Note: Department of Corrections maintains a copy.

## **10 Individual Institutional Case Records (Case Files)**

This series is used to record information on inmates pursuant to c. 127 s. 135.

### **Retention Period:**

Retain 5 years after release or termination of parole.

Note: Parole Board maintains a copy.

## **11 Index to Inmates**

This series records admission and discharge of inmates.

### **Retention Period:**

Transfer to archives for selective retention.

## **12 Industries Records**

This series is used to record the activities of industries pursuant to c. 127, s. 51.

### **Retention Period:**

Retain 1 year after audit.

Note: The Department of Corrections maintains a copy.

# J Public Safety

## 13 Inmate Cash Receipts

This series records the amount of money in the possession of an inmate upon commitment pursuant to c. 127, s. 3.

### **Retention Period:**

Retain 1 year after completion of audit following release.

## 14 Inmate Personal Property Record

This series records personal property in the possession of an inmate upon commitment pursuant to c. 127, s. 3.

### **Retention Period:**

Retain 1 year following release of inmate.

## 15 Inmate Cash Records

This series is used to record interest accrued from money that was deposited after it was received from an inmate upon commitment pursuant to c. 127, s. 3, c. 96A.

### **Retention Period:**

3 years after following release, escape, or death of inmate provided an audit has been completed.

Note: The State Treasurer maintains a copy.

## 16 Institution Logs

This series is used to record daily inmate and isolation counts, incidents and duty logs pursuant to c. 127, s. 5.

### **Retention Period:**

Retain 5 years after date of last entry.

## 17 Isolation Log

This series records inmates punished by isolation pursuant to c. 127, s. 4.

### **Retention Period:**

Retain 5 years from date of last entry.

Note: A copy is located in the Institution Log.

## 18 Media Waivers

This series is used to record an inmates consent to be interviewed by the news media pursuant to 103 CMR 131. 10.

### **Retention Period:**

Retain 5 years after release or termination of parole.

Note: Department of Corrections maintains a copy.

## 19 Mittimus File

This series is used to record and process the admission, transfer and release of an inmate pursuant to c. 127, s. 7 103 CMR 155.

### **Retention Period:**

Retain 10 years after release or termination of parole.

## 20 Monthly Report of Admissions and Releases

This series is used to record admissions and release of inmates pursuant to c. 127, s. 5.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

Note: A copy of this information is in the Institution Log.

# J Public Safety

## 21 Noncompliance Files

This series is used to record actions taken to comply with the Department of Corrections standards pursuant to c. 127, s. 1B.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

Note: Department of Corrections maintains a copy.

## 22 Orders of Removal

This series is used to record the removal or transfer of an inmate to another institution pursuant to c. 127, s. 120.

### **Retention Period:**

Retain 5 years after release or termination of parole.

Note: Department of Corrections maintains a copy.

## 23 Personnel Files

This series is used to record all activities related to an employee's service.

### **Retention Period:**

Retain 75 years following termination of employment or until termination of employment and after microfilm.

### 23a Personnel Files Master Microfilm

See record series "J10-23 Personnel Files."

### **Retention Period:**

Retain 75 years following termination of employee.

### 23b Duplicate Microfilm

See Item 23.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## 24 Personnel Trap Log

This series is used to record people entering and exiting the institution 103 CMR 924.01.

### **Retention Period:**

Retain 5 years after date of last entry.

## 25 Petitions to Visit

This series is used to record and identify people requesting to visit an inmate pursuant to c. 126, s. 16.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## 26 Photographs

This series is to provide a photographic record of the inmate's appearance at time of Incarceration pursuant to c. 127, ss. 23, 28.

### **Retention Period:**

Retain 10 years until superseded.

## 27 Procedures Manual

This series is used to the detailed operating procedures for the institution pursuant to 103 CMR 910.04.

### **Retention Period:**

Transfer to archives for selective retention.

# J Public Safety

## **28 Reports of Noncompliance**

This series is used to record violations of Department of Corrections regulations noted during state inspections of institution pursuant to c. 127, s. 1B.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

Note: Department of Corrections maintains a copy.

## **29 Transportation Log**

This series is used to record the condition and use of security transport vehicles.

### **Retention Period:**

Retain 5 years after date of last entry.

## **30 Vehicle Trap Log**

This vehicle is used to record vehicles entering and departing the institution.

### **Retention Period:**

Retain 5 years after date of last entry.

## **31 Visitors Cards**

This series is used to record the name, relationship, or purpose of person visiting an inmate pursuant to c. 127, s.36.

### **Retention Period:**

Retain 5 years after release or termination of parole.

## **32 Visitors Log**

This series is used to record all visitors to the institution pursuant to c. 127, ss. 36, 37.

### **Retention Period:**

Retain 5 years after date of last entry.

# K Health and Human Services

## K1 Administration

### 1 Safety and Health Records

Documents the monitoring and planning for a safe and healthy work environment within the agency. Includes safety minutes, studies, and other support materials and notes.

#### Retention Period:

- (a) Substantive reports and summary materials: Permanent.
- (b) All other records: Retain 5 years.

### 2 Health Studies and Surveys Records

Documents special studies of medical research or practices.

#### Retention Period:

- (a) Summary Reports: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

See also record series "H6-6 Sponsored Research Records."

### 3 Long Term Care Cost Reports

Documents reports on costs of medical institutions and programs as required by mandate.

#### Retention Period:

Retain 20 years.

### 4 Guardianships and Conservatorships Records

Documents situations where the state becomes guardian of persons within institutions or in the community.

#### Retention Period:

Retain 6 years after final action, or until child reaches age of 21, and plus 6 years, whichever period is longer.

### 5 Controlled Substances Destruction Records

Documents controls over drugs and other narcotics to prevent mishandling, loss, or theft. Includes inventory sheets, dispersion sheets, and related correspondence,.

#### Retention Period:

Retain 3 years.

### 6 Medicaid Utilization Review Records

Documents the utilization review of MassHealth providers.

#### Retention Period:

Retain 8 years.

### 7 Cemetery, Grave and Burial Records

Documents any records of cemeteries and burials that identify individuals and their final resting place.

#### Retention Period:

Permanent.

## K2 Social Services

### 1 Health and Insurance Claim Records

Documents claims by employees to receive benefits or insurance payments.

# K Health and Human Services

## **Retention Period:**

Retain 3 years.

## **2 Social, Medical, and Economic Assistance Case Files**

Documents the state economic assistance in the form of benefits monies, food stamps, welfare payments, food or clothing, or other type or disbursement. Includes eligibility and acceptance documentation, special conditions, claims and disbursements, and related correspondence.

## **Retention Period:**

Retain 3 years.

66 MGL 17A requires destruction within 10 years after discontinuance of aid granted under 69,117, and 118.

## **3 Client Advocacy Case Files**

Documents agency assistance to clients requiring help navigating the state system. Includes contact information, notes, problem resolution, referral, and related correspondence.

## **Retention Period:**

Retain 3 years.

Note: Take any necessary statistics before discarding files.

## **4 Social Services Appeals Case Files**

Documents client appeals when eligibility for services is denied. Includes appeals, eligibility support materials, and related correspondence.

## **Retention Period:**

Retain 6 years after final resolution.

## **5 Social Services Case Files**

Documents the referral, application, and subsequent issuance of services and or supplies, or other aid outside of direct economic relief.

## **Retention Period:**

Retain 6 years after last activity.

## **6 Disabled Persons Abuse and Neglect Records**

Documents cases of abuse against disabled persons from age 19 to age 59.

## **Retention Period:**

(a) DPPC file: Retain 10 years.

(b) All other records: Retain 6 years after case closed.

## **7 Elder Abuse and Neglect Case Files**

Documents abuse of elders. Includes complaints, investigation notes, determinations, and related correspondence.

## **Retention Period:**

(a) Elder Affairs copy: Retain 10 years.

(b) All other records: Retain 6 years after case closed.

## **8 Institutional Abuse and Neglect Records**

Documents complaints and investigations of abuse of institutionalized persons.

## **Retention Period:**

Retain for life of institution plus 6 years and subject to review by the Archives.

# K Health and Human Services

## 9 Disability Rehabilitation Case Files

Documents the application for and subsequent issuance of services, supplies, and other aid to assist in the rehabilitation of disabled individuals through programs such as Employment Service Program and the Statewide Head Injury Program. Includes referrals, applications, application support materials, service plans, follow-up documentation, and related correspondence.

### Retention Period:

- (a) Statewide Head Injury Program Case Files: Retain 25 years after case closure.
- (b) Employment Service Case Files: Retain 6 years after case closure.
- (c) All other program case files: Retain 3 years after case closure.

Note: Aid does not include direct economic relief.

## K3 Child and Family Services

### 1 Child Abuse and Neglect Case Files

Documents complaints and investigations into alleged child abuse and neglect. Includes reports, screening and investigation materials, consumer registration data, medical reports, evaluations of children and family, and related correspondence.

### Retention Period:

- (a) Unsupported reports of abuse and neglect: Destroy and/or expunge identifying information 1 year after 51A report is found to be unsubstantiated.
- (b) All other records: Retain until child reaches age 21 plus 6 years.  
119 MGL 51E.

### 2 Children in Need of Services (CHINS) Case Files

Documents social services investigations into family situations, which may require assistance in order to protect children within the home. Includes assessments and other intake materials, examinations, evaluations, narratives and reports, and related correspondence.

### Retention Period:

Retain 3 years.

### 3 Family and Child Protective Services Case Files

Documents social services assistance given to families to protect children's welfare within the home. Includes assessments and other intake materials, service plan and authorizations, narratives, examinations, evaluations, legal documents and other materials on child and family receiving services in the home where the initial contact was a 51 A report (These cases do not involve state custody).

### Retention Period:

- (a) Intact family records: Permanent.
- (b) Volunteer family records: Retain 3 years.
- (c) Single service such as day care, homemaking, and babysitting: Retain 3 years.
- (d) Services refused, found ineligible, referred, or otherwise deferred: Retain 3 years.

### 4 Child Substitute/Foster Care Case Files

Documents the removal of children from the home and subsequent placement with substitute care facilities. Includes assessments and other intake materials, service plans and authorizations, correspondence, narrative, examinations, evaluations, legal documents, and other materials.

### Retention Period:

Permanent.

Notes:

1. The HHS regional office is the office of record.
2. Substitute Care Facilities are licensed by HHS.

# K Health and Human Services

## 5 Adoption Legal Tracking Records

Documents DSS tracking of legal actions relating to the separation of a child from its birth parents and its adoption by others. Includes legal action log, copies of court documents, reports, and related support materials and correspondence.

### Retention Period:

- (a) Where child was placed: Permanent.
- (b) Where child was not placed: Retain 30 years.

## 6 Adoption and Foster Home Studies Records

Documents evaluations of child placement situation for submission to the court for consideration. Includes evaluations, reevaluations, references, background materials on family seeking to adopt, service provision documents, and related correspondence.

### Retention Period:

- (a) Where child was placed: Permanent, where file is not part of adoption or foster care case file.
- (b) Where child was not placed: Retain 5 years.

## 7 Adoption Case Files

Documents the process to approve adoptions and subsequent care. Includes applications, background support materials, petitions, court rulings, Adoption Home Studies of adoption family, legal documents, narratives, follow-up documents, and other materials on the adoptive child, and related correspondence.

### Retention Period:

- (a) Where child was placed as ward of state: Permanent.
- (b) Independent adoptions where child was placed through relatives or private agencies: Permanent.

Note: Independent adoptions require DSS evaluation since 1931.

210 MGL 5D.

## K4 Laboratory

### 1 Patient Autopsy Records

Documents the forensic examination of patients to determine the cause of death. Includes transport and identification materials, examination reports, and related correspondence.

### Retention Period:

- (a) Final reports: Permanent.
- (b) All other records: Retain 30 years.

See also record series "J5-4 Medical Examiners Autopsy Case Files."

### 2 Laboratory Licensure and Certification Records

Documents the certification and monitoring of medical laboratories by the state and by federal agency CLIA.

### Retention Period:

- (a) Original license and licensing summary: Retain for the life of the lab plus 6 years.
- (b) Inspection reports, complaint investigations, and related correspondence: Retain 6 years after closure.
- (c) All other quality assurance records: Retain 3 years.

111 MGL D; 105 CMR 180.000; P. Law 100-578; 42 CFR 493.

### 3 Blood, Tissues, and Organs Administration Records

Documents the monitoring and control of blood maintained for use during medical emergencies and operations.

### Retention Period:

Retain 3 years.

# K Health and Human Services

## 4 Health Laboratory Tests, Clinical

Documents biological and medical tests performed as part of patient care.

### Retention Period:

Retain 3 years.

## 5 Quality Assurance Records

Documents efforts to monitor and recommend areas of care that can or should be improved. Includes patient variance reports, client status studies, and related correspondence.

### Retention Period:

(a) Summary reports: Permanent.

(b) All other records: Retain 3 years.

## 6 Childhood Lead Poisoning Test Program

To establish if lead is present in blood sample.

### Retention Period:

(a) Retain 6 years.

## K5 Vital Records

### 1 Birth Index

Consists of birth indexes to birth returns.

### Retention Period:

Permanent.

Note: Municipalities retain their own indexes.

374 MGL; 486 MGL 17.

### 2 Birth Returns

Documents the official recording of all births in Massachusetts as reported to the Registry of Vital Records. Includes registers, transcribed certificates, copies of certificates, or any other formatted information that officially captures birth information for the Commonwealth.

### Retention Period:

Permanent.

Note: Municipalities also retain official birth records for their localities.

374 MGL; 486 MGL 17.

### 3 Birth Certificate Risk Data Consent Forms

Documents mother consents to have birth risk data forwarded to be assessed for service needs.

### Retention Period:

Retain until entered onto Registry of Vital Records First Link data base, then destroy.

### 4 Marriage Index

Consists of marriage indexes to marriage returns.

### Retention Period:

Permanent.

Note: Municipalities retain their own indexes.

374 MGL; 486 MGL 17.

### 5 Marriage Returns

Documents the official recording of all marriages in Massachusetts as reported to the Registry of Vital Records. Includes registers, transcribed certificates, copies of certificates, or any other formatted information that officially captures marriage information for the Commonwealth.

# K Health and Human Services

## **Retention Period:**

Permanent.

Note: Municipalities also retain official marriage records for their localities.

374 MGL; 486 MGL 17.

## **6 Death Index**

Consists of death indexes to death returns.

## **Retention Period:**

Permanent.

Note: Municipalities retain their own indexes.

374 MGL; 486 MGL 17.

## **7 Death Returns**

Documents the official recording of all deaths in Massachusetts as reported to the Registry of Vital Records. Includes registers, transcribed certificates, copies of certificates, or any other formatted information that officially captures death information for the Commonwealth.

## **Retention Period:**

Permanent.

Note: Municipalities also retain official death records for their localities.

374 MGL; 486 MGL 17.

## **8 Live Birth Certificates R3**

Documents the indexing or other compiling of live birth information for reference or statistical purposes and not for official recording purposes.

## **Retention Period:**

(a) Final index or compilation: Permanent.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

Note: Information may be included in annual report.

374 MGL; 486 MGL 17.

## **9 Change of Name Reports R600**

Documents the indexing or other compiling of name change information for reference or statistical purposes and not for official recording purposes.

## **Retention Period:**

(a) Final index or compilation: Permanent.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

Notes:

1. Probate Courts keep official records.

2. Information may be included in annual report.

374 MGL; 486 MGL 17.

## **10 Divorce or Annulment Reports R408**

Documents the indexing or other compiling of divorce information for reference or statistical purposes and not for official recording purposes.

## **Retention Period:**

(a) Final index or compilation: Permanent.

(b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

# K Health and Human Services

Notes:

1. Probate Courts keep official records.
2. Information may be included in annual report.  
374 MGL; 486 MGL 17.

## 11 Abortion Summary Reports R109

Documents the indexing or other compiling of abortion information for reference or statistical purposes and not for official recording purposes.

### Retention Period:

- (a) Final index or compilation: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

Notes:

1. Information may be included in annual report.
2. Summaries do not include personal identifiers.  
374 MGL; 486 MGL 17.

## K6 Patient

### 1 Drug Reactions, Adverse Records

Documents reactions to medications and drugs.

### Retention Period:

Retain 3 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

### 2 Mental Health Inpatient Files

Documents the inpatient care of individuals for mental health care in state facilities. Includes commitment papers and background support documentation, medical charts, progress reports, evaluations, and related correspondence. Also, any other materials considered part of the individual's inpatient medical record.

### Retention Period:

Retain 30 years.

### 3 Patient X-Ray Records

Documents laboratory test results or recordings that are filed separately from a patients' main case file.

### Retention Period:

- (a) Radiation exposure films (X-Rays): Retain 10 years.
- (b) Digital X-Rays: Retain 10 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

### 4 Patient Admission and Discharge Records

Documents the admission and discharge of inpatients. Includes admission and discharge forms, support documentation, logs and registers, and related correspondence.

### Retention Period:

- (a) Logs and registers: Permanent.
- (b) Discharges where patient has died: Permanent.
- (c) All other records: Retain 20 years after discharge.

Notes:

1. Logs and registers may be useful as indexes to patient files.

# K Health and Human Services

2. Where patient has died onsite there may be separate death registers and accompanying files.
3. Note: 3 DMH, if filed in the client/patient record see K6-2 or K6-5 as applicable.  
111 MGL 70.

## 5 Mental Health Client Outpatient Clinic and/or Community Service Records

Documents the mental health care of patients/clients provided by state operated outpatient clinics, emergency services, crisis stabilization and/or the provision of mental health care by state operated mental health Community services (including Case Management/Case Coordination, residential services, transitional housing and any other state operated Community Service). Includes eligibility determination records, medical information, Individual Service Plans and/or other treatment plans evaluations, assessments, progress notes, correspondence, and any other materials considered part of the patient/client record.

### **Retention Period:**

Retain 30 years after close.

## 6 Dental Records

Documents dental work on residents.

### **Retention Period:**

Retain 30 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

## 7 Patient/Resident Accounts Records

Documents cash accounts of patients/ residents.

### **Retention Period:**

Retain 3 years after separation.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

## 8 Medical Patient Case Files

Documents the medical histories of patients admitted to hospitals, long term care facilities, soldiers' homes, and nursing homes. Includes eligibility, admittance, medical charts and notes, prescriptions, diet, reports, evaluations and plans, death reports, discharge papers and related correspondence.

### **Retention Period:**

Retain 20 years after discharge.

Note: For mental health records see K6-2.

111 MGL 70.

## 9 Patient Rehabilitation Program Records

Documents programs within the institution to promote recovery or well-being.

### **Retention Period:**

(a) Summary documentation: Permanent.

(b) All other records: Retain 3 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

## 10 Institutional Client Property and Valuables Records

Documents patient personal property held in storage for them by the institution. Includes inventory listings, releases, additions, or changes, and related correspondence.

### **Retention Period:**

Retain 3 years after final release.

# K Health and Human Services

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

## 11 Resident/Patient Consent Decree Records

Documents consents for medical assistance, care, or surgery. Includes consent decrees, court orders, and Office of Quality Assurance correspondence.

### Retention Period:

When not filed with patient case files: Retain 6 years and subject to review by the Archives.

Note: Copy is sent to the Attorney General's Office.

Note: Where these records are part of a client's DMH inpatient or community records, Refer to K6-2 or K6-5, as applicable.

## 12 Resident Emergency Fact Sheets

Provides information on patients such as personal contacts to be used in case of emergency.

### Retention Period:

Retain until patient separates.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

## 13 Resident Commitment Papers

Documents the legal commitment of individuals to institutions. Includes mittimi, legal docs authorizing commitments and transferals, applicant statements, physician certifications, and other papers, voluntary admissions.

### Retention Period:

Permanent.

Note: Probate Courts may retain copies.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

## 14 DMH Client Human Rights Complaint/Investigation Records

Documents complaints of a "dangerous, illegal or inhumane" nature from or pertaining to DMH patients, clients, or other "recipient of services" and also documents any subsequent follow-up, investigation, or referral. Includes complaints, support materials, interview notes, fact-finding reports, decisions, referral for action, and related correspondence.

### Retention Period:

(a) Public Log of complaints with redacted personal identifiers: Permanent.

(b) Out-of scope, incomplete, or withdrawn complaints: Retain 3 years.

(c) Departmental Case File: Retain 6 years after final case activity including any referred case activity.

(d) Central Office of Investigations File: Retain 6 years after final case activity including any referred case activity.

(e) Cases involving children: Retain 6 years after child reaches age 22 and after final case activity including any referred case activity. If age of child cannot readily be determined: Retain 30 years.

Notes:

1. Record series applies to all programs and facilities licensed, contracted for, or operated by the Department of Mental Health.

2. Cases may be required to be referred to other agencies if criminal activity, abuse and neglect, death, or where licensing infractions may have occurred.

19 MGL 1, 10; 19A MGL 15; 19C MGL; 30A MGL 1(1); 38 MGL 3; 119 MGL 51A; 104 CMR 32.00.

## 15 MH Forensic Evaluation Records

Documents forensic mental health services provided by the Department of Mental Health including evaluations performed (and supporting materials) by DMH pursuant to court orders or statutory mandate.

# K Health and Human Services

## **Retention Period:**

(a) Court ordered evaluations (statutory and non-statutory) and Parole Reports/Evaluations: Retain 10 years after latest evaluation.

(b) Forensic Transition Team Records. Mandatory Forensic Reports, MI/PSB reports, and Jail Treatment Reports: Retain 6 years, where not otherwise part of a DMH record.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

## **16 External Reviews**

Documents the appeals filed by consumers under MGL chapter 1760. Includes patient demographic information, patient medical records, health plan grievance files, and supporting documentation from physicians and other clinicians, decisions by the external review agencies.

## **Retention Period:**

Retain 4 years after case closure.

Note: Some or all of the information contained in these cases is also maintained by the external review agency, the health plan, and in many cases, by the appellant. OPP only acts as the administrator and in many cases, does not have the complete file in its possession. In addition, OPP maintains an electronic database of cases including patient demographics, case summaries, the health plans involved, and the outcomes. It is also important to note that most of the information contained in these records is not public information as it contains personal and medical information.

## **17 Managed Care Inquiries Through the Office of the Managed Care Ombudsman**

This series documents inquiries filed by consumers regarding health plan denials of care appeals for services. Includes records of phone calls, facsimiles, copies of bills, medical records and related correspondence.

## **Retention Period:**

Retain 2 years after case closure.

Note: in many of the above inquiries, OPP provides the consumer with information about the appropriate state agency or organization that can assist with the situation being described. Most of the information is not a public record. OPP has no enforcement authority but will refer callers to the appropriate agency or organization.

## **18 Health Plan Inspections**

OPP periodically conducts random on-site inspections of health plan grievance and appeal files.

## **Retention Period:**

(a) OPP check list and supporting documentation: Retain 1 year.

(b) Summary letters and health plan corrective action plans: Retain 5 years.

## **K7 Pharmacy**

### **1 Pharmacy and Prescriptions Records**

Documents the filling of individual prescriptions for patients. Includes prescriptions, inventories, and related logs, reports, and correspondence.

## **Retention Period:**

Retain 3 years.

Note: Prescriptions may also be kept in individual patient files.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

260 MGL 4a.

# K Health and Human Services

## K8 Program Administration

### 1 Insurance Policies and Rate Setting Records

Documents rate setting for health care and insurance programs.

#### Retention Period:

- (a) Hearing Transcripts: Permanent.
- (b) All other records: Retain 10 years.

### 2 Social Needs Assessments Reports

Documents assessments for planning and policy determinations.

#### Retention Period:

- (a) Final reports: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

### 3 Program Monitoring and Review Records

Documents the monitoring of programs and individual case work to insure quality care. Includes sampling studies, interviews, field notes, statistical reports, notes, recommendations, and related correspondence.

#### Retention Period:

Retain 3 years.

Note: Excludes monitoring done to make decisions about treatment of an individual that is done for research.

### 4 Medical Rate Setting Case Files

Documents the setting of rates to be paid to providers of health services such as Medicaid and other state insurance programs and to determine charges for state care and services. Includes hearing transcripts, public comment, and related correspondence.

#### Retention Period:

- (a) Final hearing transcripts: Permanent.
- (b) All other records: Retain 10 years.

### 5 Service Provider Monitoring and Investigation Records

Documents the monitoring of contracted service providers for the state.

#### Retention Period:

Retain 3 years.

## K9 Public Health

### 1 Infectious Disease Case Files

Documents Department of Public Health identification of cases of infectious disease and any subsequent follow-up. Includes intake documents, laboratory reports, physician notes, outreach notes, preventative actions, and related correspondence.

#### Retention Period:

- (a) Verified cases: Retain 10 years.
- (b) Withdrawn, non-jurisdictional, or revoked cases: Retain 1 year.

### 2 Medical Staff Complaints/Discipline Records

Documents complaints against medical staff or personnel.

#### Retention Period:

- (a) Medical doctors: Retain 25 years.
- (b) All other practitioners and staff: Retain 6 years after final activity.

# K Health and Human Services

## 3 Infectious Disease Outbreak Records

Documents Department of Public Health identification of infectious disease outbreaks and any subsequent follow-up. Includes intake documents, laboratory reports, physician notes, interview notes, questionnaires, data analysis, summary reports, preventative actions, and related correspondence.

### Retention Period:

- (a) Summary reports and substantive analysis and support data: Permanent.
- (b) All other records: Retain 10 years.

## 4 Immunization Records

Documents the immunization of staff, patients, students, or the general public where the facility provided the immunization.

### Retention Period:

Retain for the life of the immunization.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

## 5 Community Sanitation Inspection Records

Documents inspections of recreational camps, minimal housing, correctional facilities, farm labor camps, lockups. Includes complaints, inspectional reports, responses, and related correspondence.

### Retention Period:

Retain 6 years after close.

111 MGL 127A; 111 MGL 5; 140 MGL 32A; 111 MGL 20; 11 MGL 128G; 105 CMR 420.00, 470.000.

## 6 Food and Drug License and Permits Records

Documents the process to grant and monitor licenses and permits to individuals and business handling food and drugs.

Includes permit applications, inspection reports, labels, corrective action plans, interstate shellfish forms, and related correspondence.

### Retention Period:

Retain 6 years after inactive.

105 CMR 533.000.

## 7 Animal Care Regulation and Monitoring Records

Documents care of animals kept for research purposes in compliance with 9 CFR 2.75. Includes individual care charts, animal id, diets, brooder charts, and related correspondence.

### Retention Period:

Retain 3 years.

9 CFR 2.75.

## 8 Human and Animal Subjects Protection Records

Documents the monitoring of humans and animals for research purposes. Includes research protocols, background support materials, animal conditions reports, and Institutional Review Board decisions and notes.

### Retention Period:

- (a) IRB minutes: Permanent.
- (b) Materials kept as part of sponsored research projects: Retain 6 years after close of grant.
- (c) All other materials: Retain 3 years.

## 9 Quarantine Health Records

Documents the quarantine of patients or staff due to fear infection or disease spreading to others. Includes quarantine orders, background materials, and related correspondence.

# K Health and Human Services

## **Retention Period:**

- (a) Retain summary documentation: Permanent.
- (b) All other records: Retain 10 years.

## **10 Infection and Communicable Disease Control Records**

Documents the monitoring and control of infectious disease within the institution. Includes monitoring and reporting documents, reports, and related correspondence.

## **Retention Period:**

- (a) Retain summary documentation: Permanent.
- (b) All other records: Retain 10 years.

## **11 Radioactive Materials Monitoring and Control Records**

Documents the control of radioactive materials in state institutions and facilities.

## **Retention Period:**

- (a) Materials inventories: Permanent.
- (b) All other records: Retain 30 years.

## **12 Ambulance Licensure Records**

Documents licensure of ambulances and drivers.

## **Retention Period:**

- (a) Candidate exam sheets: Retain 1 year.
- (b) All other records: Retain 6 years.

## **13 Community Based Services Case Files**

Documents individuals serviced by programs created to provide public health services to local communities. Includes needs assessments and profiles, services case files, and related correspondence.

## **Retention Period:**

- (a) Children's files: Retain 20 years after discharge or final treatment.
- (b) All other case files: Retain 6 years after close.
- (c) Denied or withdrawn applicants files: Retain 3 years.

## **14 Epidemiology Case Records**

Documents the positive results of communicable reportable diseases. Test results of communicable diseases: Malaria, Typhoid, Measles, Mumps, Rubella, Leprosy, Salmonellas, Rabies, and Encephalitis. Doctors and hospitals submit samples.

## **Retention Period:**

30 years.

Note: A duplicate resides in a database (electronic) at the Local Board of Health.

## **15 Report of Infectious Diseases**

This is a record of incidence of infectious disease reported by a doctor, laboratory, clinic or hospital. These reports from the Boards of Health of cities and towns listing: name, data, age, sex, address and disease. Towns list them alphabetically.

## **Retention Period:**

Retain 7 years.

## **16 Forensic Test Results**

These results confirm identity of drug samples confiscated by police. This information may be used in court proceedings to support testimony of a chemist. They are mass spectra of drug analyses. Laboratory number identifies them. This series includes any electronic records.

# K Health and Human Services

## **Retention Period:**

Retain 10 years.

Note: A certificate is sent to the court and to the police department.

## **17 Initial EMT Certification Files**

Documents the certification of basic and advanced EMTs and tracks testing performance, which also includes challenge and reinstatement candidates pursuant to 105 CMR 170.000. This series includes memos correspondence, application forms and fees, exam answer sheets, exam group rosters, reinstatement applications and exam challenge applications. Arranged numerically.

## **Retention Period:**

Retain 3 years.

Note: This series is contained in a computer system.

## **18 Initial Course Approval Files**

Documents approved courses for initial certification of basic and advanced EMTs pursuant to 105 CMR 170.900. This series includes: application forms, letter of approval, and class roster. Arranged numerically.

## **Retention Period:**

Retain 3 years.

(a) Candidate Exam Sheets 1 year.

Note: This series is contained in a computer system.

## **19 Recertification Application Files**

Documents the rectification of basic and advanced EMTs pursuant to 105 CMR 170.900. This series includes: memos, correspondence, application form and fee, CPR card, special credit letters, and discrepancy letters. Arranged alphabetically.

## **Retention Period:**

Retain 2 years from expiration date.

Note: In-house computer system.

## **20 Continuing Education Files**

This series documents the approved training programs for EMTs pursuant to 105 CMR 170.960. Included in this series are: memos, correspondence, application for a course, course approval notice, roster of course attendees, and EMT numbers. Arranged numerically.

## **Retention Period:**

Retain 3 years.

Note: In-house computer system.

## **21 Ambulance Licensing Files**

This series documents license ambulance services and certify ambulances pursuant to MGL c. 111C and 105 CMR 170.200. Included in this series are: memos, correspondence, applications for licenses/renewals and fee, inspection reports, and copies of licenses. Arranged alphabetically.

## **Retention Period:**

Retain 7 years.

Note: In house computer system.

## **K10 Shift**

### **1 Resident Death Report Records**

Documents deaths of residents under the care of a state institution.

## **Retention Period:**

Permanent.

# K Health and Human Services

## 2 Restraint and Seclusion Records

Documents forcible restraint and/or seclusion of patients.

### Retention Period:

Retain 3 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

## 3 Death Records

Documents deaths of individuals. Includes doctor's report, death certificates, logs and registers, and related correspondence.

### Retention Period:

Permanent.

## 4 Ambulance Trip Institutional Records

Documents movement of patients to or from facility.

### Retention Period:

Retain 3 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

## 5 Birth Records

Documents the recording of the birth of individuals. Includes standard certificates of live birth, corrections, logs and registers, and related correspondence.

### Retention Period:

Permanent.

## 6 Shift Code Emergency Response Records

Documents any emergencies taking place during a shift where a code was called. Includes incident reports, notes, and related correspondence.

### Retention Period:

(a) Retain summary documentation: Permanent.

(b) All other records: Retain 10 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

## 7 Shift Reports

Documents the activities of shifts. Includes logs, inspection reports, inventories, shift reports, and related correspondence.

### Retention Period:

Retain 3 years.

## 8 Visitors Records

Documents visitors to institutions to see patients.

### Retention Period:

(a) Permanent, where patient files are kept as permanent.

(b) Otherwise, retain 3 years.

## 9 Intern and Resident Training Records

Documents the training files of interns and resident doctors.

# K Health and Human Services

## **Retention Period:**

Retain 6 years after separation.

## **10 Daily Census**

Documents the recording of the number of institutionalized persons.

## **Retention Period:**

- (a) Summary data reports: Permanent.
- (b) All other records: Retain 3 years.

## **11 Paramedics Communication Logs**

Documents communications between ambulances and paramedics and the institution.

## **Retention Period:**

Retain 1 year.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

## **K11 Division of Health Care Finance and Policy**

### **1 Hospital Field Audit Work Papers (report RSC403)**

#### **Retention Period:**

Retain 10 years.

Note: This series is subject to audit.

### **2 Hospital Cost Reports (report RSC403)**

#### **Retention Period:**

Retain 10 years.

Note: This series is subject to audit.

### **3 Long Term Care Cost Reports**

This series includes the reports HCF 1, 2, 3, 4.

#### **Retention Period:**

Retain 20 years.

Note: This series is subject to audit.

### **4 Ambulatory Care Reports**

This series also includes: Adult Day Health, Adult Foster Care, Community Health Center, and Nursing Services Cost Reports.

#### **Retention Period:**

Retain 10 years.

Note: This series is subject to audit.

### **5 Hospital Charge Books**

These books list the charges for hospital services.

#### **Retention Period:**

Retain 4 years.

### **6 Intermediate Care Facilities for the Mentally Retarded Cost Reports**

#### **Retention Period:**

Retain 10 years.

# K Health and Human Services

## 7 Hospital Annual Financial Filings

### Retention Period:

Retain 10 years.

Note: This series is subject to audit.

## 8 Certified Nursing Assistants (CNA) Add-On Reports

This series is made up of Reports and audits.

### Retention Period:

Retain 20 years.

Note: This series is subject to audit.

## 9 Blue Cross Blue Shield Contracts

This series is made up of Blue Cross Blue Shield contracts with Ambulatory Care providers.

### Retention Period:

Retain 10 years.

## 10 Public Hearing Records

This series is made up of Public Hearing Records and Business Meeting folders.

### Retention Period:

Permanent.

## 11 Credit and Collection Policies

This series includes Acute Hospitals Credit and Collection Procedures.

### Retention Period:

Retain 10 years.

Note: This series is subject to audit.

## 12 UCP/Health Safety Net Audits

### Retention Period:

Retain 10 years.

## 13 Nursing Facility Petitions

This series includes Petitions filed by nursing facilities regarding rates.

### Retention Period:

Retain 30 years.

## 14 Substance Abuse Treatment Program Licensing Records

Documents the process to license treatment programs. Includes applications, inspection reports, deficiency correction orders, background support materials, license approvals and related correspondence.

### Retention Period:

(a) Summary list of licenses: Permanent.

(b) All other records retain 6 years.

105 CMR 164.00.

## 15 Alcohol and Drug Counselor Records

Documents the process to grant licenses to alcohol and drug counselors. Includes applications, background support materials and related correspondence.

# K Health and Human Services

## **Retention Period:**

(a) Retain original filing and a summary of subsequent filings for the potential licensing period of the individual plus 3 years.

(b) All other records: Retain 3 years from expiration or cancellation of license.

105 CMR 168.000.

## **16 Licensure Complaints, Investigations and Hearing Records**

Documents complaints against licensed programs or licensed counselors, and includes investigations, reports and findings, agency actions, hearing proceedings [non-methadone], transcriptions and related correspondence.

## **Retention Period:**

(a) Abandoned, incomplete, non-jurisdictional, withdrawn or dismissed complaints: Retain 1 year.

(b) All other records: Retain 3 years after final resolution.

## **17 Methadone Appeals**

Documents appeals submitted to the State Methadone Authority from clients discharged from Opioid Treatment Programs including the record of the program hearing including audiotape and the determination on appeal.

## **Retention Period:**

Retain 3 years after final resolution.

105 CMR 164.309.

## **18 Site Visits to Substance Abuse Treatment Programs**

Documents financial, contractual and statistical program evaluation of contracted sites and includes reports and findings.

## **Retention Period:**

Retain 3 years.

# L Revenue and Taxation

## L1 Tax Policy and Administration

### 1 Uniform Commercial Code Financial Statements

Documents reports for regulation purposes.

**Retention Period:**

- (a) Official copy: Permanent.
- (b) All other records: Retain 6 years.

### 2 Tax Policy and Analysis Reports

Documents DOR analysis of potential impacts of tax law changes including forecasts for Commonwealth tax collection. Reports may also analyze impacts of special internal programs such as tax amnesty. Reports may be written for internal use or as special projects for Administration and Finance, the Legislature, or the Governor.

**Retention Period:**

- (a) Final reports: Permanent.
- (b) Report data and notes: Retain until administrative use ceases. Permission from RCB not required for destruction.

### 3 Tax Issues and Policy Proposal Records

Documents the recommendation or proposal of tax policy or procedural changes to internal or external rules and regulations or legislation. Includes issues background information, recommendations, proposed legislation, and related correspondence.

**Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## L2 Tax Customer Service

### 1 Taxpayer Advocate Case Files

Documents agency help for individuals with tax problems or issues referred to the taxpayer advocate, problem resolution, or customer services. Includes intake documents, support and background materials, audit papers, rate and calculation sheets, adjustments and corrections, and related correspondence.

**Retention Period:**

Retain 6 years after final case activity.

### 2 Taxpayer Customer Service Records

Documents the intake and handling of taxpayer inquiries or complaints. Includes intake documents, background and support documentation, audit papers, rate and calculation sheets, adjustments and corrections sheets, and related correspondence.

**Retention Period:**

Retain 3 years.

Note: Some cases may be referred to other units of DOR depending on the nature of the problems to be addressed.

### 3 DOR Problem Resolution Case Files

Documents the handling of taxpayer inquiries, disputes, and complaints. Includes intake documents, background support, rate and calculation sheets, corrections sheets, and related correspondence.

**Retention Period:**

Retain 6 years after final activity.

# L Revenue and Taxation

## 4 Tax Practitioner Electronic Filing Authorizations

Documents that individual income tax clients have given the tax practitioner, such as H&R Block, authorization to file their returns electronically. Consists of Individual Income Tax Declaration for Electronic Filing (M-8453) forms. This is a defunct series.

### Retention Period:

Retain 3 years.

Note: Forms are now held by the practitioners and not sent to DOR.

## L3 Tax Filing

### 1 Tax Return Filings

Documents the monthly, quarterly, or annual filing by individuals, corporations, employers, or other entities of taxes owed to the Commonwealth of Massachusetts. Tax categories include Income Tax (Personal and Corporate), Corporate Excise, Excise, Exempt Property, Meals Tax, Room Occupancy Tax, Sales and Use, and Withholding Tax. Includes tax forms, postmarks, form support receipts, checks payable to DOR, and related correspondence.

### Retention Period:

(a) Intake tax filings source documents scanned into MASSTAX system: Retain until verified as captured onto MASSTAX system.

(b) Electronic filings: Retain until verified as captured onto MASSTAX system.

(c) Hardcopy records that have not been scanned or not fully scanned (partials): Retain 6 years.

(d) All other records: Retain 6 years.

839 CMR 62C.24; 62C MGL 24; 62-64 MGL; 138 MGL.

### 2 W4s

Consists of W-4 forms received by DOR, which employees must complete before claiming withholding allowances on income tax returns or changing their tax status.

### Retention Period:

Discard hardcopy after information is captured on MASSTAX System.

### 3 Taxpayer Estimated Tax Payment Forms

Documents payments to DOR during the year to alleviate an especially large payment at time of official tax filing. Includes Estimated Tax Payment Form 1-ES.

### Retention Period:

Discard hardcopy after information is captured on MASSTAX System.

### 4 Employer Wage Reports

Documents employers reporting of employee wages to DOR. Includes Employer's quarterly Report of Wages Paid (WR-1).

### Retention Period:

Retain hardcopy until captured on MASSTAX System.

62E MGL.

### 5 Estate and Inheritance Tax Case Files

Documents the process to determine and collect payments relating to the annual filing of estate and inheritance taxes. Includes tax forms, postmarks, estimated payments documentation, commissioner determinations of value, probate court materials, copies of wills, abatement and appeals documentation, and related correspondence.

### Retention Period:

Retain 10 years.

830 CMR 65C; 65A-C MGL.

# L Revenue and Taxation

## 6 Taxpayer Payment Voucher Slips

Consists of slips that accompany taxpayer check payments to insure that checks are credited to the correct individual when posted to the computer system. Includes Income Tax Payment Vouchers (Form PV).

### Retention Period:

Discard hardcopy after information is captured on MASSTAX System.

## 7 Business Tax Status Registrations

Documents business registrations of their applicable tax categories such as for meals or sales tax. Includes Application for Original Registrations (Form TA-1) and Organization Information (TA-3).

### Retention Period:

- (a) Retain hardcopy until information is captured onto MASSTAX System.
- (b) Hardcopy that predates MASSTAX may be discarded due to its obsolete nature.

## L4 Tax Collection

### 1 Taxpayer Appeal Case Files

Documents formal appeals by taxpayers to correct tax assessments. Includes appeals requests, hearing documentation including typed hearing notes, dispute resolution support documents, tax support documents such as receipts, final settlement agreements, final letters of determination, and related correspondence.

### Retention Period:

Retain 10 years after final settlement or determination.

## L5 Tax Collection

### 1 Profession, Trade, or Business License Listings

Consists of annual lists sent to DOR by Commonwealth agencies of all professional, trade, and business licenses issued or renewed during the preceding year.

### Retention Period:

Retain 2 years.

62C MGL 47A.

### 2 Taxes in Litigation Certification Records

Documents the Commissioner's response to a tax collector's request for certification that an unpaid tax is presently uncollectible because of litigation or certain other reasons. The Commissioner's certification authorizes the collector to transfer the uncollectible amounts to a 'Taxes in Litigation' account. Includes written request from local tax collector with supporting documentation where appropriate, and letter of certification from the Commissioner.

### Retention Period:

Retain 6 years.

60 MGL 37A, 95.

### 3 Potential Taxpayer Locator Records

Documents attempts to identify and locate taxpayers not currently registered on the MASSTAX system. Includes lists, background support materials, and related correspondence.

### Retention Period:

Retain 1 year.

### 4 Promoter's Business Rental Reports

Consists of reports provided by promoters who rent space to businesses for the purpose of conducting retail sales. The businesses may have sales tax obligations.

# L Revenue and Taxation

## **Retention Period:**

Retain 2 years.

## **5 Bankruptcy Claim Records**

Documents files on taxpayer bankruptcy maintained to assist state revenue agents request their fair share of disbursements. Includes copies of federal petitions for bankruptcy, proof of claim forms, background support documentation, and related correspondence.

## **Retention Period:**

Retain 6 years after closed, dismissed, or when no further action can be taken by administrative (non-litigation) means.

## **6 Tax Litigation Case Files**

Documents cases brought before DOR and/or the Appellate Tax Board, or the courts to resolve tax payment issues. Includes investigation and evidence materials, motions and briefs, proceeding transcripts, decisions and determinations, probate court materials, and related correspondence.

## **Retention Period:**

- (a) Letters referring cases to the Attorney General's Office: Permanent.
- (b) Landmark or policy setting cases: Permanent.
- (c) Cases involving payment agreements: Retain until expiration of the payment agreement or until the amount owed is paid off, or 10 years, whichever period is longer.
- (d) All other records: Retain 10 years after case closing and all appeals are exhausted unless a longer period is required by legal counsel.

## **7 Appellate Tax Board Appeals Records**

Documents appeals to the Board to hear and decide an individuals' or entity's claim for a tax abatement. Includes pleadings, exhibits, hearing transcripts, briefs, notices of decision, notices of appeal, requests for Findings of Fact and Report, notice of extension of time to issue Findings of Fact and Report, and related correspondence.

## **Retention Period:**

- (a) Appeal Decision Books: Permanent.
- (b) Findings of Fact and Report Books: Permanent.
- (c) Exhibits: Retain until appeal is closed, appeal period has expired, and all appeals through the Court of Appeals and the Supreme Judicial Court are exhausted.
- (d) Dismissed and otherwise withdrawn appeals: Retain 3 years.
- (e) All other records retain 6 years after appeal is closed, appeal period has expired, and all appeals through the Court of Appeals and the Supreme Judicial Court are exhausted.

58 MGL 7,7A, 7B.

## **8 Tax Collection Case Files**

Documents the Commissioner's attempts to collect unpaid taxes due to non-filing or other circumstance as allowed for in 62C MGL 46 and other statutes. Includes taxpayer notifications, levy and seizure documentation, payment agreements, financial worksheets, staff case worker supplemental files, and related correspondence.

## **Retention Period:**

- (a) Tax lien documentation: Retain 10 years after date of assessment or 6 years after final action: whichever period is longer.
  - (b) All other records: Retain 6 years from declaration of uncollectible, payment, or other final settlement.
- 62C MGL 65; House Bill 4744.

# L Revenue and Taxation

## 9 Tax Warrant Listings

Documents the signing off of assessment lists by authorized DOR employees indicating that DOR is authorized to assess the listed taxes and has begun the process to collect the amounts shown. Listing is a computer generated printout with the addition of an inked signature.

### Retention Period:

Retain 6 years.

## 10 Uncollectible Tax Records

Documents the write-off of unpaid taxes not warranting collection as allowed for in 62C MGL 43. Includes listings, support documentation and work papers, and related correspondence.

### Retention Period:

Retain 6 years.

62C MGL 43.

## 11 Tax Liability Settlement Agreement Records

Documents agreements between the Commissioner and taxpayers to settle unpaid tax cases. Lists of settlement are included in the commissioner's annual report. Includes offers and final settlements, background support materials, attorney general reviews, and related correspondence.

### Retention Period:

Retain 6 years from final settlement, or 20 years, whichever period is shorter.

62C MGL 37A.

## 12 Tax Revenue Accounting Records

Documents the management of cash and revenues as part of the state tax collection process. Includes cash transactions, electronic funds transactions, bank deposit documentation, cancelled checks, reconciliation reports, and related correspondence.

### Retention Period:

(a) Account general ledger (year-to-date) and monthly Blue Book revenue summary reports: Permanent.

(b) All other records: Retain 10 years.

## L6 Tax Investigation and Research

### 1 Tax History Inquiry Records

Documents responses to inquiries from bureaus within DOR, elected officials, the Governor's Office, and outside agencies related to tax filing histories or other tax related information.

### Retention Period:

Retain 6 years.

### 2 Tax Information Transmittal Records

Documents any receipts or transfers of information between DOR Federal/State Exchange Unit and the IRS, other states, or other units within DOR. Includes transmittal documentation such as IRS memorandum, letters, forms 3210 and M3210, DOR Unit requests, information routing and tracking documentation, the transferred tax information, destruction of transferred tax information documentation, and related correspondence.

### Retention Period:

Retain 6 years.

Note: All information is channeled through the Exchange office before being distributed to appropriate locations.

IRS publication 1075 "Tax Information Security Guidelines for Federal, State, and Local Agencies."

# L Revenue and Taxation

## 3 Taxpayer Audit Case Files

Documents audits of taxpayers. Includes copies of tax returns, bank statements, hearing notes, audit reports and responses, and related correspondence.

### Retention Period:

Retain 6 years after final resolution or determination.

62C MGL 26B; 30 MGL 7C.

## 4 State/Federal Tax Information Exchange Records

Documents the exchange of information between DOR and IRS and IRS monitoring of the use and handling of IRS data by the state. Includes agreements, arrangements, reports, yearly audit review documentation, process support documentation, and related correspondence.

### Retention Period:

(a) Agreements and understandings: Retain 6 years after expiration.

(b) All other records: Retain 6 years.

IRS publication 1075 "Tax Information Security Guidelines for Federal, State, and Local Agencies."

## 5 Tax History Research Records

Documents responses to inquiries from bureaus within DOR, elected officials, the Governor's office, and outside agencies related to tax filing histories or other tax related information.

### Retention Period:

Retain 6 years.

## 6 Special Tax Research Records

Documents special research on areas such as DOR and Governor's office employees' tax filing histories. Includes certificates of filing (form CC-1, SR-1, SR-2, SR-3), background checks, and related correspondence.

### Retention Period:

Retain 6 years.

## 7 Tax Criminal Investigation Records

Documents investigations into tax system abuse. Includes tax returns and submissions, investigatory documentation, audit reports, and related correspondence.

### Retention Period:

Retain 6 years after closure.

## 8 Employee Tax History Records

Documents research into DOR, Governor's office or other employees. Includes certificates of filing (form CC-1, SR-1, SR-2, SR-3), background checks, and related correspondence.

### Retention Period:

Retain 6 years.

Note: Bargaining unit employees may not need to complete certificates of filing.

## L7 DOR Bureau of Accounts

### 1 County Budget Records

Documents the Departmental Budget request and allotment process for the purposes of monitoring and analysis. Includes departmental budget requests, budget review documents, approval votes, Financial Committee correspondence, departmental budget appropriation, and related support materials and correspondence.

### Retention Period:

Permanent.

# L Revenue and Taxation

Note: Includes information on the abolished counties of Berkshire, Essex, Franklin, Hampden, Hampshire, Middlesex and Worcester and the active counties of Barnstable, Bristol, Dukes, Nantucket, Norfolk, Plymouth, and Suffolk.

## 2 City Town Debt Sale Records

Provides a record of the bidding process of city or town debt for the purpose of sale to securities brokers. Includes city and town debt publications, disclosure statements, applications for credit rating, and competitive sealed bid documentation.

### Retention Period:

Retain 3 years.

## 3 Municipal Schedule A Report Records

A year-end statement from the municipality detailing revenues, expenditures, financial sources and uses, changes in fund balance and certain balance sheet information. It is entered into the Municipal Data Bank for the use of various agencies interested in analyzing the scope of services provided and in making policy decisions.

### Retention Period:

Retain 3 years.

## 4 Municipal Cash Reconciliation Report Records

Documents the year-end reconciliation of cash for all municipal funds. Report is submitted by communities to DOR for monitoring and analysis purposes.

### Retention Period:

Retain 3 years.

## 5 Municipal Tax Rate Certification Records (Recap Sheets)

Documents submissions by local officials to DOR for approval and certification of the (recapitulated) rate of taxation to be levied upon taxable property. After approval, a community may issue its property tax bills. Includes Tax Rate Recapitulation Sheets, annual levy growth calculations, tax rate calculations, and related correspondence.

### Retention Period:

Retain 3 years.

59 MGL 23.

## 6 Municipal Audit Report Records

Documents the Bureau of Accounts' review and approval of municipal audit reports of a city or town's financial statements as prepared by an independent certified public accountant. Includes a combined balance sheet; a combined statement of revenues, expenditures and changes in fund balance; a combined statement of revenues and expenditures, approval documentation, and related correspondence.

### Retention Period:

Retain 3 years.

## 7 County Financial Reports

Documents reports submitted by municipalities detailing treasurer's receipts, disbursements and cash balances, registers of deeds receipts, sheriff receipts and disbursements. Used for monitoring and analysis purposes.

### Retention Period:

Retain 3 years.

## 8 Municipal Proposition 2 1/2 Records

Documents DOR monitoring of yearly changes to local levy limits, including overrides and debt exclusion, debt service timing shifts by votes of city or town in compliance with Proposition 2 1/2 (59 MGL 21C)

# L Revenue and Taxation

which places a limit and other restrictions on the amount of property taxes a community can levy each year. Used for monitoring and analysis.

## **Retention Period:**

Permanent.

Notes:

1. A levy is the amount a community can raise through real and personal property tax.
2. The Commissioner of Revenue has the authority to issue guideline requirements to communities for the purposes of Proposition 2 1/2. (59 MGL 21 C Note 3. Authority of commissioner).  
59 MGL 21C, 40 MGL 56.

## **9 State House Note Certificate Records**

Documents the sale of short-term debt through State House serial notes, which are certified by DOR Bureau of Accounts rather than a bank. Details type of loan, purpose, supporting documentation of authorization. Note certificates are filed by city, town, and district clerks.

## **Retention Period:**

Retain 3 years.

## **10 Municipal Compensating Balance Report Records**

Documents compensatory payments to a bank for treasury services rendered regarding the deposit, investment, and disbursement of monies collected by the municipality. Submitted by the municipality, it is used by the DOR Bureau of Accounts for monitoring and analysis purposes.

## **Retention Period:**

Retain 3 years.

## **11 County Government Finance Review Board Records**

Documents the activities of the board that oversees county fiscal matters. Includes agendas, minutes, and related support materials and correspondence.

## **Retention Period:**

Permanent.

Note: These records are maintained by DOR Bureau of Accounts on the behalf of the Undersecretary of Administration and Finance.

## **12 Municipal Balance Sheet Reports**

Documents a community's financial position at the end of the fiscal year. Includes summary information on assets, liabilities, and fund equity. Submitted by the municipality to DOR, it is used by the Bureau of Accounts to calculate and certify a community's free cash (available funds for appropriation) and for monitoring purposes.

## **Retention Period:**

Retain 3 years.

## **L8 DOR Local Assessment**

### **1 Tax Exemption Reimbursement Request Records**

Documents local government requests for reimbursement from the state for property tax exemptions granted to veterans, surviving spouses, blind persons, and the elderly.

## **Retention Period:**

Retain 3 years.

58 MGL 5, 8.

### **2 Municipal Budget Schedules (Cherry Sheets)**

Schedules form the basis for municipal budgets, subject to revision during the course of the year, setting forth estimated state aid to be paid and charges to be assessed. Schedules are used to determine the

# L Revenue and Taxation

portion of local budgets supported by state aid, which is used to calculate the annual property tax rate. Sheets are distributed to municipalities by DOR after final enactment of the state budget or Legislative Local Aid Resolution. Records consist of notifications to each town by the Commissioner of Revenue to local assessors of the estimated receipts to be paid to the town by the state during the next fiscal year (CS 1-ER); estimated assessments and charges which the town must pay for the services performed by the state, county, and certain regional districts (CS 1-EC); state aid for education (CS 2-ER).

## **Retention Period:**

Retain 3 years.

Note: Cherry sheets are named for the cherry colored paper on which they were originally printed. The sheets are computer printouts generated from the Municipal Data Bank Database.

58 MGL 20A, 25A.

## **3 Education Reform Waiver Records**

Documents local government applications for waivers of the requirements imposed by the Education Reform Act of 1993.

## **Retention Period:**

Retain 3 years.

## **4 Municipal Emergency Aid Records**

Documents the application for emergency aid from the state.

## **Retention Period:**

Retain 5 years.

## **5 State Owned Land (SOL) Valuation Records**

Documents the identification and valuation of state owned land (SOL). Municipalities are reimbursed annually by the state for the subsequent lost tax revenues as legislated. Reimbursement is made through municipal budget schedules (Cherry Sheets) or through direct billing if it is MDC watershed land. Includes eligible parcel listings; quinquennial valuation summaries by community; flood control land documentation; site appraisal and review reports; eligibility determination documentation such as deeds, property record cards, land schedules, zoning maps; field staff notes, and related correspondence.

## **Retention Period:**

(a) Parcel eligibility listings, quinquennial valuation summaries, flood control land documentation: Permanent.

(b) Site appraisal and review reports: Retain until administrative use ceases. Permission from RCB not required for destruction.

(c) All other records: Retain 5 years.

58 MGL 13-17B; 59 MGL 5G.

## **6 Unassigned Assets and Property Reports**

Documents information relating to abandoned property, undistributed funds, unidentified collections, or otherwise undesignated assets and property held by the agency.

## **Retention Period:**

Retain until disposition determination has been made plus 6 years.

See also record series "L13-18 Abandoned Property Program Records."

## **7 Municipal Land Valuation Records**

Documents the Identification and valuation of land in one municipality owned by another municipality. Used by the Bureau of Local Assessment during the property valuation certification process to review current values of parcels based on the historical figures.

## **Retention Period:**

Permanent.

Note: 1988 was the last year of state valuation of these properties.

# L Revenue and Taxation

59 MGL 5D-F.

## **8 Property Valuation Certification Records**

Documents the review process of city and town local assessment classification and valuations of taxable property to certify that they represent full and fair cash value. Includes LA-3 sales reports and analysis; LA-9-12 certification audit forms; LA-10 assessment adjustment list and the locally assessed utility certification summary, certification LA-4, community submissions, field advisors' notes and folders, and related correspondence.

### **Retention Period:**

Retain 3 years.

58 MGL 1, 1A, 4-4C; 59 MGL 2, 2A, 3F, 18, 38.

## **9 Tax Abatement Authority Requests Records**

Documents DOR Local Services processing and response to specific requests from local officials for the Commissioner of Revenue's authorization to abate locally assessed taxes or excises, interest or penalties; rates or other charges. Includes initial written request from petitioner, requests for additional information from the Commissioner, and related correspondence.

### **Retention Period:**

Retain 3 years.

58 MGL 8.

## **10 Land of Low Value (Affidavit to Foreclose) Records**

Documents the Commissioner's action upon a request for an affidavit of land of low value for foreclosure purposes and, where appropriate, the execution and issuance of such an affidavit. Includes written requests, statements and documentation from applicant demonstrating essential facts, affidavit if approved or letter of denial.

### **Retention Period:**

Permanent.

60 MGL 79.

## **11 Property Valuation Compliance Program Records**

Documents ongoing efforts to assure that municipalities are in compliance with full and fair cash value standards. Includes local studies and initiatives, interim year adjustment reports, program recommendations, and related correspondence.

### **Retention Period:**

Retain 6 years.

58 MGL 1, 1A, 4-4C; 59 MGL 2, 2A, 3F, 18, 38.

## **12 Equalized Property Valuations (EQVs)**

Documents the Bureau of Local Assessments establishment of Equalized Valuations every 2 years. These are the estimate of the full and fair cash value of all taxable property in the Commonwealth as of a certain taxable date. Includes for each municipality: appraisal reports, community sales report submissions, summary analysis forms and proposed and final EQV determinations. Also includes biennial report as accepted by the legislature.

### **Retention Period:**

(a) Biennial Reports: Send copies to the State House Library.

(b) All other records: Retain 4 years.

58 MGL 9-10C.

## **13 Utility Valuation Certification Records**

Documents the valuation process of certain taxable utility personal property to establish the full and fair cash value. Includes annual reports of telephone, gas, and petroleum pipeline values; company returns; bureau analysis and valuation determinations; and related notes and correspondence.

# L Revenue and Taxation

## **Retention Period:**

- (a) Utility Valuation Reports: Permanent.
  - (b) All other records: Retain 3 years.
- 59 MGL 38A; 59 MGL 39-42.

## **14 Farmland Valuation Advisory Commission Records (FVAC)**

Documents the activities of the five member multiagency commission, which is responsible for determining and publishing annually the acre value ranges for agricultural and horticultural land. Includes minutes, valuation reports, and related notes and correspondence.

## **Retention Period:**

Permanent.  
Note: DOR is chair and holds the official minutes.  
61A MGL 11.

## **15 Omitted and Revised Assessments and Rollback Tax Records**

Provides a record of annual information reports of Omitted and Revised Assessments and Rollback taxes submitted by municipalities with supporting documentation. Used for monitoring purposes.

## **Retention Period:**

Retain 1 year.  
59 MGL 75, 76; 61A MGL 13.

## **16 Owners Unknown Assessment Records**

Documents the Commissioner's certification that a board of assessors after reasonable diligence cannot ascertain the true owner of a parcel of taxable real estate. The certification authorizes the Board of Assessors to make an assessment to Owners Unknown. Includes a written request from the board of assessors, a report of the board's efforts to determine the true owner with appropriate supporting documentation, and a letter from DOR firmly authorizing the assessment of owners unknown.

## **Retention Period:**

Permanent.  
59 MGL 11.

## **17 Assessor Training Records**

Documents the training of local assessors as required by DOR regulations. Includes applications, test results, and summary list of certified assessors.

## **Retention Period:**

- (a) Summary list of certified assessors: Permanent.
- (b) All other records: Retain for the potential licensing period plus 3 years.

## **L9 Child Support**

### **1 Child Support Enforcement Case Files**

Documents cases relating to applications from individuals seeking to establish or enforce orders for child support. Includes application for Child Support Enforcement Services, parent's support agreements, copies of court orders, financial background support materials, levy and lien documentation, and related correspondence.

## **Retention Period:**

- (a) Hardcopy intake source documents scanned into COMETS IM system: Retain until verified as captured onto COMETS IM system.
- (b) Hardcopy intake source documents that have not been scanned: Retain 3 years after close of case.  
14 MGL 1A; 119A MGL; Title IV, Part D of the Social Security Act (42 USCA 651); 273 MGL; 273A MGL;  
45 CFR 74.53; 45 CFR.  
301, 302.15, 303.2.

# L Revenue and Taxation

## 2 Child Support Unassigned Assets and Property Records

Documents information relating to abandoned property, undistributed funds, unidentified collections, or other undesignated assets in Child Support accounts.

### **Retention Period:**

Retain 10 years.

Note: Review report titles before any destruction to determine if any reports warrant a longer retention period.

## 3 DOR Child Support Problem Resolution Case Files

Documents the review and enforcement of child support payment provisions. Includes inquiries, wage attachments, worksheets, support, and related correspondence.

### **Retention Period:**

Retain 6 years after final activity.

## 4 Child Support Account System Monitoring and Control Reports

Documents information relating to the processing and monitoring of Child Support accounts. These reports are computer generated.

### **Retention Period:**

Retain 3 years or until administrative use ceases, whichever period is longer.

Note: Review report titles before any destruction occurs to determine in any reports warrant a longer retention period.

## L10 Underground Tank

### 1 Municipal Underground Storage Tank Reimbursement Program Records

Documents the program that grants funds to municipalities as reimbursements for costs incurred in removing and/or replacing underground storage tanks. Reimbursements are met by matching municipal funds. Includes reimbursement requests and approvals, background support materials, and related correspondence.

### **Retention Period:**

Retain 6 years after final claim activity.

Note: Files of the 'Underground Storage Tank Petroleum Product Cleanup Fund Administrative Review Board' are maintained by the Department of Revenue.

21J MGL.

### 2 Underground Storage Tank Claim Records

Documents claims for reimbursement from underground tank owners for environmental cleanup costs. Includes reimbursement claims, proof of payment of all cost obligations, inspection field notes and reports, board approvals and denials, claim appeals, claim litigation records, reimbursement payment vouchers, and related correspondence.

### **Retention Period:**

Retain 6 years after final claim activity.

Note: Files of the 'Underground Storage Tank Petroleum Product Cleanup Fund Administrative Review Board' are maintained by the Department of Revenue.

21J MGL.

### 3 Underground Storage Tank Fees Records

Documents the payment of fees imposed on the use of a dispensing facility at the site of delivery of petroleum product. Fees are assessed for each delivery and an annual fee per tank. Includes fee collected and payable documentation, fee deposit documentation, and related correspondence.

### **Retention Period:**

Retain 6 years after final claim activity.

# L Revenue and Taxation

Note: Files of the 'Underground Storage Tank Petroleum Product Cleanup Fund Administrative Review Board' are maintained by the Department of Revenue.

21J MGL.

## L11 Bank

### 1 New Charters and Holding Company Acquisition Records

Documents petitions for which public hearings are required and involve the Board of Bank Incorporation's decisions relative to depository institutions. Includes petitions and support materials, hearing transcripts, board decisions, and related correspondence.

#### Retention Period:

(a) New bank and credit union charters: Retain 4 years.

(b) Holding company acquisitions and other related transactions: Retain 4 years.

### 2 Annual Report Submissions

Documents reports required to be submitted to the commissioner of banks by banks, credit unions, consumer finance companies, financial services companies, mortgage companies, and other fiscal entities. Includes locations of offices and branches, operating officers, directors or trustees, and conduct and condition.

#### Retention Period:

Retain 3 years.

167 MGL 13.

### 3 Bank and Credit Union Structure Records

Documents the process to petition changes to the organization or physical structure of banks and credit unions such as office closure or relocation, adding branches, mergers, acquisitions, bank reorganization into mutual holding company, asset purchase-liability assumptions, charter changes, stock conversions or by-law changes. Includes petitions legal briefs, public comments, public hearing documentation, approval or denial letters or "decisions" and related supporting materials.

#### Retention Period:

(a) Office closures, office relocations, and new branches: Retain 3 years.

(b) By-law changes: Retain 3 years.

(c) Mergers, acquisitions (not holding company), and asset purchases-liability assumptions: Retain 3 years.

(d) Conversions from state to federal charter or from federal to state charter: Retain 4 years.

(f) All other transactions: Retain 3 years.

Note: Changes will be reflected in annual reports.

### 4 Bank and Credit Union Examination Records

Documents the commissioner of banks' annual examination of all banks and credit unions under his supervision to determine if they can fulfill their obligations and if they are in compliance with applicable law. Includes examination reports by Division of Banks examiners, returns to the commissioner, records of examinations, certificates and acknowledgements, and related correspondence.

#### Retention Period:

(a) Bank examination work papers: Retain 3 years.

(b) All other records: Retain 6 years.

Note: Records may be subject to court proceedings and must be kept for 6 years under the provisions of 167 MGL 9.

167B MGL; 167 MGL 2; 167 MGL 9.

# L Revenue and Taxation

## 5 Special Examinations Records

Documents examinations that may be required to respond to important situations that may require remedial action by entities under Division of Banks oversight such as Y2K. Includes reports and background work papers.

### Retention Period:

- (a) Reports: Retain 6 years.
- (b) Work papers: Retain 3 years.

## 6 Licensing Records

Documents the process of issuing and monitoring licenses to all Division of Banks licensed entities such as check cashiers, collection agencies, mortgage brokers, and small loan agencies. Includes applications, financial disclosures, surety bond copies, regulatory oversight documents, fees and revenues documentation, and related correspondence.

### Retention Period:

- (a) Summary logs or listings of current and former licenses as well as unsuccessful applications with status cited: Permanent.
  - (b) Original licenses and substantive support materials: Retain 3 years from decision date.
  - (c) Routine license renewal records: Retain 3 years.
  - (d) Surrendered, Withdrawn, Non-renewed, Exempt, or Denied Applications: Retain 3 years.
- 169A MGL.

## 7 Licensee Examination Records

Documents the annual examination of Division of Banks licensed entities for compliance with regulations and statutes. Includes examiners work papers and final reports.

### Retention Period:

- (a) Licensee Examination Reports: Retain 6 years.
  - (b) Work papers: Retain 3 years.
- 93 MGL 140 MGL; 167 MGL; 167F MGL; 169 MGL; 169A MGL; 255B MGL; 255C MGL 255D MGL; 255E MGL.

## 8 Banks and Credit Unions Under Regulatory Order Records

Documents banks and credit unions whose status has been suspended due to dire circumstance or crisis.

### Retention Period:

Retain 6 years after administrative use ceases.

## 9 Liquidation Records

Documents the case histories of banks and credit unions that have failed, or liquidated. Includes a consolidation of substantive information and documents about the banks and credit unions.

### Retention Period:

Retain 10 years or until all significant issues of the receivership have been resolved.

## 10 Consumer Complaint Records

Documents consumer complaints into regulated entities business practices. Includes complaints, hearing materials and transcripts, and related correspondence.

### Retention Period:

- (a) Routinely disposed of complaints: Retain 3 years.
- (b) Complaints referred to other agencies: Retain 6 months.
- (c) All other records: Retain 6 years after case closes.

# L Revenue and Taxation

## 11 Loan Appeal Board Case Files

Documents consumer and financial institution appeal to the Division of Banks loan review board regarding mortgage and small business loan denials. Includes appeals, case materials, determinations, and related correspondence.

### Retention Period:

Retain 3 years.

167 MGL.

## 12 Research Reports and Work Papers

Analysis is performed in support of proposed legislation and regulations, policy initiatives and responses to legislative and executive branch inquiries.

### Retention Period:

Retain 6 years.

## 13 Commissioner's Documents

Files generated by and for the bank commissioner and deputy bank commissioners.

### Retention Period:

Permanent.

## L12 Insurance

### 1 Insurance Licensing and Filings Register

Provides a listing of agent/broker producers of insurance policies and sales. Lists include individual advisors licensed in Massachusetts, agencies licensed in Massachusetts, A and H agencies, Public Fire Loss Adjusters, Surplus Line Brokers, Life Agencies, Motor Vehicle Damage Appraisers, P and C agencies, and others.

### Retention Period:

Permanent.

Note: An insurance producer is a person required to be licensed to sell, solicit, or negotiate insurance in the state.

### 2 Insurance Company Licensing Records

Documents the licensing of insurance companies such as property and casualty, life accident and health, title, fraternal, and health insurance companies to issue policies or contracts in Massachusetts. Includes insurance company applications, examinations of companies (including out of state foreign doing business in Massachusetts), history and activities, personnel and earnings, annual report submissions, financial statements, renewal materials, withdrawal notifications, Articles of Organization, foreign corporate certifications (showing licensure in another state), partnership agreements, Amended Articles of Organization and dissolution, corporate merger documents, and related correspondence.

### Retention Period:

(a) Routine facilitative processing materials: Retain 1 year.

(b) Denied applications: Retain 3 years.

(c) Insurance Company Licensing documentation: Retain 6 years after current licensing period ends.

Notes:

1. Carry forward any materials from previous registrations necessary to complete the current filing.
2. Annual Statements also retained by National Association of Insurance Commissioners. 175 MGL 25.
3. Viatical Settlement or Loan Corporations (who sell the policies of individuals who are dying) must submit filings but are not required to be licensed. Retain records as per above.

175 MGL 25, 32, 151.

# L Revenue and Taxation

## 3 Insurance Company Powers of Attorney Records

Allows an insurance company to insure an applicant for registration of a motor vehicle. Includes powers of attorney and related business transactions and correspondence.

### Retention Period:

Retain 6 years after inactive.

90 MGL 34 A, B.

## 4 Surplus Lines Company Licensing Records

Documents the licensing of surplus lines insurance companies to sell insurance not handled well by standard carriers and aids in the collection of a premium tax on premiums written by the agent and placed with a surplus lines company. Includes company applications, affidavits, examinations of companies (including out of state foreign doing business in Massachusetts), history and activities, personnel and earnings, financial statements, renewal materials, withdrawal notifications, Articles of Organization, foreign corporate certifications (showing licensure in another state), partnership agreements, Amended Articles of Organization and dissolution, corporate merger documents, and related correspondence.

### Retention Period:

(a) Routine facilitative processing materials and affidavits: Retain 1 year.

(b) Denied applications: Retain 3 years.

(c) Insurance Company Licensing documentation: Retain 6 years after current licensing period ends.

Notes:

1. Carry forward any materials from previous registrations necessary to complete the current filing.
2. Annual Statements also retained by National Association of Insurance Commissioners.

## 5 Risk Retention/Purchasing Group Registration Records

Documents the application to form a Risk Retention Group as required by 176L MGL. Includes applications, support materials such as annual statements and related correspondence.

### Retention Period:

(a) Routine facilitative processing materials: Retain 1 year.

(b) Denied, incomplete, or withdrawn applications: Retain 3 years.

(c) Licensing case files and all other records: Retain 6 years after current licensing period ends.

Notes:

1. Carry forward any materials from previous registrations necessary to complete the current filing.
2. Annual Statements also retained by National Association of Insurance Commissioners.

176L MGL.

## 6 Workers Compensation Self-Insurance Group Registration Records

Documents the application to form a workers' compensation self-insurance group as required by 152 MGL e-u. Includes applications, support materials such as annual statements and related correspondence.

### Retention Period:

(a) Routine facilitative processing materials: Retain 1 year.

(b) Denied, incomplete, or withdrawn applications: Retain 3 years.

(c) Licensing case files and all other records: Retain 6 years after current licensing period ends.

Note: Carry forward any materials from previous registrations necessary to complete the current filing.

152 MGL E-U.

## 7 Business Entity Insurance Licensing Records

Business entity producer licensing documents the application, examination, and licensing of insurance business entity producers; allowing them to sell, solicit or negotiate insurance in the state, this includes both resident and non-resident producers. Business entity licensing records also include new applications and renewal applications. Business entity records may include the following: banks, auto clubs, public

# L Revenue and Taxation

insurance adjusters, advisers, reinsurance intermediaries, viatical settlement or loan brokers and viatical representatives, agent batched appointments, agent renewals. Business entity records may include articles of organization, foreign corporate registrations, certificates of existence, letters of good standing, partnership agreements, corporate member lists, complaint, and disciplinary, summaries and related correspondence.

## **Retention Period:**

(a) Batched agent appointments, faxes articles of dissolution, foreign corporate registration, certificate of existence, letters of good standing, partnership agreements, corporate member lists, complaint and disciplinary summaries, name changes and terminations: 1 year.

(b) Business entity agent renewals: 3 years.

(c) Duplicate license requests: 1 month.

Notes:

1. Carry forward any materials from previous registrations necessary to complete the current filing including the original licensing application.

2. Information on producers is also maintained by the insurance companies, the National Association of Insurance Commissioners (NAIC), the Producers Database PDB (NIPR), and the DOI PDB database. Any information in files duplicating information in the NAIC or PDB database may be discarded after administrative use ceases. Permission from RCB not required for destruction.

3. An insurance agent is an individual who is licensed by a state to sell insurance for one or more specific insurance companies.

4. A broker is an independent agent who represents the buyer, rather than the insurance company, and tries to find the buyer the best policy by comparison shopping.

5. An insurance producer (formerly referred to as insurance agent/broker) is an individual who is required to be licensed to sell, solicit, or negotiate insurance in the state.

6. Viatical Settlement or Loan agent/brokers (who sell the policies of individuals who are dying) must submit filings but are not required to be licensed. Retain records as per above.

## **8 Individual Insurance Licensing Records**

Individual producer licensing documents the application, examination and licensing of insurance procedures allowing them to sell, solicit or negotiate insurance in the state; includes both resident and non-resident producers. Individual licensing records also include public insurance adjusters, reinsurance intermediaries, advisers, viatical settlement or loan brokers, viatical representatives and motor vehicle damage appraisers. Records may include new applications, renewal applications, exam score report, results, complaint and disciplinary summaries, and related correspondence.

## **Retention Period:**

(a) Batched individual appointments, faxes, individual name changes, individual name changes, and individual terminations: Retain 1 year.

(b) Batched individual appointment renewals: Retain 3 years.

(c) All individual renewal applications: Retain 6 years.

(d) Original broker applications, original producer applications, original transitional applications: 20 years.

(e) Duplicate license requests: Retain 1 month.

(f) Motor vehicle damage appraiser original applications: Retain 20 years, renewals: retain 6 years.

Notes:

1. Carry forward any materials from previous registrations necessary to complete the current filing including the original licensing application.

2. Information on producers is also maintained by the insurance companies, the National Association of Insurance Commissioners (NAIC), the Producers Database PDB (NIPR), and the DOI PDB database. Any information in files duplicating information in the NAIC or PDB database may be discarded after administrative use ceases. Permission from RCB not required for destruction.

3. An insurance agent is an individual who is licensed by a state to sell insurance for one or more specific insurance companies.

# L Revenue and Taxation

4. A broker is an independent agent who represents the buyer, rather than the insurance company, and tries to find the buyer the best policy by comparison shopping.
5. An insurance producer (formerly referred to as insurance agent/broker) is an individual who is required to be licensed to sell, solicit, or negotiate insurance in the state.
6. Viatical Settlement or Loan agent/brokers (who sell the policies of individuals who are dying) must submit filings but are not required to be licensed. Retain records as per above.  
175 MGL 8G, 25; 175 MGL 163-166.

## **9 Special Risk Broker Licensing Records-Surplus Lines**

Documents the licensing and subsequent filings of special risk brokers surplus lines brokers who sell insurance that standard carriers cannot handle effectively, such as for floods or earthquakes. Includes applications, examination, and licensing of both domestic and foreign (out of state) brokers, complaint and disciplinary summaries, filings such as Surplus Lines Company Annual Business Activity Report and Special Brokers Annual Return of Business Filings.

### **Retention Period:**

All documents: including applications: 20 years.  
175 MGL 168.

## **10 Insurance Policy Forms and Rate Filings**

Documents the approval of life, property, and casualty insurance policies (including workers compensation) for sale by licensed insurance companies and all subsequent policy form, rule and rate filings. Includes policy forms, rule and rate filings, support materials, authorizations and certifications, and related correspondence.

### **Retention Period:**

- (a) Approved policy documentation: Retain 6 years after inactive.
- (b) Disapproved policy materials: Retain 3 years.

Notes:

1. Approved policies have no renewal or expiration date.
2. Carry forward any materials from previous filings to complete the current filing.  
175 MGL 22A, 108, 132; 152 MGL.

## **11 Health Insurance Policy Forms, Rates, and Statistical Filings**

Documents the process to approve and/or accredit health insurance plans and any subsequent filings as required by statute for insurance companies, nonprofit hospital and medical services corporations, dental service corporations, fraternal organizations, and optometric service corporations offering managed care plans. Includes policy forms, applications, rates, statutory, regulatory, and statistical filings support materials, and related correspondence.

### **Retention Period:**

- (a) Approved policy forms, applications, rate, statutory and regulatory filings: Retain 6 years.
- (b) Rate and statutory, regulatory, and statistical filings reporting: Retain 3 years.
- (c) Disapproved or inactive policy form; rate; statutory, regulatory, and statistical filings and reporting, and support materials: Retain 3 years.
- (d) Individual long-term care insurance form and rate filings: Retain 50 years.

Note: Carry forward any materials from previous applications as deemed necessary.

## **12 Group Marketing Plan Records**

Documents the approval of group marketing plans for automobile and homeowners insurance that allows for group discounts pursuant to 175 MGL 193R. Includes submissions and support materials, authorizations and certifications, and related correspondence.

### **Retention Period:**

- (a) Approved filing documentation: Retain 6 years after inactive.
- (b) Disapproved plan materials: Retain 3 years.

# L Revenue and Taxation

Notes:

1. Plan renewal period is 3 years.
2. Carry forward and materials from previous filings to complete current filing.  
175 MGL 193R.

## **13 Workers Compensation Preferred Provider Arrangement (PPA) Records**

Documents the filing and approval of contractual arrangements between insurers, employers, and managed care entities to allow injured workers to be directed to participating managed care facilities pursuant to 211 CMR 112. Includes arrangements and support documentation, review materials, Commissioner's approvals, arrangement monitoring documentation, and related correspondence.

### **Retention Period:**

- (a) Approved arrangements documentation: Retain 6 years after inactive.
- (b) Disapproved arrangement materials: Retain 3 years.

Note: Arrangements are renewed annually.

152 MGL 30; 176I MGL 8(a); 211 CMR 112.

## **14 Consumer Insurance Education Program Records**

Documents the DOI program created to provide potential insurance clients with information on methods to protect themselves against unnecessary risks, determining needs, and setting realistic objectives. Includes education materials, publications, program administrative records, testimonials, and related correspondence.

### **Retention Period:**

- (a) Substantive planning documentation and summary presentation materials: Permanent.
- (b) All other records: Retain until administrative use ceases. Permission from RCB not required for destruction.

## **15 Insurance Company Market Conduct Records**

Documents the on-going periodic examination, review, and analysis of insurance companies, self-insurance groups, and small mutual insurance groups' relating to their business practices, fiscal solvency, and fraud potential. Reports may be used to help determine the standing of out-of-state companies wishing to do business within their state. Includes final market conduct reports, support documentation, and out-of-state market conduct reports, letters of good standing, and other information gathered under the authority of 175 MGL 4.

### **Retention Period:**

- (a) Market conduct reports and materials from other states but impacting Massachusetts: Retain 6 years.
- (b) All other records: Retain until potential for licensing has elapsed plus 6 years or 10 years after inactive, whichever period is longer.

174 MGL 4.

## **16 Continuing Education Course Review Records**

Documents approval by the Commissioner of continuing education courses to be taken by producers to maintain licensure.

### **Retention Period:**

Retain 3 years (The licensing period).

## **17 Insurance Company Fiscal Review/Audit Records**

Documents the ongoing monitoring and review of licensed companies,( including fraternal benefit societies' such as fraternal orders and lodges) and producers' financial practices. Includes company filings, review documentation, final audit reports, and related correspondence.

### **Retention Period:**

Retain 6 years after review closed or until next review is completed: whichever period is longer.

# L Revenue and Taxation

## 18 Prohibited Persons Business Application Records

Documents applications for written consent to engage in the business of insurance from individuals deemed prohibited persons under 18 U.S.C. 1033, by virtue of state or federal convictions for crimes of dishonesty or breach of trust.

### Retention Period:

Retain 20 years.

18 USC 1033.

## 19 Consumer Inquiries and Complaints Records

Documents the handling of routinely disposed of inquiries and complaints from individual insured clients or potential clients relating to insurance firms, agents, or transactions. Includes inquiries, letters of complaint, support materials, and related correspondence.

### Retention Period:

(a) Withdrawn, non-jurisdictional, or incomplete inquiries and complaints: Retain 6 years.

(b) Routinely disposed of complaints: Retain 6 years.

(c) Commissioner's complaint files: Retain 6 years.

(d) All other records: Retain 6 years after case closure.

Note: Files may contain restricted information.

## 20 DOI Legal Process Records

Documents the receipt of a complaint and summons served to a foreign company via the Division (service of process), and other legal process documentation. Includes complaint, summons, small claims, subpoenas, keeper of records correspondence, and other related correspondence.

### Retention Period:

Retain 6 years after inactive.

Note: The Commissioner has authority to accept service of legal process in lawsuits involving insurance companies organized out of state but who are licensed to do business in Massachusetts. Copies of the legally served documents are forwarded to the foreign insurance company.

175 MGL 151(3), 154.

## 21 Insurance Investigation and Enforcement Case Files

Documents the investigation and subsequent prosecution by the DOI Special Investigations Unit (SUI) of brokers, advisors, adjusters, insurance companies, and health maintenance organizations for violations of insurance law and regulations. Includes letters of complaint, subpoenas, background and evidentiary materials, depositions, oaths and affirmations, requests for opinions, foreign service of process filings, administrative action documentation, and related correspondence.

### Retention Period:

(a) Landmark or policy-setting cases: Permanent.

(b) All other records: Retain 20 years after final settlement or action.

Note: Some cases may be referred to the Attorney General or other enforcement bodies.

26 MGL 7.

## 22 Motor Vehicle Insurance Appeal Records

Documents appeals cases heard by the DOI Board of Appeal on motor vehicle liability policies and bonds. Appeals include motor vehicle accident surcharges, license revocation decisions, and automobile insurance cancellations. Records include appeal applications, witness testimony, documentary and physical evidence, board proceedings, decisions, and related correspondence.

### Retention Period:

(a) Case files: Retain 90 days from final disposition.

(b) Cases appealed to the Supreme Court: Retain 6 years from final disposition.

(c) Case logs and decision summaries: Permanent.

# L Revenue and Taxation

L 8A; 175 MGL 113B, P; 90 MGL 28; 175 MGL 113D; 801 CMR 1.00. 30A MGL 14.

## 23 DOI Administrative Law Case Files

Documents insurance rate setting cases as well as cases relating to the administration and enforcement of insurance laws. Includes administrative complaints, requests for hearings, answers, background support materials, motions, orders and answers, exhibits, evidence, settlement or consent order documentation, decisions and final orders, notices of appeal, notices of hearings, hearing transcripts, and related correspondence.

### Retention Period:

- (a) Routine court procedural administration records such as Docket Clerk correspondence: Retain until administrative use ceases. Permission from RCB not required for destruction.
  - (b) Exhibits that will not be a factor in appeals: Retain until final case closure.
  - (c) Decisions: Permanent.
  - (d) Landmark or newsworthy cases that set benchmarks or precedent: Permanent (for all records and materials).
  - (e) Cases involving fiscal acquisition, merger, or reorganization: Retain 20 years and then subject to review by the Archives.
  - (f) Rules and regulations cases: Retain 20 years.
  - (g) Rate setting cases: Retain 20 years.
  - (h) All other records: Retain 6 years after final action or appeal.
  - (i) Hearing proceedings tapes: Retain 3 years.
- 26 MGL 1; 175 MGL 113P; 90 MGL 28.

## 24 Insurance Company Restructuring Records

Documents transactions relating to the restructuring or reorganization of insurance companies necessitating review and approval by DOI such as mergers, acquisitions, re-domestications, de-mutualizations, and conversions. Includes applications, review support materials, hearing documentation, final DOI decisions and orders, post-decision civil docket information of state or federal court, and related correspondence.

### Retention Period:

Retain 20 years and then subject to review by the Archives.

## L13 Treasurer

### 1 Treasurer Accounting Systems Records

Documents posting of account activity to Treasurer's accounts. Includes deposit sheets, bank statements, bank reconciliation reports, daily transaction register, cash receipt and disbursement records, checks and warrants, and related records and correspondence.

### Retention Period:

- (a) Account Establishment records: Permanent.
- (b) Treasurer General Ledgers, Subsidiary Ledgers, Trial Balances, Treasurer/Comptroller year-end reconciliation reports, and reports mandated by statute: Permanent.
- (c) All other records: Retain 6 years.

See also record series "L13-2 Treasurer Cash Management Records."

### 2 Treasurer Cash Management Records

Documents the flow of funds within cash management department accounts. Funds originate from federal grant and aid disbursements and matching state funds, general revenues such as lottery sales (State Lottery Fund), are deposited into appropriate treasurer accounts or trusts and then disbursed to appropriate places such as for local aid to municipalities. Includes bank statements, deposit slips, cancelled checks, check registers, electronic funds transfers, cashiers register, and related reconciliation worksheets, reports, and correspondence.

# L Revenue and Taxation

## **Retention Period:**

- (a) Cancelled checks and warrants registers: Permanent.
- (b) Cancelled checks and warrants: Retain 15 years.
- (c) All other records: Retain 6 years.

## **3 Cash Forecasting and Positioning Records**

Documents the physical receipt, placement, and tracking of Agency (Authority) revenues and income into Agency designated accounts or short-term investment vehicles. Accounts include current expenditure, trust, maintenance, or debt-service. Includes Daily Cash Sheets, Cash investment documentation, transfer approvals, Trustee Reports: Monthly Journal Entries, Interest income work papers, Investment Holding Reports, electronic files transfers.

## **Retention Period:**

- (a) Retain 6 years.
- (b) Work papers and facilitative transactions such as wire transfers and confirmations: Retain 3 years.

## **4 State Depository Agreement Records**

Documents banks wishing to become approved as depositories of state funds. Applications must be approved by State Treasurer who issues a Certificate of Qualified Public Depository upon approval. liability agreements, security agreement, authorized representatives,.

## **Retention Period:**

Retain 6 years after withdrawal from program.

## **5 Treasurer Investment Records**

Documents the administration and monitoring of state investments for performance. Up to 20% of state's moneys may be invested in US Treasury and US Agency Securities. Includes re-purchase agreements, marketing, domestic equity, and trade reports.

## **Retention Period:**

- (a) Summary reports: Permanent.
- (b) All other records: Retain 10 years.

## **6 Treasurer Land and Deed Records**

Documents lands deeded to the Commonwealth through [escheatment, reverting to the State], eminent domain, gift, or bequest. Includes transfer of title, original recorded deeds, title insurance policies, legal support materials, and related correspondence.

## **Retention Period:**

Permanent.  
29 MGL 40.

## **7 Public Protection Performance Bond Filings**

Documents bonds filed with the Treasurer to ensure the public and the state are fiscally protected from losses, damages, or injuries relating to those who handle monies, blast rock, put on fireworks displays, and other individuals required to file with the Treasurer per various statutes. Includes bonds and associated correspondence.

## **Retention Period:**

Retain 6 years after bond becomes inactive.

## **8 Public Official Performance Bond Filings**

Documents the filing of original executed bonds by officeholders, before entering office, for faithful performance of duty as set forth by statute. Sureties guaranteeing payment in case of officeholder default.

## **Retention Period:**

- (a) Official Bond Registers or other summaries: Permanent.
- (b) All other records: Retain 6 years after expiration.

# L Revenue and Taxation

Notes:

1. Bonds for municipal officials are filed with the city or town clerk.
  2. Oaths of office are retained by the Secretary of State's Office.
- 11 MGL 1.

## 9 Deferred Compensation Plan Records

Documents the program to provide an alternative and/or supplemental retirement plan for state employees and contract employees. Plan is voluntary for state government workers except for certain temporary and seasonal employees. Includes bid documentation, negotiation documentation, final authorized deferred compensation plan, and monitoring and compliance support materials, filings, and reports.

### Retention Period:

(a) Contract plan establishment and approval: Permanent.

(b) All other records: Retain 6 years after contract expires and all claims under the contract have been finalized.

Note: Daily administration of the plan is performed by various payroll offices.

## 10 Games Establishment, Development, and Review Records

Provides a record of the development of games. Includes planning documentation, notes, legal considerations, and related correspondence.

### Retention Period:

Permanent.

## 11 Games Administration Records

Documents the Treasurer's role in the daily administration of games. Includes distribution documentation of tickets and books to agents, lost and stolen tickets information winnings summaries, drawing verification of winning numbers, regional offices documentation, lockbox provider records, routinely disposed of inquiries and complaints, and related correspondence.

### Retention Period:

Retain 6 years.

## 12 Lottery Sales Agent Licensing Records

Documents the licensing of persons to sell lottery tickets. Includes applications, support materials, background checks, and related correspondence.

### Retention Period:

Retain 6 years after licensing potential expires.

Note: KENO sales agents are included in this record series though they fall under separate legislation 10 MGL 22.

## 13 Charitable Gaming Licensing Records

Documents the licensing of persons to run games of chance, such as bingo, in order to benefit a non-profit charity. Includes applications, support materials, background checks, and related correspondence.

### Retention Period:

Retain 6 years after licensing potential expires.

Note: KENO sales agents fall under separate legislation 10 MGL 22.

## 14 Lottery Claim Records

Documents routine and/or disputed claims for prize winnings. Includes claims, background materials, [claim validation form] decision support materials, and related correspondence.

### Retention Period:

Retain 6 years.

# L Revenue and Taxation

## 15 Lottery Liens, Levies, and Orders Records

Documents any legal instructions or orders relating to claim payments such as assignments to a trust or estate, or intercepted in the case of child support payments.

### Retention Period:

Retain 6 years after inactive.

## 16 Lottery Investigation and Enforcement Records

Documents the investigation of gaming agents, individuals, or entities for improper activities relating to games and gaming and any subsequent enforcement or prosecution actions. Includes complaint letters, subpoenas, background and evidentiary materials, depositions, requests for opinions, administrative sanction information, and related correspondence.

### Retention Period:

(a) Landmark, noteworthy, or policy setting cases: Permanent.

(b) All other records: Retain 6 years after final settlement or action.

## 17 Lottery Administrative Hearing Case Files.

Documents Hearings and appeals for any and all aspects falling under delegated powers. Typically claims, agent licensing, agent fiscal solvency.

### Retention Period:

Retain 6 years after close.

10 MGL 32.30A MGL.

## 18 Abandoned Property Program Records

Documents the tracking of yearly unclaimed property from financial institutions, cities and towns, insurance companies and corporations, Co-op Banks, National Banks, Trust Companies, Credit Unions, Corporations, Public Utilities, Savings Banks, Savings and Loans, and state agencies holding public funds such as Department of Revenue, as required by statute. Also documents claims to recover the property from potential owners. Includes Unclaimed Property Reports, tangible property and securities, claim documentation, and related correspondence.

### Retention Period:

(a) Unclaimed Property Reports: Permanent.

(b) Abandoned Property Claims-Successful: Permanent.

(c) Abandoned Property Claims-Denied: Retain 6 years after final claim activity.

(d) Unclaimed tangible property and securities: Permanent.

### Notes:

1. The State obtains the use of abandoned property assets for investment purposes under custodial law but does not receive title. Title remains open indefinitely until claimed. There is no statute of limitations on abandoned property claims.

2. Successful claims need to be retained in case another claim is made for the same property in the future.

200A MGL.

## 19 Estate Public Administration Records

Documents the tracking of probate estates for which a public administrator has been appointed to serve as the fiduciary of the estate pursuant to 194 MGL. In accordance with law when a public administrator is appointed, the state treasurer is made a party to the petition for administration and shall be given due notice of subsequent proceedings. Documents received by the treasurer include all probate filings and other documents ascertained by the administrator in furtherance of the administration of the probate estate. When a public administrator probates an estate for which there are no heirs, the balance of the probate estate escheats to the commonwealth and is held in the abandoned property fund. Prior to 1996, the function was performed by the attorney general's office.

# L Revenue and Taxation

## **Retention Period:**

(a) All probate documents received by the Treasurer from Attorney General subsequent to transfer of oversight function: Retain 7 years from the date estate was closed, or if closed at date of transfer, 7 years after date of transfer.

(b) Probate documents received by the Treasurer for estates administered by public administrator when there are probate heirs: Retain 7 years from date the estate is closed.

(c) Probate documents received by the Treasurer for estates administered by public administrators when there are no probate heirs and funds are escheated to the Commonwealth: Permanent.

Note: Probate Court has the official probate record.

## **20 Treasurer Registered and Bearer Bond Program Records**

Documents the Treasurer's issuance of public bonds and subsequent cancellation of Commonwealth debt to bond holders. Includes bond issuance data, amount owed as principal, and on accrued interest basis, rights and obligations of the bond holder and of the Commonwealth, ownership transfers, bonds of indemnity (duplicate bonds), and coupon or payment support documentation.

## **Retention Period:**

(a) Bond establishment documentation such as official statements, legal documentation, and financial outlines: Permanent.

(b) Comprehensive Annual Financial Report (CAFR): Permanent.

(c) Central Registry of bonds issued and redeemed: Permanent.

(d) Report of Bond Indebtedness: Permanent.

(e) Debt-service fund handling, investment, and reporting documentation including for commercial paper and notes: Retain 6 years after all bonds issued under a particular bond title and payment duration reach defeasance.

(f) Individual bond issuance debt-service histories: Retain 6 years after defeasance.

(g) Facilitative transactions and work papers such as Debt Service drawdowns: Retain 3 years.

Notes:

1. Commercial paper and notes are payments in anticipation of bond issuance.

2. Individual bond issuance histories may be maintained by contracted service providers.

## **21 Obligation Bonds and Notes Program Records.**

Documents the program to issue and manage loans to cities and towns in the form of general obligation bonds, special obligation bonds, commercial papers, and revenue notes for construction, public works, or other purpose. Includes bond issuance data, amount owed as principal, and on accrued interest basis, [debt service documentation] and payment support documentation.

## **Retention Period:**

(a) Summary listing or register of bonds and notes issuances: Permanent.

(b) Bond establishment documentation such as official statements, legal documentation, and financial outlines: Permanent.

(c) Comprehensive Annual Financial Report (CAFR): Permanent.

(d) Debt-service fund handling, investment, and reporting documentation including for commercial paper and notes: Retain 6 years after all bonds issued under a particular bond title and payment duration reach defeasance.

(e) All other records: Retain 6 years after final payment or settlement.

## **22 Water Pollution Abatement Bond Program Records**

Documents the fiscal portion of the DEP program to loan money to cities and towns for construction projects relating to the reduction of water pollution. Federal Funds held in trust by the Treasurer to be disbursed to qualified applicants relating to reducing water pollution in local communities. Documents the application for bonds loans and subsequent disbursements of monies. Includes legal loan approvals and administration documents, Requests for Qualifications (RFQs), accounts payable documentation, disbursement materials, and related correspondence.

# L Revenue and Taxation

## **Retention Period:**

- (a) Program establishment, development, and review documentation: Permanent.
  - (b) Comprehensive Annual Financial Report (CAFR): Permanent.
  - (c) Loan documentation: Retain 6 years after final loan payment or activity. Typical loans are paid out over a 30-year period.
  - (d) Denied loan application materials: Retain 3 years after process is closed.
- 29C MGL.

## **23 Veterans Bonus Program Records**

The documents the program established to grant bonuses to qualified veterans for military service. Includes applications, support documentation, and fiscal payment reconciliation records, and related correspondence.

## **Retention Period:**

- (a) Summary Records: Permanent.
  - (b) Denied applicants: Retain 3 years.
  - (c) All other records: Retain 6 years after application process ends.
- Note: Official bonus record held permanently by the Adjutant General's office of Military Affairs.

## **24 Arts and Humanities Grant Program Records**

Documents the arts lottery program to grant funds for local arts and or humanities projects per 10 MGL. Includes grant applications and support materials, and decision documentation by local arts lottery councils.

## **Retention Period:**

- (a) Summary records and establishment documentation: Permanent.
- (b) Denied applicants: Retain 3 years.
- (c) All other records: Retain 6 years after application process ends.

## **25 Treasurer's Savings Bond Program Records**

Documents the program to provide savings bonds to state employees.

## **Retention Period:**

- (a) Program summary records and establishment documentation: Permanent.
- (b) All other records: Retain 6 years.

## **L14 Retirement and Benefits**

### **1 Retirement Fiscal System Records**

Documents the administration and management of the Retirement financial system for state employees.

## **Retention Period:**

- (a) General Ledger and other summary reports: Permanent.
- (b) All other records: Retain 6 years.

### **2 Retirement Administration Records**

Documents state employees' benefits and retirement coverage from contracted group insurance bodies. Includes applications, personnel enrollment forms and payment histories, and acceptances, conditions and provisions, beneficiary documentation, election and changes to coverage, withdrawals or termination of coverage, COBRA documentation, superannuation retirement documents, disability retirement medical and other qualifying records, and related correspondence.

## **Retention Period:**

- (a) Official records with the Board of Retirement: When filed as a group: Retain 20 years.
  - (b) Otherwise, retain as for benefits case files.
- 32 MGL 1-28; 115 MGL 5; 29 CFR 1627.3(b)(2).

# L Revenue and Taxation

## 3 Beneficiary Verification Forms

Documents the Board of Retirement's mailings of forms to retirees to request any changes in address or other information.

### **Retention Period:**

Retain 5 years.

## 4 Pension Fraud Investigation Case Files

Documents investigation by the Pension Fraud Unit of the Public Employee Retirement Administration Commission (PERAC) into alleged abuses of state pension payments. Includes complaints, copies of tax returns, testimony, investigator notes, and related correspondence.

### **Retention Period:**

Retain 10 years after close.

306 MGL.

## 5 Retirement System Account Audit and Monitoring Records

Documents the monitoring of state retirement accounts to ensure quality fiscal practices. Includes system audits, reports, notes, and related correspondence as required by PERA.

### **Retention Period:**

Retain 6 years.

## 6 Employee Retirement, Disability, and Benefits Case Files

Documents employee enrollments in retirement, life insurance, and other insurance and benefits plans. Includes retirement applications, salary request forms, beneficiary options form, birth certificate, medical records, change of beneficiary forms, claims and payments, death certificates, furlough documentation, buyback and creditable service time documentation, refund and rollover documentation, superannuation documentation, federal tax returns of retirees, annual earning reports, and related correspondence.

### **Retention Period:**

Retain 6 years after final payment or 75 years from date of retirement.

## 7 Retirement Pension Reserves Investment Management Records

Documents the contracting of Master Trust Custody Services, Mass State Teachers Employees Retirement Systems Trust, Domestic Equity Managers, International Equity managers, and to record and monitor the performance activity of the same, and to documents trading and payments into and out of the systems.

### **Retention Period:**

(a) Summary reports: Permanent.

(b) All other records: Retain 6 years after close of contract.

Note: Managed by the Pension Reserves Investment Management Board (PRIM).

## 8 Employee Group Insurance Files

Documents the Group Insurance Commission's administration of life, health, long-term disability insurance, and dental/vision coverage for employees and retirees of the Commonwealth and their survivors and dependents. Includes GIC Application and Change Forms (Form 1), Insurance Data Forms (IDF), life insurance beneficiary forms (Form 319 and Form G-500), long term disability forms, dental/vision forms and accompanying documents such as marriage, birth, and death certificates, and related correspondence.

### **Retention Period:**

Retain 6 years after final payment or 75 years, whichever period is shorter.

32A MGL.

# L Revenue and Taxation

## 9 Approval Letters

These are letters sent to boards with calculation approvals to determine benefits. This series includes: submission forms, worksheets, pro-ration letters and calculations.

### **Retention Period:**

20 years.

## 10 Appropriation Letters

This series is used to set appropriation amounts for all systems. Annual orders to appropriate sum to pay benefits. Produced annually. C. 32 s. 22c.

### **Retention Period:**

Retain 50 years.

Note: The Retirement Board retains a copy.

## 11 Reimbursement Letters

This series documents letters to boards notifying them of their pro-rated share of pension benefits due the State and Teachers' Retirement Systems.

### **Retention Period:**

Retain 20 years.

Note: The Retirement Board retains a copy.

## 12 Local Actuarial Valuation Reports

This series documents the demographic study of the work force. These reports are required by c.32, s 22c, 22d.

### **Retention Period:**

Retain 50 years.

Note: The Retirement Board retains a copy.

## 13 Commonwealth's Total Pension Obligation

This series includes state and teachers' valuations and it is used to create Valuation Reports as required by C32 s. 21c.

### **Retention Period:**

Retain 80 years.

Note: State and Teachers Retirement Boards retain copies.

## 14 Data Questionnaires

This series is made up of related materials to prepare appropriation letters. This series is also uses in the appropriation letter process.

### **Retention Period:**

Retain 5 years.

## 15 Valuation Work Papers

This series includes the valuation runs, but is made up of the back –up documents used to produce valuations.

### **Retention Period:**

Retain 5 years.

## 16 Valuation Data Work Papers

Analysis of data received from board to produce valuation reports.

### **Retention Period:**

2 years after final report.

# L Revenue and Taxation

## 17 Non Valuated Data Work Papers

Analysis of data received from boards used to update records.

### Retention Period:

Retain 1 year.

## 18 PRIM Election Ballots

Election of State and Teachers Retirement Board Representatives to the PRIM Board, pursuant to G. L. c.32, s 23. These election are held every three years.

### Retention Period:

Retain 90 days after election certification.

## 19 Disability Unit File

This series provides documentation of disability approvals. This series contains: Medical Panel File, Comprehensive Medical Evaluation Files, Rehabilitation and Restoration to service file, and Restoration to Service Files.

### Retention Period:

Retain 38 years.

## 20 Annual Statements from Retirement Boards

Boards must submit annual statements to PERA. PERA verifies systems books to annual statement during audit.

### Retention Period:

Retain 15 years.

Note: Retirement Board retains a copy.

## 21 Audit Reports of Retirement Boards

Chapter 32 requires PERA to audit all retirement systems once every three years.

### Retention Period:

Retain 3 years.

Note: Retirement board retains a copy.

## 22 Audit Work Papers

This series is work papers resulting from PERA's Audit of Retirement Boards. Chapter 32 requires PERA to audit all retirement systems once every three years.

### Retention Period:

Retain 9 years.

## 23 Supplementary Schedules

This series is a listing of supplementary schedules of member accounts in the retirement systems. Retirement boards are annually required to file supplementary schedules.

### Retention Period:

Retain 9 years.

## 24 Annual Statement of Earned Income

This series is a monitoring tool used to determine the income of retirees.

### Retention Period:

Retain 10 years.

## 25 Investigatory Files

This series are materials documenting possible criminal violations according to c 32, s. 91, 92. This series may include 91a forms, copies of tax returns, affidavits and third party records and testimony.

# L Revenue and Taxation

## **Retention Period:**

Retain 10 years.

## **26 Investigative Docket/Log**

This series is used to record all acts of pension fraud pursuant to C.427 of the acts of 1996. This series includes mechanism of case referral in chronological order, which list includes date the case was referred, name of the caller or correspondent, subject, investigator, action, status and date of completion/file closed.

## **Retention Period:**

Retain 10 years.

## **27 Financial Statements**

PERA is required by statute to monitor the investment performance of 106 retirement systems. This series includes: monthly cashbook entries, trial balances, journal entries, broker confirms, and custodial statements from 106 retirement systems and PRIT. These records are used to develop investment analysis report each year.

## **Retention Period:**

Retain 5 years.

Note: Retirement Board maintains a copy.

## **28 Year End Files**

These files are used in preparation of annual report. This series includes: performance reports, appraisals, and income accruals.

## **Retention Period:**

Retain 5 years.

## **29 Revoked Waivers**

Investment waivers (for investment managers of retirement boards) that have been revoked/terminated by PERA.

## **Retention Period:**

Retain 5 years.

## **30 Manager Waiver Files**

Boards must obtain Waiver approval from each investment manager under the provisions of G. L. c. 32, s. 23 (2) (g).

## **Retention Period:**

Permanent in office.

## **31 Review of Investment Holdings**

Review of system portfolio to assess compliance with law/regulation.

## **Retention Period:**

Retain 5 years.

## **32 Legal Opinions**

PERA provides legal assistance to retirement boards in the form of written opinions. This series includes, general correspondence for individual named board.

## **Retention Period:**

Permanent.

Note: Retirement Boards and PERA retain bound copies.

# L Revenue and Taxation

## **33 Disability Remand Files**

Applications for accidental disability and death, and ordinary disability not approved by PERA and remanded to Board for further proceedings. C32, s.21.

### **Retention Period:**

20 years.

Note: The Retirement Board retains a copy.

## **34 Certificates**

These certificates are used to establish the system and units as part of the retirement system.

### **Retention Period:**

Permanent in office.

Note: The Retirement Board retains a copy.

## **35 Litigation/Administration Files**

These files contain all pleadings filed by or served upon PERA, notes from hearings and often research materials utilized to prepare pleadings or to prepare oral arguments before the administrative agency.

### **Retention Period:**

Retain 10 years.

Note: Administrative agencies are the office of record.

## **36 Judicial Litigation Files**

This series contains pleadings, official documents official documents served on PERA and research materials to prepare pleadings or arguments for court. These files are for litigation in both federal and state courts.

### **Retention Period:**

Retain 10 years.

## **37 Subpoenas**

This series is for Worker's Compensation records and subpoenas for PERA records.

### **Retention Period:**

Retain 5 years.

Note: Office of the attorney who served the subpoena retains a copy.

## **38 Gulf War Files**

Information is used to determine creditable service of affected persons and has direct bearing on the liability of the system. This series is used to determine amount to be appropriated to the Special Fund for Military Service Credit for CY 1990 and 1991. c. 32 ss 22 (4) (a) and (7).

### **Retention Period:**

50 years.

Note: The Retirement Board retains a copy.

## **39 Acceptance Letters**

This series is for the provisions of G. L. c. 254 of the Acts of 1990. This is also the Boards acceptance of ss. 90G 3/4 and 90J (over age 70).

### **Retention Period:**

Permanent in office.

Note: Retirement Board retains a copy.

## **40 Legislative Comments**

Comments on proposed and pending legislation.

# L Revenue and Taxation

## **Retention Period:**

Retain 3 years.

### **41 Department of Industrial Accidents Correspondence**

Contains notification from Industrial Accident Board on all decisions, orders and agreements regarding workers compensation benefits for public employees (state and local). These are arranged by calendar year of notification and alphabetically by name, benefit, and recipient.

## **Retention Period:**

Retain 3 years.

Note: Retirement Board retains a copy.

### **42 Medical Panel Appointment Case Files**

PERA is responsible for scheduling medical panel appointments and paying physicians. This series contains completed physicians reports and invoice warrants.

## **Retention Period:**

Retain 7 years.

Note: Retirement Board retains a copy.

### **43 Disability Retirement Case Files**

PERA is responsible for approving all disability retirements granted by retirement boards.

## **Retention Period:**

Retain 10 years.

Note: Retirement Board retains a copy.

### **44 Supplementary Regulations**

PERA approves supplementary regulations governing retirement system operations.

## **Retention Period:**

Permanent in office.

## **L15 Alcoholic Beverages Control Commission**

### **1 Commission Documents**

The Alcoholic Beverages Control Commission (ABCC) is the general supervisor of the alcoholic beverages industry in Massachusetts. The ABCC documents licensed manufacturers, wholesalers, importers, agents, brokers, solicitors, farmer-wineries and farmer-breweries, railroads, airlines, steamships, and other statewide activities including liquor transportation companies and storage warehouses.

## **Retention Period:**

(a) Retail Licensing Case Files: 7 years after business closes.

(b) Price Filing Compliance Files: 1 year.

(c) Wholesale Price Filing Compliance Files: 1 year.

(d) Credit Delinquents Lists: 1 year.

(e) Producer Wholesaler Licensing Files: 2 years.

(f) Corporate Certification Files: 2 years.

Indices: Destroyed after entering into database, or 2 years from last entry.

# M Labor and Workforce

## M1 Industrial Accidents and Injuries

### 1 Workplace Hazard Investigation Records

Documents investigations by the Division of Occupational Safety into potential hazards found at the workplace. Includes complaints, field reports and notes, air monitoring results, radiation results, recommendations, employer abatement verifications, employer responses, medical surveillance records, and related correspondence.

#### Retention Period:

Retain 6 years after close.

### 2 Occupational Safety and Health Reports

Documents safety and health at the workplace including reporting and inspection for compliance. Includes Occupational Injury and Illness reports and logs including OSHA forms 100,101,102,200 as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment, and inspection notes and reports.

#### Retention Period:

(a) OSHA accident logs: Permanent.

(b) All other records: Retain 6 years.

149 MGL 3-6.

### 3 Workers Compensation Claim Impartial Medical Report (IMR) Records

Documents the processing of IMR requests as ordered by the Administrative Judge under 152 MGL 11A (Weld Reform Act of Workers Compensation, 1992). IMRs are used to assist the Judge in the settling of medical claim appeals. Includes appeal for IMR form 121, appeal filing fees checks, filing fee refund documentation (where request was withdrawn before report was produced), IMR with signed Conflict Disclosure Form, and payment vouchers.

#### Retention Period:

(a) Completed requests and refunded requests: Retain 10 years.

(b) Filing fee support documentation: Retain 10 years.

(c) Incomplete or non-jurisdictional requests: Retain until administrative use ceases. Permission from RCB not required for destruction.

Note: IMR Reports and medical information are retained in the "Workers Compensation Administrative Law Court Case Files (M1-5)".

### 4 Workers Compensation Trust Fund Records

Documents the administration of a trust fund used to pay for non-insured worker's compensation claims from monies paid by insurers on a percentage basis. Includes appropriation amounts, payment support materials, fiscal reports, and related correspondence.

#### Retention Period:

(a) General ledger reports: Review by the Archives after 75 years.

(b) Primary copies of payment support documentation and transaction postings: Retain 6 years.

(c) Lockbox or service providers' records: Retain 6 years.

(d) Secondary copies of payment support documentation and account reconciliation materials: Retain 3 years.

### 5 Workers Compensation Self-Insurers Records

Documents filings from businesses providing their own insurance for their employees. Includes self-insurers identification documentation and support materials, and related correspondence.

# M Labor and Workforce

## **Retention Period:**

Retain for the life of the business plus 6 years.

## **6 Workers Compensation Administrative Law Court Case Files**

Documents determinations of the Industrial Accident Board regarding compensation for accident or job-related illness of any worker employed in the Commonwealth of Massachusetts.

## **Retention Period:**

Retain 40 years.

Notes:

1. Second Reports of injury may be placed at any time after first report of injury for the life of the claimant although for practical purposes reclaims occur within a 20 year period.
2. See also record series "E4-6 Employee Medical and Personal Records."

## **7 Workers Compensation Insurance Claim Files**

Documents insurance compensation claims by state employees for injury or illness incurred during the performance of agency business. Includes incident reports, accident reports, physicians reports, administrative court determinations, hearings and appeals determinations, claims paid with invoice warrants, Department of Industrial Accidents correspondence, and other related correspondence.

## **Retention Period:**

(a) Human Resources Workers Compensation Unit copies: Retain 40 years. (b) Agency Human Resources copies: Retain 6 years unless a longer period is required by agency legal counsel.

(c) All other copies: Retain 6 years.

Notes:

1. Second Reports of injury may be placed at any time after first report of injury for the life of the claimant although for practical purposes reclaims occur within a 20 year period.
2. See also record series "E4-6 Employee Medical and Personal Records."

32 MGL 152.

## **8 Workers Compensation Litigation Case Files**

Documents the representation of state agencies in worker's compensation cases brought before the Department of Industrial Accidents. Includes IAB documents, medical reports, attorney work product, investigatory surveillance, and related correspondence. Contains all pleadings filed or served upon the Workers Compensation Division of Human Resources, notes from hearings and often research materials utilized to prepare pleadings or to prepare oral arguments before the administrative agency.

## **Retention Period:**

Retain 40 years.

Notes:

1. Second Reports of injury may be placed at any time after first report of injury for the life of the claimant although for practical purposes reclaims occur within a 20 year period.
2. See also record series "E4-6 Employee Medical and Personal Records."

152 MGL.

## **9 Industrial Accident Investigation Case Files**

Documents the investigation of labor accidents within the Commonwealth, especially those involving serious injury or death. Includes incident reports, medical information, clippings, photos, police reports, autopsy reports, and related correspondence.

## **Retention Period:**

Review by the Archives after 6 years.

# M Labor and Workforce

## 10 Disability Unit File

The Disability Unit File contains Medical panel file Comprehensive Medical Evaluation Files, Rehabilitation and Restoration to service file; and the Restoration to Service Files. The Disability Unit File is the documentation of disability approvals.

### Retention Period:

Retain 38 years.

Note: MGL C 32, s. 6, 7, 8, 9, 21, 22D, 94, 94A, 94B.

## 11 Valuation Work Papers

The purpose of these papers is to back up documents to produce valuations. Included in these papers are the valuation runs.

### Retention Period:

Retain 5 years.

Note: MGL C 32 s. 21c.

## 12 Valuation Data Work Papers

Documents the analysis of data received from boards to produce valuation reports.

### Retention Period:

Retain 2 years after final report.

Note: MGL C32 s. 21c.

## M2 Labor and Employment

### 1 Labor and Industries Statistics and Reports

Documents labor and industries in the Commonwealth through reports such as labor distribution reports.

#### Retention Period:

- (a) Official copies: Permanent.
- (b) All other records: Retain 3 years.

### 2 Labor Relations Records

Documents the agency's role in the negotiation of labor union contracts and any subsequent interaction with union representatives. Includes background support materials, notes, discussion papers, issues documentation, contract proposals, union contracts, and related correspondence.

#### Retention Period:

- (a) Summaries of attempts to establish unions: Permanent.
- (b) Union contracts and substantive policy and issues materials: Permanent.
- (c) Main table negotiation notes: Permanent.
- (d) Executive Session Minutes: Retain 5 years, then transfer to Archives.
- (e) Case Files. Includes cases of all docket classifications. May contain complaints, petitions, decisions, briefs, exhibits, motions, investigatory notes, correspondence and certifications. Permanent.
- (f) Transcripts: Retain 7 years from close of case.
- (g) Case Status Cards: Contains chronology of actions. Permanent.
- (h) Docket Books: Retain 2 years.
- (i) Master Index: Permanent.
- (j) Master Schedule Book. Includes all staff appointments, arranged chronologically: Retain 2 years.
- (k) All other records: Retain 3 years.

See also record series "E5-2 Employee Grievance/Complaint Records."

# M Labor and Workforce

## 3 Union Contract Negotiation Mediation Records

Document's the Board of Conciliation and Arbitration's role in the mediation of union contract or collective bargaining agreement impasses during the negotiation process. Includes Request for Grievance Mediation forms, hearing notifications, and related notifications and correspondence.

### **Retention Period:**

Retain 1 year after case is closed and all appeals are exhausted.

Note: The Board has quasi-judicial authority to make final binding decisions.

Proposition 2 1/2; 150 MGL 10A.

## 4 Apprenticeship Records

Documents the program to train individuals in different trade jobs. Includes applications and support materials, training schedules, final apprenticeship certifications, and related correspondence.

### **Retention Period:**

(a) Summary listings of apprenticeships: Permanent.

(b) All other records: Retain 6 years.

## 5 Grievance, Mediation, and Arbitration Administration Records

Documents complaints brought by labor against the commonwealth. Includes complaints, background materials, proceedings of mediation and arbitration, and related correspondence.

### **Retention Period:**

(a) Summary case listings and abstracts: Permanent.

(b) All other records: Retain 6 years after case closed.

## 6 Prevailing Wage Rate Records

Documents the setting of labor wage rates. Includes rate setting hearings and materials, and related correspondence.

### **Retention Period:**

(a) Final hearing transcripts: Permanent.

(b) All other records: Retain 10 years.

## 7 Employment Services Case Files

Documents individuals' eligibility and receipt of social services programs. Includes eligibility documentation, case plans, progress reports, and related correspondence.

### **Retention Period:**

Retain 3 years after close.

## 8 Unemployment Insurance Claims

Documents claims for unemployment with the state, includes claims, payment information, and related correspondence.

### **Retention Period:**

Retain 3 years.

## 9 Vocational Rehabilitation Case Files

Documents programs to improve job opportunities and placements for individuals. Includes applications, support materials, acceptance within programs, and subsequent progress.

### **Retention Period:**

(a) Retain final summary documentation adequate to report individuals' completion of programs: Permanent.

(b) All other records: Retain 3 years after case closure.

# M Labor and Workforce

## M3 Division of Occupational Safety: Asbestos and Lead Program

### 1 Asbestos Violation Files

This division investigates workplace conditions as they relate to health hazards and occupational diseases. The services provided by the division assist employers, unions and state and local agencies in creating healthier and safer workplaces for Massachusetts workers. This division administers the Asbestos and Lead Program for schools and public buildings and evaluates asbestos problems in commercial buildings. The Asbestos Violation Files record violations of asbestos statutes and regulations pursuant to 453 CMR 6.00. This series includes notice of violation, name and address of company, license number statement of violation, inspectors report, and consent orders. Company arranges this series numerically.

#### **Retention Period:**

Retain 7 years.

Note: Copies are maintained in the inspectors and contractors files.

### 2 Lead Paint Violation Files

Documents violations of lead paint statutes and regulations pursuant to 454 CMR 22.00. This series includes: notice of violation, name and address of company, license number, statement of violation, inspectors report, and consent orders. Company arranges the series numerically.

#### **Retention Period:**

Retain 7 years.

Note: Copies are kept in the inspectors and contractors files.

### 3 Asbestos Work Notification Files

Documents the notification of Labor and Industries 10 days prior to an asbestos abatement project pursuant to MGL C149, S6~SF and 453 CMR 6.12. Included in this series are: name address and license number of contractor, address and type of project, completion date, insurance information, and description of decontamination and disposal. Arranged chronologically by company.

#### **Retention Period:**

Retain 6 months.

### 4 Deleading Work Notification Files

Documents the notification to Labor and Industries at least 5 days prior to removal of lead paint pursuant to MGL C. 111 S197, 454 CMR 22.00 and 105 CMR 460.000. This series includes: name of inspector, date of inspection, address and nature of work, deleading method, and name and address and completion date. Arranged chronologically by company.

#### **Retention Period:**

Retain 6 months.

Note: The occupant of the building in question, the local boards of health, Lead Poisoning Prevention Program, and the Massachusetts Historical Commission all have copies.

### 5 Deleader-Supervisor Application Files

This series documents all those who apply for certification as a deleader supervisor pursuant to 454 CMR 22.00. This includes: name date and address of applicant, social security number, employment, and statement of compliance, and medical proof of training exam, and blood lead level. Arranged alphabetically by last name.

#### **Retention Period:**

Retain 1 year after audit.

# M Labor and Workforce

## **6 Approved Deleading Contractor for Lead Removal: Application Files**

This series documents the application for certification as a Training Provider for lead removal pursuant to 454 CMR 22.06. Included in this series are: name date and address of applicant, type of company ownership, description of courses to be offered, and qualifications of instructors. Arranged Alphabetically.

### **Retention Period:**

Retain 1 year after audit.

## **7 Deleader-Contractor Application Files**

Documents the application for certification as a Training Provider for lead removal pursuant to 454 CMR 22.06. This series includes name and address of applicant, name and address of business, number of employees, proof of employee medical exams, and blood lead levels, also insurance information and statement of compliance. Arranged alphabetically.

### **Retention Period:**

Retain 1 year after audit.

## **8 Asbestos Contractor Application Files**

Documents the application for certification as an asbestos contractor pursuant to MGL C149, S6-6F, and 453 CMR 6.04. These files include: name and address of applicant, type of ownership, references, evidence of training, worker protection and compensation, and a statement of compliance. Arranged alphabetically.

### **Retention Period:**

Retain 1 year after audit.

## **9 Asbestos Inspector Application Files**

Documents the application for certification as an Asbestos Inspector pursuant to MGL C149, S6-6F, and 453 CMR 6.07. This series includes: name and address of applicant, social security number, history of employment in asbestos field and any violations, and the applicants statement of compliance.

### **Retention Period:**

Retain 1 year after audit.

## **10 Asbestos Management Planner Application Files**

Documents the application for certification as an asbestos management planner pursuant to MGL C149, S6-6F and 453 CMR 6.07. This series includes: name and address of applicant, education, employment experience in asbestos field, any violations, and the applicant's statement. Arranged alphabetically.

### **Retention Period:**

Retain 1 year after audit.

## **11 Asbestos Abatement Project Monitor Application Files**

Documents the application for certification as an asbestos abatement project monitor pursuant to MGL C149, S6-6F, and 453 CMR 6.05. This series includes name and address of applicant, education, employment experience in asbestos field, any violations, and the applicant's statement.

### **Retention Period:**

Retain 1 year after audit.

## **12 Asbestos Abatement Project Designer Application Files**

Documents the application for certification as an asbestos abatement project designer pursuant to MGL C149, S6-6F, and 453 CMR .07. This series includes: name and address of applicant, education, and professional experience in asbestos field, violations, and the applicant's statement. Arranged alphabetically.

# M Labor and Workforce

## **Retention Period:**

Retain 1 year after audit.

### **13 Approved Asbestos Training Provider Application Files**

Documents the application for certification as an asbestos training provider pursuant to MGL C149, S6-6F and 453 CMR 6.09. This series includes: name and address of business, type of ownership, description of courses to be offered, and qualifications of instructors. Arranged alphabetically.

## **Retention Period:**

Retain 1 year after audit.

### **14 Asbestos Analytical Services Application Files**

Documents the application process for certification as a provider of asbestos analytical services pursuant to MGL C149, S6-6F and 453 CMR 6.08. This series includes: name and address of applicant, business, laboratory documentation, air and bulk sampling documentation, and statement of compliance.

## **Retention Period:**

Retain 1 year after audit.

### **15 Asbestos Abatement Worker Application Files**

Documents the application process for certification as an asbestos abatement worker pursuant to MGL C149, S6-6F, and 453 CMR 6.06. This series includes: name and address of applicant, social security number, history of past violations, and statement of compliance. Arranged alphabetically.

## **Retention Period:**

Retain 1 year after audit.

### **16 Supervisor/Foreperson for Asbestos Application Files**

Documents the application for certification as an asbestos supervisor/foreperson pursuant to MGL C149, S6-6F, and 453 CMR 6.05. This series includes: name and address of applicant, social security number, history of any violations, and statement of compliance. Arranged alphabetically.

## **Retention Period:**

Retain 1 year after audit.

### **17 Asbestos Inspection Files**

This division investigates workplace conditions as they relate to health hazards and occupational diseases. The services provided by the division assist employers, unions and state and local agencies in creating healthier and safer workplaces for Massachusetts workers. The Asbestos Inspection Files record observations and site conditions documented by Division of Occupational Safety inspectors pursuant to 453 CMR 6.00. This series includes inspector reports, name and address of the company/entity, license number, names and license numbers of workers found at the work site, and various other documents and information related to the inspection or investigation.

## **Retention Period:**

Retain 7 years.

### **18 Lead Paint Inspection Files**

Documents inspections pertaining to lead paint statutes and regulations pursuant to 454 CMR 22.00. This series includes inspector reports, name and address of the company/entity, license number, names and license numbers of workers found at the work site, and various other documents and information related to the inspection or investigation.

## **Retention Period:**

Retain 7 years.

# M Labor and Workforce

## 19 Deleader-Worker Application Files

This series documents all those who apply for certification as a Deleader Worker pursuant to 454 CMR 22.00. This includes: name date and address of applicant, social security number, employment, statement of compliance, training certificate, medical proof of training exam, and blood lead level. Arranged alphabetically by last name.

### Retention Period:

Retain 1 year after audit.

## 20 Lead-Safe Renovator Worker Application Files

This series documents all those who apply for certification as a Lead-Safe Renovator Worker pursuant to 454 CMR 22.00. This includes: name date and address of applicant, social security number, employment, statement of compliance, training certificate, medical proof of training exam, and blood lead level. Arranged alphabetically by last name.

### Retention Period:

Retain 1 year after audit.

## 21 Lead-Safe Renovator Supervisor Application Files

This series documents all those who apply for certification as a Lead-safe Renovator Supervisor pursuant to 454 CMR 22.00. This includes: name date and address of applicant, social security number, employment, statement of compliance, training certificate, medical proof of training exam, and blood lead level. Arranged alphabetically by last name.

### Retention Period:

Retain 1 year after audit.

## 22 Lead-Safe Renovator Contractor Application Files

This series documents the application for certification as a lead-Safe Renovator Contractor pursuant to 454 CMR 22.00. This series includes names and addresses of applicant, name and address of business, number of employees, proof of employee medical exams and blood lead levels, also insurance information and statement of compliance. Arranged alphabetically.

### Retention Period:

Retain 1 year after audit.

## 23 Occupational Lead Poisoning Registry: Laboratory Blood Lead Reports

These reports are collected pursuant to MGL c. 149 § 11A and 454 CMR 23.00. They consist of blood lead reports from laboratories filed by laboratory and the month and year reported. They contain the patient's name and address, date of birth, blood lead level, date of report, and may contain the employer's name.

### Retention Period:

Retain 7 years.

## 24 Occupational Lead Poisoning Registry: Reports of Interviews of Physicians and Registrants

These reports are filed alphabetically by registrant (patient) and contain blood lead report information, source of lead exposure, employer name and address, occupation and reason for the blood lead test.

### Retention Period:

Retain 7 years.

## M4 Massachusetts Labor Relations Commission

### 1 Case Files

Includes cases of all 17-docket classifications. Case files may contain complaints, petitions, decisions, briefs, exhibits, motions, investigatory notes correspondence and certifications.

# M Labor and Workforce

## **Retention Period:**

Retain 10 years.

Note: Decisions are duplicated in published volumes, since 1974.

## **2 Transcripts**

Transcripts of cases are removed and discarded when case is 7 years old, absent any litigation.

## **Retention Period:**

Retain 7 years,.

## **3 Case Study Cards**

Contains chronology of actions. Arranged by docket classification then chronologically by date of filing.

## **Retention Period:**

Retain 20 years from date of last entry.

## **4 Docket Books**

Arranged by docket classification, then chronologically by date of filing.

## **Retention Period:**

Retain 2 years.

Note: An electronic copy exists.

## **5 Master Index**

Arranged by docket classification, then chronologically by defendant.

## **Retention Period:**

Retain 20 years.

## **6 Collective Bargaining Agreements**

These are the actual paper agreements.

## **Retention Period:**

Retain until expiration of agreement.

## **7 Master Schedule Book**

All staff appointments arranged chronologically.

## **Retention Period:**

Retain 2 years.

## **M5 Division of Occupational Safety: Employment Agency Program**

### **1 Employment Agency License and Service Agency Registration Records**

Documents the application process for certification as an Employment Agency or Registered Service Agency pursuant to MGL c. 140, §§ 46A-46R and regulations promulgated thereunder. These files include: agency name, address, parent or affiliate company, type of ownership, officers' names, addresses, official titles, and agency's federal I.D. number, and various other documents and information related to the operation of the business. Arranged alphabetically by business name.

## **Retention Period:**

Retain 5 years.

# M Labor and Workforce

## 2 Employment Agency License and Service Agency Registration Violation Files

This series of documents includes notice of violations, civil administrative penalties, name and address of the business, license or registration number, statement of violation, inspection report, decisions, and all documents pertaining to the violation file.

### **Retention Period:**

Retain 7 years.

# N Massachusetts Port Authority

## N1 Aviation Operations Administration

### 1 Daily Operational Reports

Documents the report of unusual occurrences at Logan Airport. The staff uses this report for informational reference.

**Retention Period:**

Retain 6 years.

### 2 Tenant Alterations Files

Documents the operational division comments, applications and correspondence on tenant construction projects relating to Aviation facilities.

**Retention Period:**

Retain 6 years.

### 3 Daily Operations Reports

Documents the daily incidents reported at the airport, including logs, morning reports, and daily operations checklist used for reference and backup.

**Retention Period:**

Retain 6 years.

### 4 Incident Reports

Included in these reports are, aircraft incident and bomb threat and other security incident reports occurring at Logan Airport.

**Retention Period:**

Retain 5 years.

### 5 Violations

Documents and records the violations of Airport Rules and regulations. This form is used when anyone on the ramp violates airport rules and regulations.

**Retention Period:**

Retain 5 years.

### 6 Accident Reports

These reports are a record of injury for passengers and employees hurt at Logan. These forms are kept for a reference in case of litigation.

**Retention Period:**

Retain 5 years.

### 7 Supervisor Terminal Reports

Documents concession checks of tenant space in the airport. This form is also used for, reports on violations of rules by the tenants.

**Retention Period:**

Retain 5 years.

### 8 Violations File

Correspondence concerning files issued to companies for violation of MPA rules and regulations on the Air Operations Area, including hearings & payment receipts. Tracking of paid and unpaid fines.

**Retention Period:**

Retain 2 years.

# N Massachusetts Port Authority

## N2 Noise Abatement

### 1 Sound Insulation Program

Correspondence, application forms, homeowner agreements, warranties, & engineering reports relative to the soundproofing program.

**Retention Period:**

Active plus 10 years.

## N3 Aviation Planning and Construction

### 1 Tenant Alteration Applications

Record of approved and disapproved TAA's for reference purposes.

**Retention Period:**

Active plus 6 years.

### 2 Tenant Application Log Book

This record is a logbook of approved and disapproved TAA's.

**Retention Period:**

Active plus 6 years.

### 3 TAA Drawings

Tenant alteration application blueprints & plans for reference purposes.

**Retention Period:**

Active plus 6 years.

### 4 Drawings Other

Drawings of existing conditions and planning studies for reference purposes.

**Retention Period:**

Active plus 6 years.

## N4 Public Information

### 1 Interpreter Program

Documents the general information on the interpreter program, including foreign language translations, interviews & personnel records. These records are used for reference purposes.

**Retention Period:**

Retain 3 years.

### 2 Daily Logs

These logs include, Reports of Public Service representatives on terminal activity. Included in this series are copies of Terminal Supervisor's Reports.

**Retention Period:**

Retain 3 years.

### 3 Public Information Agents Files

General information. This series includes forms pertaining to the job: trade forms, lunch breaks etc. This series is held for reference.

**Retention Period:**

Retain 3 years.

# N Massachusetts Port Authority

## 4 Public Information Service Reports Files

Daily report includes job descriptions, policies, procedures, and meetings attended. This series is kept for reference.

### Retention Period:

Retain 3 years.

## 5 Airlines Files

Current information on airlines, included in this series are roving logs. This series is used for reference.

### Retention Period:

Retain 2 years.

## N5 Parking Facilities

### 1 Inventories

Documents the inventory of vehicles parked nightly in Logan Airport's parking facility. This inventory includes Summary of Security checks of parked vehicles, an inventory of all Vandalism Reports, Inventory of PECK, and an inventory of parking days for statistical use.

### Retention Period:

Retain 2 years.

### 2 Log Books

This record series includes: Record of Vehicle Log Book, Safe Log, Money Denominations Exchange Log, Supervisors Daily Incidents, Vehicles Towed, and Employee Vehicle Substitution Log Books.

### Retention Period:

Retain 2 years.

## N6 Transportation

### 1 Contract Files

Documents contracts for MASSport Shuttle Bus Service, Logan Express Services for Framingham and Braintree, and consultant contracts. These files are used for reference.

### Retention Period:

Active plus 7 years.

### 2 Department Correspondence Files

Correspondence and general ground transportation related files used on a regular basis for reference.

### Retention Period:

Retain 2 years.

## N7 Utilities Management

### 1 Meter Readings File

These sheets are from the Meter Technician's book. Each listing is for a separate meter and contains a year's list of readings. These files are used for reference.

### Retention Period:

Retain 6 years.

### 2 Meter Records Log Books

Record of the particular utility meter installed at each service location. Each listing contains the meter's manufacturer's data and service characteristics. These log books are used for reference.

### Retention Period:

Retain 6 years.

# N Massachusetts Port Authority

## **3 Utility Account Log Books**

These logbooks contain a Record of all consumption and payment, for all utilities/energy purchased by MASSport.

### **Retention Period:**

Retain 6 years.

## **4 System Account Log Books**

These logbooks document a listing of all utility accounts distributed and sold to both tenants and MASSport. Within this series are meter drawings at all facilities.

### **Retention Period:**

Retain 6 years.

## **5 Utility Account Computer Input**

This series documents a Record of all meter readings, calculations, fuel adjustment charges, and purchased utilities. These figures are submitted to the Service Bureau for a generation of the utilities reports, tenant bills, and energy use report.

### **Retention Period:**

Retain 6 years.

## **6 Utility Account Usage Report**

This is a monthly report, which details a listing for each purchased and distribution system account, the current readings, rates, budgetary units, dates and generated consumption costs.

### **Retention Period:**

Audit plus 1 year.

## **7 Budgetary Unit Usage Report**

A monthly Report listing: each budgetary unit, the utility accounts with associated usage, and the cost charged in the current month.

### **Retention Period:**

Retain 3 years.

## **8 Energy Use Reports**

A monthly report listing: monthly actual, monthly budget, year to date actual, year to date budget consumption, and costs of all utilities/energy used by each budgetary unit.

### **Retention Period:**

Retain 3 years.

## **9 Budgetary History (Fiscal Year End)**

A report listing: monthly actual, and budget utility consumption, and costs for each budgetary unit. Retain only period #12 copy (entire fiscal year).

### **Retention Period:**

Retain 3 years.

Note: Destroy monthly copies when superseded.

## **10 Utility Accounts/Budget Unit Master Files**

This is a report listing the detail data, (utility type, tenant number, budgetary unit, rates, etc.) for all utility accounts, and budgetary units currently "set up" in the computer.

### **Retention Period:**

Retain 6 years.

# N Massachusetts Port Authority

## 11 Tenant Utility Report

Monthly report listing the identical meter readings, rates, consumption, and costs that that appears on each tenant's utility reports.

### Retention Period:

Audit plus 1 year.

## 12 Utility G/L Journal Report

This is a monthly Report listing the monthly utility charges for each budgetary unit/location.

### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

Note: The department has convenience copies.

## 13 Utility Systems Accounts

Revisions to utility account logbooks, utility account billings, metering drawings, rate changes.

### Retention Period:

Retain 2 years in office and 4 years off site.

## 14 Department Subject Files

Tenant/Contractor utility problems, meter maintenance reports, purchase requisitions, etc.

### Retention Period:

Retain 2 years in office.

## 15 Utilities Budget

Record of Calculations, unit costs, and memoranda used to generate the MASSport utilities budget each fiscal year.

### Retention Period:

Retain until administrative use ceases. Permission from RCB not required for destruction.

Note: The Department has convenience copies.

## N8 Aviation Marketing

### 1 Concession Monitoring Files

Inspection reports, correspondence, memos, forms, and other information used to monitor concessions.

### Retention Period:

Retain 2 years in office, 3 years off-site storage.

### 2 Trade Show Files

Application forms, correspondence, fax, memos, and other reference material on the shows.

### Retention Period:

Retain 5 years.

## N9 Private Carrier

### 1 Ground Transportation Files

These files document all reference information on contract, amendments, permits, license, insurance, and all correspondence pertaining to private carrier.

### Retention Period:

Destroy when material is no longer active.

### 2 Monthly Revenue Forms

These are documents that track monthly trips by private carrier for accounting purposes.

# N Massachusetts Port Authority

## **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **N10 Ground Transportation**

### **1 Daily Reports**

Planning reports of transportation services to and from Logan airport. These reports include MBTA counts, and limousine and taxi statistics.

## **Retention Period:**

Retain 2 years.

### **2 Taxi Pool Ticket Log**

Taxi Log and sheet used by agent in taxi pool for identification. The logs also contain the number of taxicabs when released to the terminals for the public.

## **Retention Period:**

Retain 2 years.

### **3 Personnel Files**

These files are convenience copies of all correspondence and reports relating to current employees.

## **Retention Period:**

Kept in office while employee is active, then they are forwarded to human resources.

Note: Also, see section E-4-5.

### **4 Ground Transportation Agreements**

Documents the agreements for ground transportation operating services at Logan Airport. These files are used to track operations.

## **Retention Period:**

Active plus 7 years.

## **N11 Parking Revenue Audit**

### **1 Check Information**

Mailing address and car registration of patron whose parking fees were paid by check in order to verify funds.

## **Retention Period:**

Retain 2 years.

### **2 Lost Ticket Vouchers**

These vouchers contain information on airport patrons who have misplaced their parking tickets in order to verify refunds.

## **Retention Period:**

Retain 3 years.

### **3 Parking Fee Reports**

Information on patrons with partial and insufficient funds, as well as paid parking fees. These reports are generated in order to collect outstanding monies.

## **Retention Period:**

Audit plus 1 year.

### **4 Inventories**

This record documents the daily recordings and comparison of vehicles entering and exiting the parking facilities. These inventories are used to determine monthly statistics.

# N Massachusetts Port Authority

## **Retention Period:**

Retain 2 years.

Note: There is a tape backup.

## **5 Shuttle Buses and Taxi Pool**

Deposit summaries and related statistics for Logan, Braintree, Framingham, and etc. to keep track of tickets.

## **Retention Period:**

Retain 1 year.

## **6 Audit Problems**

These files document variance between monies recorded on cashier's reports and monies deposited in the bank in order to reconcile reports.

## **Retention Period:**

Retain 2 years.

## **7 Cashier's Daily Work (Database)**

Daily recordings of cashier's work shifts, lane and revenue collected for reconciliation of cashier's operations.

## **Retention Period:**

Retain 1 year after audit.

## **8 Parking Tickets**

These records document airport patron parking tickets from all airport-parking facilities. These tickets are used for a record of activity.

## **Retention Period:**

Retain 1 year.

## **9 Void Tickets**

Complimentary tickets issued to MPA officials, employees, facilities and maintenance workers, technicians, and contractors.

## **Retention Period:**

Retain 6 years.

## **10 Credit Card receipts**

All credit card receipts from parking patrons at Logan Airport, Braintree, Framingham, and Woburn.

## **Retention Period:**

Retain 1 year in the office, 5 years off-site.

## **N12 Hanscom Field**

### **1 Inspections Files**

These files include, T-hanger and fuel farm inspections, also hydrant flow tests in order to note any deficiencies.

## **Retention Period:**

Retain 4 years.

### **2 Nighttime Field Use Records**

These records document the Operations Supervisor's report of aircraft operations between 11:00 p.m. and 7:00 a.m. Included in these records is payment of night field use fees. These records are used for accounting purposes.

# N Massachusetts Port Authority

## **Retention Period:**

Retain 2 years.

## **3 Noise Complaints File**

Copies of responses prepared for residents who have complained about aircraft noise in the Hanscom Field area. These copies are kept for reference purposes.

## **Retention Period:**

Retain 5 years.

## **4 Noise Monitoring Procedures**

This series contains letters, and memos generated while getting permission to install monitors. These documents are used for reference purposes.

## **Retention Period:**

5 years in office.

## **5 Noise Rule Proceedings**

This file is documentation of noise rule and regulation development.

## **Retention Period:**

Permanent, 5 years in office then sent to Massachusetts state archive.

## **6 Noise and Operations Data**

Computer files for aircraft operations; they are printouts of noise and operations data. These files, which are based on computer files, are used for reference.

## **Retention Period:**

Retain 6 years in office.

## **7 Tenant Files**

These files include: correspondence to and from tenants in the Civil Terminal, and LG Hanscom Field. These files are used to check information on space rented.

## **Retention Period:**

Active plus 6 years.

## **8 Hanscom Manifests**

These manifests are reports on hazardous waste generated at and removed from Hanscom. These manifests also identify off-site disposal facilities.

## **Retention Period:**

Retain 6 years then microfilm.

## **9 Hanscom Access Stickers**

These files contain filing cards with information on an individual, their address, their vehicle registration, etc., for access on to Hanscom Air Force Base. The files are used in office to answer Air Force reference questions.

## **Retention Period:**

Retain 2 years.

## **10 Snow Removal Summaries**

These files are a record of snow removal expenses. These files are used for reference.

## **Retention Period:**

Retain 2 years.

# N Massachusetts Port Authority

## 11 Ramp Permit Files

These files contain vehicle information used to record ramp stickers. These files are used for reference purposes.

### Retention Period:

Retain 2 years.

## 12 Notams File

This file contains notices to airmen on the condition of the field. This file is used for reference.

### Retention Period:

Retain 5 years.

## 13 Maintenance Files

These are reports of weekly maintenance duties performed at the Airport. These files are used for reporting and for reference.

### Retention Period:

Retain 5 years.

## 14 Loss Control Reports

These Reports are used to correct insurance deficiencies. These are Reports of Loss Control at the airport.

### Retention Period:

Retain 3 years in office.

## 15 Monthly Statistical Reports

These files are reports to Hanscom Field Advisory Commission, advising the Commission about operations and activities during the hours of 7 AM and 11 PM.

### Retention Period:

Retain 5 years.

## N13 Maritime Administration

### 1 Association Files

Correspondence relating to the following organizations, American Association of Port Authorities, National Association of Authorities, Boston Shipping Association, and Longshoreman's Association. This file is used for reference purposes.

### Retention Period:

Retain 1 year.

### 2 Facility Files

These files are reference records relating to the Revere Facility, Army Base, Cruise Terminal, Conley Terminal, and Moran Terminal.

### Retention Period:

Retain 2 years.

### 3 Tariff Files

These are the Tariff charges filed as required by the Federal Maritime Commission to enforce collection of pier charges.

### Retention Period:

Superseded, 3 years off-site.

### 4 Lease Files

These are convenience copies of lease agreements and back up for Maritime facilities.

# N Massachusetts Port Authority

## **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **5 Maritime Damage Claims**

These files are reports and correspondence relating to equipment and /or cargo damage at Maritime piers. These files are used for reference.

## **Retention Period:**

Active plus 6 years.

## **6 Capital Projects Files**

These are copies of reference material relating to capital projects on Maritime facilities.

## **Retention Period:**

Active plus 6 years or until administrative use ceases.

## **7 Terminal Reports/Statistics**

These are file records of pier operations, tonnage and arrivals. These files are used for reference.

## **Retention Period:**

Active plus 6 years.

## **8 Consultants/Contractors File**

This is back-up information relating to consultant contracts and contractors work. This material is kept for reference.

## **Retention Period:**

Destroy after office use.

## **N14 Property Management Fish Pier**

### **1 Contract Files**

These are small construction contracts initiated by property management. These contracts are used to track construction worked performed.

## **Retention Period:**

Active plus 7 years.

### **2 Prospective Tenant Files**

Lease applications for possible tenants. These forms are used to solicit possible tenant space.

## **Retention Period:**

Retain 2 years.

### **3 Electrical Work Orders File**

These forms are used to document written request for electrical repairs, they are also used to track work that has been performed and outstanding work projects.

## **Retention Period:**

Retain 5 years.

### **4 Fish Pier Log Books**

These are security logbooks; they are kept for reference purposes.

## **Retention Period:**

Retain 5 years.

# N Massachusetts Port Authority

## N15 Maritime Operations (Unit Number 4300)

### 1 Facility Files

These are subject files containing reference documentation on Maritime facilities owned and operated by MPA.

#### **Retention Period:**

Retain 8 years.

### 2 Personnel Files

These files are reference Copies of Union Personnel files relating to units 4210, 4610, 4220, 4240,4370,4640,4320, and 4310. These files include all union documents.

#### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

Note: Labor Relations is the office of record.

### 3 Security Files

These are files relating to MASSport Maritime Security Services Unit-Port Police (Local 810) for reference of incidents.

#### **Retention Period:**

Retain 3 years.

### 4 U.S. Government Files

These are records of U.S. rules and regulations. They are used for reference purposes.

#### **Retention Period:**

Keep in office until superseded.

### 5 Equipment Interchange Receipt/Transfer Interchange Receipt Files

These are receipts of contents brought by truckers into the terminal; they are also receipts of transfer to and from the terminal. These receipts are used for reference.

#### **Retention Period:**

Retain 2 years.

### 6 Maintenance Record Files

These documents are records of all terminal equipment maintenance. These documents are used for reference and for monitoring purposes.

#### **Retention Period:**

Active plus 6 years.

### 7 Inventory Records Files

This is a computer database and backup materials. Contained in this database are terminal parts, this database is used for reference and for inventory.

#### **Retention Period:**

Active plus 6 years.

### 8 Ship Log Files

These files document a record of ship calls at Moran Terminal. Included in these files is billing information. These files are used for reference.

#### **Retention Period:**

Active plus 6 years.

# N Massachusetts Port Authority

## **9 ILA Clerk Files (Internal Records Series Code 4300.08)**

Records documenting container activity at Conley Terminal. Includes TIR files, dock receipts, delivery orders, Plan Clerk records and related correspondence.

### **Retention Period:**

Active plus 6 years.

## **10 Vessel Files (Internal Records Series Code 4300.11)**

Records documenting container activity at Conley terminal. Includes planning and operational recaps and related correspondence.

### **Retention Period:**

Active plus 6 years.

## **11 ILA Payroll Records (Internal Records Series Code 4300.12)**

Time and attendance records for ILA members. Includes timesheets, time cards and related correspondence.

### **Retention Period:**

Retain 3 years.

## **12 Lay-Berth Vessel Files (Internal Records Series Code 4300.16)**

Records documenting the activity of vessels berthed at other Maritime properties. Includes lay-berth applications, operation summaries and related correspondence.

### **Retention Period:**

Active plus 6 years.

## **13 Injury/Incident Report Files (Internal Records Series Code 4300.17)**

Records documenting work-related accidents/incidents and injuries. Includes accident reports, claims and related correspondence.

### **Retention Period:**

Active plus 6 years.

## **14 ILA Personnel Files (Internal Records Series Code 4300.18)**

Records documenting the work histories of ILA members. Includes trainings, qualifications/licensing, ID documentation, drug/alcohol testing and related correspondence.

### **Retention Period:**

Active plus 5 years.

## **15 Environmental Files (Internal Records Series Code 4300.19)**

Convenience copies of environmental plans, policies, manifest, permits and related correspondence.

### **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **N16 Black Falcon Cruise Terminal**

### **1 U.S. Government Permits**

This file contains various permits and inspections of waterfront terminals. This file is used for reference.

### **Retention Period:**

Active plus 3 years.

### **2 Leased Areas File**

These are records of the Conley Terminal, the Army Base, and North Jetty tenants' space.

# N Massachusetts Port Authority

## **Retention Period:**

Active plus 7 years.

### **3 Port of Boston Union File**

This file contains documents pertaining to the International Longshoreman's Association, and Local 809 MASSport Union facilities. This file is used for reference.

## **Retention Period:**

Keep in office until superseded.

### **4 Ship Log Files**

These files contain detailed information of ships/vessels, which call at Harbor Gateway/SB facilities. These files are used for informational record keeping purposes.

## **Retention Period:**

Active Plus 6 years.

### **5 Purchasing Files**

Copies of vendor and service contracts along with purchase orders for said products. These files are used for reference.

## **Retention Period:**

Retain until administrative use ceases. Permission from RCB not required for destruction.

## **N17 Maritime Sales and Marketing**

### **1 Steamship Lines**

These are files kept on different steam lines and their operations and calls on Boston. Sales notes are included in the files; these files are used for reference.

## **Retention Period:**

Files are kept until superseded.

### **2 Brochure Files**

These are brochures are from different Cruise Lines, they are used for informational purposes.

## **Retention Period:**

Files are kept until superseded.

### **3 RRP (Recruitment and Referral Program)/Tenant Files**

These files document the tenants at Logan Airport, the contact dates, applications and correspondence. These files are used for reference, and are updated regularly.

## **Retention Period:**

Retain 2 years.

## **N18 External Affairs Logan Airport**

### **1 Emergency Procedures/Public Safety**

These are the Rules and Regulations pertaining to safety at the airport. Also included in these files are information, which is given to the media for aircraft gates and incidents, also VIP arrivals and departures.

## **Retention Period:**

Active plus 10 years.

## **N19 Government and Community Affairs**

### **1 Impacted Communities Files**

Documents all correspondence pertaining to impacted communities, including Charlestown, Revere, Chelsea, South and East Boston, and Winthrop. This file is used for informational purposes.

# N Massachusetts Port Authority

## **Retention Period:**

Retain 3 years.

## **2 Neptune Road Program Files**

These are various files pertaining to MASSport's Neptune Road Program. This file includes all phases of the program. This file is used for research and informational purposes.

## **Retention Period:**

Permanent.

## **N20 General Accounting**

### **1 Chart of Accounts**

This file contains individual account codes, unit account or natural account number. This file was created to track functioning accounts.

## **Retention Period:**

Audit plus 1 year.

### **2 Year End Schedule/ Work Papers**

This file provides supporting documentation in assembling the Annual Financial Statement.

## **Retention Period:**

Retain 2 years, then microfilm.

## **N21 Central Services**

### **1 Repair and Use Logs**

These are various logs for repair and use of equipment and services. These logs document a record of repair and use of services.

## **Retention Period:**

Retain 2 years.

### **2 Charge Back Source Documents**

These are source documents such as: parking coupons, gasoline credit card slips, cleaning reports, courier services, taxicab slips, and catering requests.

## **Retention Period:**

Retain 1 year in office 5 years off site.

### **3 Real World Inventory File**

This file documents the record of stockroom inventory. This file is used to charge back stock to different departments.

## **Retention Period:**

Retain 2 years.

## **N22 Capital Accounting**

### **1 Landing and Passenger Fee Reports**

This is a report of landing and passenger fees to be billed to a tenant. Within this report is the landing and gate activities.

## **Retention Period:**

Retain 6 years.

### **2 Fixed Assets Register**

This register calculates depreciation of fixed assets. This register contains: project title, type, location, acquisition date, value, useful life, depreciation, and net book value of assets.

# N Massachusetts Port Authority

## **Retention Period:**

Office of record is General Accounting. 1 year after audit.

## **3 Fiscal year Cumulative Job Sheets**

This is an account for project activities. This file contains beginning and ending balances, project and payment totals.

## **Retention Period:**

Active, then 6 years off-site.

## **4 Monthly Job Sheets**

This is an account for project activity by fund. This account contains beginning and ending balances, and current activity.

## **Retention Period:**

Audit plus 1 year.

## **5 Monthly Summary Trial Balance Books**

This is a summary of general ledger accounts, used to summarize and test balance the general ledger.

## **Retention Period:**

General Accounting is the office of record, retain until administrative use ceases or audit plus 1 year.

## **6 Project Payment Files/ Contracts Under Seal**

This file contains vouchers and supporting detail, invoices, and payment request memos.

## **Retention Period:**

Permanent.

## **7 Monthly Journal Entries**

This is an account for activity posted to the general ledger. This file contains account activities posted, with rational therefore. The record series is arranged chronologically.

## **Retention Period:**

Retain 6 years.

## **N23 Labor Relations**

### **1 General Union Files**

Records supporting union dues, increases union officials status, rules/policy and contract issues.

## **Retention Period:**

Retain until administrative use ceases.

### **2 Seniority Rosters**

List of union employees produced on a monthly basis containing job history information and used to determine the total length of continuous service relating to reclassifications, promotions, demotions, transfers, layoffs, reduction in force, severance agreements and terminations.

## **Retention Period:**

Permanent.

## **N24 Administration and Finance**

### **1 Rates and Charges Filed**

These are current rates and charges for landing and parking fees at each facility. This file is used for reference and tracking purposes.

## **Retention Period:**

Retain 2 years.

# **N Massachusetts Port Authority**

## **N25 Maritime Security Services (Unit Number 4280)**

### **1 MTSA Files (Internal Records Series Code 4280.02)**

MTSA security plans, supporting documentation and related correspondence for all maritime facilities.

#### **Retention Period:**

Retain 5 years.

### **2 Security Badge Files (Internal Records Series Code 4280.05)**

Records documenting application eligibility and issuance of Maritime security badges at all maritime facilities.

#### **Retention Period:**

Retain 4 years.

# O Department of Youth Services

## O1 Unit Records/Community Records

### 1 Client Sign In Sheets

Documents clients reporting to district offices and programs.

#### Retention Period:

Retain until administrative use ceases.

### 2 Daily Census/Daily Bed Count

Documents the clients on each unit including: name, date of birth, date of admittance, race, commitment date, region, level, and projected discharge.

#### Retention Period:

Retain until administrative use ceases.

### 3 Drug Testing Results

Documents drug testing results of clients.

#### Retention Period:

Primary copy: in client file. See record series "O2-1 Client Files."

Secondary copy retain until administrative use ceases.

### 4 Electronic Monitoring (ELMO) Reports

Documents electronic monitoring tracking of client.

#### Retention Period:

Primary copy: in client file. See record series "O2-1 Client Files."

Secondary copy: retain until administrative use ceases.

### 5 Fire Safety Reports

Documents fire drill reports at programs and facilities, weekly and monthly fire report inspections.

#### Retention Period:

Retain 5 years.

### 6 Intake/Discharge Log

Documents clients in DYS units including their names, charges, prior placements and staff involved in the intake and discharge. Also documents medical information.

#### Retention Period:

Retain 10 years.

### 7 Internal Investigative Reports

Documents the filing of 51As and 51Bs, Internal Reviews, Incident Reports, Witness Statements, Internal Investigations and subsequent Corrective Action Plans.

#### Retention Period:

Retain 15 years.

### 8 Licenses/Certificates

Documents licenses for each DYS facility including Department of Early Education and Care, Department of Public Safety, Fire Department Inspections, Department of Public Health, Building Inspections, and Servsafe.

#### Retention Period:

Retain 5 years.

# O Department of Youth Services

## 9 Medical Log

Documents all medical information about clients in DYS units including medication orders, schedules for any medications, dressing changes, or other treatments, potential side effects, allergies, cautions and other important information about a client's health status, medications received and destroyed, and name of staff involved in receipt and destruction, clinical treatment and all clinical notes.

### **Retention Period:**

Retain 45 years after discharge.

## 10 Medical Files

Documents the treatment of clients including regular medical visits, hospital visits, dental visits and routine medical care. Includes prescription records, immunization records and clinical notes.

### **Retention Period:**

Retain 45 years after discharge.

## 11 Summary of Consultations

Documents Minutes included from staff, supervisor, clinical, educational consultations that are not public bodies.

### **Retention Period:**

Retain until administrative use ceases.

## 12 Monthly Reports/Facilities

Documents the program name, Agency name, Director, Supervisor, report period, client groups conducted, client groups cancelled, clinical services, educational days cancelled, vocational programming, recreational programming, religious programming, community services, special events/activities, visits, mail, phone calls, food services, complaints and investigations, medical services, psychotropic meds on last day of the month, medication occurrences, off site medical/dental appointments, program group meetings, community connections, fire drills, unit lockdowns, shakedowns, and searches, emergency calls to program, safety inspections, unannounced visits by management, assistance calls, staff schedule changes, staff incidents, injuries, terminations, suspensions, promotions, disciplinary action, new hires, terminations, and grievances, sick days, extended leave, overtime, corrective action plans, and additional comments .

### **Retention Period:**

Retain until administrative use ceases.

## 13 Monthly Reports/Community

Documents location name, client placement and level of community supervision, caseworker assignment, services, including education and employment, training, clinical services and clinician, substance abuse treatment, rewards and sanctions, employment history, community services, programming, safety and security, including fire drills and serious incidents, staffing, management comments and meeting, administration and any additional events.

### **Retention Period:**

Retain 5 years.

## 14 Operations Log

Documents all operational functions in a DYS unit including equipment transfers, client population and room assignments, staff count, shift summaries, shift changes, fire duty staff assignments and all equipment transfers (keys, mechanical restraints, radios, phones, flashlights, etc.). Documents staff duties for each shift and client behavior summaries. Documents medication and medical issues for each client, client restrictions, client behavior issues including suicide watches, and the use of mechanical and physical restraints. Also documents room checks, unit searches, outside area searches, and shakedowns, fire drills, including evacuations.

### **Retention Period:**

Retain 20 years.

# O Department of Youth Services

## 15 Program Activity Attendance Sheet

Documents client attendance at community program activities.

### **Retention Period:**

Retain until administrative use ceases.

## 16 Regional Review Team Records

Documents client assessments, placements, time assignments and appeals,.

### **Retention Period:**

Primary copy: in client file. See record series "O2-1 Client Files."

Secondary Copies: retain until administrative use ceases.

## 17 Restraint Report

Documents the number and location of restraints in programs.

### **Retention Period:**

Retain until administrative use ceases.

## 18 Room Confinement Observation Sheets

Documents the name of client, program, date, reason for confinement, items allowed, start time, end times, bedtime hours start, bedtime hours end, medical services, clinical services, food and drink allowed, and hygiene breaks, written approval for use of room confinement beyond 6 hours.

### **Retention Period:**

Retain 5 years.

## 19 Room Check Sheets

Documents room checks including the name of staff, when the check was conducted and what was viewed.

### **Retention Period:**

Retain 5 years.

## 20 School and Group Attendance Logs

Documents client attendance in school and group counseling meetings.

### **Retention Period:**

Retain until administrative use ceases.

## 21 Search Log

Documents the date and time as well as the type of search and the staff members conducting the search. Any contraband discovered is documented as well as the staff who discovered the contraband, the location of the item when found, the name of the client or visitor who had possession of the contraband, and the details of how staff have stored, transferred, returned or disposed of the items. Includes chain of custody documentation.

### **Retention Period:**

Retain 2 years.

## 22 Telephone Log

Documents client calls including the phone number, relationship between client and person calling, name(s) of staff approving call and monitoring call, and length of call.

### **Retention Period:**

Retain 2 years.

# O Department of Youth Services

## 23 Unit Condition Reports (UCRs)

Documents the interior and exterior security checks from each shift includes all security devices and equipment, including locks, security screens, doors, windows, fences, alarms, metal detectors, audio communications equipment, and mechanical restraints, for damage, tampering, and proper functioning, silverware counts, weekly inspections by managers, unannounced visits from managers.

### Retention Period:

Retain 10 years.

## 24 Unit Files

Documents daily client activities on the unit including serious incidents, incidents, counts, grievances, daily activities, staff notes, restraints, levels and progress notes.

### Retention Period:

Retain until administrative use ceases.

## 25 Video Review Log

Documents the date and time of video reviewed, the managers that reviewed the video, content of video reviewed.

### Retention Period:

Retain 5 years.

## 26 Visitor Log

Documents the visitors to the DYS unit including the date of the visit, name of visitor(s) and client visiting, relationship to client, time in and out, purpose of visit, admitting staff, where visit took place, name of staff supervising visit, and name of staff who searched client after visit.

### Retention Period:

Retain 2 years.

## 27 Victim Services File

Documents the victims and witnesses to be notified regarding a client's transfer or release from DYS. Includes notification forms.

### Retention Period:

Primary copy: retain 10 Years.

Secondary copies: Retain until administrative use ceases.

## O2 Client Records

### 1 Client Files

Documents client information including client photograph, intake assessments and forms, police reports, court records, birth certificates, RRT (Regional Review Team) forms, physical examinations, immunizations, service delivery plan, parole violation warrants, detainers, staffing notes general correspondence, releases, psychological and psychiatric history and treatment, Narrative case history, DYS assessments treatment plans, and monthly progress reports, incident reports and Serious Incident Reports, completed body maps, and level reviews, clinical notes from individual and group sessions, passes, educational records (past and present - to include health and immunization records; IEPs, special education records, and evaluations for identified clients; testing information; and grades and transcripts, mitts, habeas, DCF (Department of Children and Families) history including 51As and 51Bs, DMH (Department of Mental Health) and DMR (Department of Mental Retardation) records, levels of supervision and Assignment worksheets and forms.

### Retention Period:

Retain 45 years from discharge from DYS.

# O Department of Youth Services

## 2 Client/Program Unit File

Documents client stay on a hardware secure, staff secure, or program unit. Documents are merged into Client file upon discharge from a unit or program.

### Retention Period:

Retain 7 years after discharge from Unit.

## 3 Grievance Forms

Documents client grievance and appeals.

### Retention Period:

Primary copy: in client file. See record series "O2-1 Client Files."

Secondary copy: Retain until administrative use ceases.

## 4 Incident Reports

Documents the date, time and location of incidents that occur in a unit or program. Describes the location, youth involved, staff involved, witnesses, narrative description, number of clients, staff, action taken, additional comments, writer's name and signature, supervisor's name and signature.

### Retention Period:

Retain 10 years.

## 5 Detention File

Documents intake forms, CORI (Criminal Offender Record Information) records, fact sheets, photograph, MAYSI (Massachusetts Youth Screening Information) forms, Lamb warnings, PREA (Prison Rape Elimination Act) information, bail review notification, body map, mittimus, court documents.

### Retention Period:

Retain 10 years after release from detention.

## O3 Program Monitoring

### 1 Program Reports and Visit Summary Reports

Documents the monthly and quarterly reports of a program, including annual staff reviews and programming, program monitoring evaluations of program facilities. Includes summary of programming, evaluation of staff, conditions, and interviews with staff and clients.

### Retention Period:

Retain 3 years.

## O4 Communication Information Center ("CIC") Reports

### 1 Active Warrant Report

Documents the warrants and detainers that are still active in the DYS system by Region.

### Retention Period:

Retain 5 years.

### 2 Bail Report

Documents all youths brought into DYS custody on bail status. It shows charges, remand date, bail amount, court, etc.

### Retention Period:

Retain 5 years.

### 3 Nightly Return Report

Documents the youths that have returned to either DYS custody or picked up on a DYS warrant by another agency.

# O Department of Youth Services

## **Retention Period:**

Retain 5 years.

## **4 Nightly Situation Report**

Documents serious calls coming into CIC (Communication Information Center) includes serious incidents that occurred over a 24 hour period from 7:00 a.m. to 7:00 a.m.

## **Retention Period:**

Retain 5 years.

## **5 Open Return Report**

Documents the warrants that have been returned but something is missing. This report is sent to the Regional and District Manager.

## **Retention Period:**

Retain 5 years.

## **6 Room Confinement Report**

Documents all youths in DYS facilities that have been in involuntary room confinement, how long, and the reason.

## **Retention Period:**

Retain 5 years.

## **7 Risk Assessment Report**

Documents the assessments of bailed youth brought into DYS custody.

## **Retention Period:**

Retain 5 years.

## **8 Serious Incident Reports**

Documents serious incidents that occur in a unit or a program and include the date, time and description of the incident and the staff and youth involved.

## **Retention Period:**

Retain 10 years.

## **9 Warrants and Warrant Returns**

Documents the issuing of a apprehension order and the return of the warrant after DYS youth is apprehended.

## **Retention Period:**

Retain 2 years.

# Electronic Records Management Guidelines

## Contents

Section 1: Authority .....	1
Section 2: Purpose and Scope .....	1
Section 3: Records Custodian Responsibilities.....	2
Section 4: Information Systems that produce, use or store Electronic Records .....	4
Section 5: Electronic Mail Message Records .....	6
Section 6: Admissibility of Electronic Records.....	8
Section 7: Security of Electronic Records .....	9
Section 8: Selection and Maintenance of Electronic Records Storage Media.....	9
Section 9: Retention and Disposition of Electronic Records.....	11
Section 10: Destruction of Electronic Records.....	12
Section 11: Accessibility to Public Information for Persons with Disabilities.....	12
Section 12: Conclusion .....	13
<b>Appendix A</b> .....	14
<i>Definitions for the Purpose of these Guidelines</i> .....	14

## **Section 1: Authority**

These Guidelines are hereby jointly issued by the Supervisor of Records, the Records Conservation Board and the Information Technology Division under the authority of G. L. c. 66, § 1; G. L. c. 30, § 42; and G. L. c. 110G, § 17.

## **Section 2: Purpose and Scope**

Purpose The purpose of these Guidelines is to help ensure that government electronic records are created, maintained, disseminated and destroyed in a manner consistent with the transparency and accountability requirements of the Massachusetts Public Records Law, G. L. c. 66, § 1, et seq. and the standards set by the Records Conservation Board.

While many concerns are the same as those that exist with other, more traditional forms of public records, the prevalence of electronic records raises some new issues. Therefore, government records custodians must be mindful of how business, technical and legal standards apply to electronic records.

Scope It is the responsibility of government officers who create, receive and maintain public records to ensure their safekeeping and availability to the public.

These Guidelines are intended to provide actionable *recommendations* to all entities subject to the provisions set by the Records Conservation Board in applying the requirements surrounding management of public records to the unique aspect of electronic records as defined by the Uniform Electronic Transactions Act, in addition to information systems, regardless of format or location.

These Guidelines are not intended to supersede, overwrite, establish policy or otherwise change any existing legal, statutory or other requirement that may apply to government data, information systems or records of any other nature.

For purposes of these Guidelines, electronic records include, but are not limited to, records created, generated, sent, communicated, received, or stored by electronic means.

### **Section 3: Records Custodian Responsibilities**

*Each officer in charge of a government office or department is the custodian of the records held by that office or department and therefore is responsible for managing the entity's electronic records.*

It is advised that Records Custodians adopt and implement a formal **Electronic Records Management Program** that, at a minimum, incorporates the following elements:

#### **Administrative Management**

- (1) Assignment of the responsibility to develop and implement a program for the management of all records created, received, maintained, used, or stored on electronic media;
- (2) Establishment of formal procedures that address records management requirements, including recordkeeping requirements and disposition;
- (3) Method, controls or mechanisms for addressing electronic records that are exempt from disclosure under G. L. c. 4, § 7(26), or any other applicable statute;
- (4) Establishment of procedures that will reasonably ensure that the provisions of these Guidelines are applied to electronic records that are created or maintained by contractors or other agents;
- (5) Establishment of procedures that require departing public entity officials, employees, and other agents return or destroy, as appropriate, all portable storage media or any other device capable of storing data in said individual's possession that may contain the public entity's electronic records;
- (6) Preventative controls to ensure that no public entity electronic records are copied or transferred by or on behalf of the departing individual or agent without supervisory review to make certain that such copying or transfer will not violate records retention, confidentiality or security requirements and ensures compliance with G. L. c. 66, § 14;
- (7) Validation that new electronic information systems or enhancements to existing systems support established Electronic Records Management Program requirements and associated Procedures;
- (8) Integration and alignment of the management of electronic records with other records and information resources management programs of the public entity and of any over-arching authority's programs;
- (9) Compliance with all policies, procedures, and standards such as those issued by the Supervisor of Records; the Records Conservation Board; and, with respect to the Executive Department, those issued by ITD as Policies, Standards and Procedures; or other offices empowered to regulate electronic records as well as any other applicable laws or statutes;
- (10) Review of electronic information systems for conformance to established agency procedures, standards, and policies as part of a periodic review, which should include an assessment of whether the records have been properly identified and described, and

whether the schedule descriptions and retention periods reflect the current informational content and use;

### **Notification & Education Elements**

- (11) Written notification to the Supervisor of Records (Form RMU-4) and Records Conservation Board (Form RCB-4) of the name and title of the person assigned the responsibility of managing electronic records;
- (12) Incorporation of the electronic records management program's objectives, responsibilities, and authorities in pertinent agency directives and dissemination of the directives throughout the entity as appropriate;
- (13) Establishment of a program that encourages and supports work in conjunction with the Records Conservation Board to ensure compliance with the Statewide Records Retention Schedule by:
  - a. Developing and maintaining appropriate records disposition practices;
  - b. Securing the Records Conservation Board's approval of records disposition schedules; and
  - c. Validating the implementation of the Record Conservation Board's provisions.
- (14) Ensures that adequate training is provided on meeting the requirements of an entity's electronic records management program for:
  - a. End -users of electronic mail systems, websites, social media and desktop documents on recordkeeping requirements, and moving or copying records for inclusion in an agency recordkeeping system; and,
  - b. Users who have control of electronic information systems or in the operation, care, and handling of the equipment, software, and media used in the system.

### **Documentation**

- (15) Development and maintenance of up-to-date documentation about all electronic information systems that will allow entities to:
  - a. Specify all technical characteristics necessary for reading or processing the records;
  - b. Identify all defined inputs and outputs of the system;
  - c. Define the contents of the files and records;
  - d. Determine restrictions on access and use;
  - e. Understand the purpose(s) and function(s) of the system;
  - f. Describe update cycles or conditions and rules for adding information to the system, changing information in it, or deleting information; and
  - g. Ensure the timely, authorized disposition of the records;
- (16) Specification of the location, manner, and media in which electronic records will be maintained to meet operational and archival requirements, and maintenance of inventories of electronic information systems to facilitate disposition; periodic

refreshment of media on which electronic records are stored to ensure against media degradation and loss of interoperability with current information technology systems.

#### **Section 4: Information Systems that produce, use or store Electronic Records**

*The Records Conservation Board and the Supervisor of Records require some assurances from agencies that their record-keeping systems produce accurate, secure, and reliable records. Agencies must be able to demonstrate consistent, controlled data handling during the active and inactive life of the data.*

In order to comply with existing requirements, it is advised that entities that utilize electronic information systems to produce, use or store data files address the following:

##### ***System Design***

- (1) Incorporate disposition instructions for the data into the system's design.  
*Note:* Systems that are subject to G. L. c. 93I must adhere to the special disposition rules pertaining to personal information as identified in that statute.
- (2) Require manual commands entered by agency personnel to approve disposition of identified records. This will help to prevent inadvertent disposition that is likely when systems rely solely on automated, age-based disposition of electronic records.

##### ***System Documentation***

- (3) Develop and maintain adequate and up-to-date technical documentation for each electronic information system that produces, uses, or stores data files. It is recommended that to comply with current minimum documentation requirements, entities include a narrative description of the system comprised of:
  - (a) The physical and technical characteristics of the records, including a record layout that describes each field, including its name, size, starting or relative position, and a description of the form of the data, such as alphabetic, zoned decimal, packed decimal, or numeric, or a data dictionary, or the equivalent information associated with a data base management system, including a description of the relationship between data elements in data bases; and,
  - (b) Any other technical information needed to read or process the records.

##### ***Electronic recordkeeping systems that maintain the official file copy of a record***

- (4) Prior to being used to maintain official file copies, electronic recordkeeping systems should:
  - (a) Support provisioning that allows all authorized users of the system to retrieve desired documents, such as an indexing or text search system;
  - (b) Enforce an appropriate level of security to ensure the integrity of the documents;  
*Note:* Executive Department agency systems must meet ITD's security policies and standards.
  - (c) Ensure that a standard interchange format is provided, when necessary, to permit the exchange of documents on electronic media between agency computers using

different software/operating systems and the conversion or migration of documents on electronic media from one system to another;

- (d) Address disposition of documents in accordance to these guidelines and overarching regulations, including, when necessary, the requirements for transferring permanent records to the State Archives facility or other facility for the safekeeping of permanent records;
- (e) Maintain sufficient information to allow for identification of each document within a given electronic information system. Identifying information should include: office of origin; file code; key words for retrieval; addressee, if any; signatory; author; date; authorized disposition, coded or otherwise; and security classification, if applicable; and,
- (f) Correlate official file copies maintained in electronic recordkeeping systems with related records on paper, microform, or other media as appropriate.

### ***Website-Related Documents***

Public entities are advised that records created or posted to websites, including externally hosted websites, are subject to the same electronic records requirements as records created or maintained on internal, non-web-based electronic recordkeeping system. Therefore, public entities need to ensure:

- (5) Retention of technical documentation of the design, construction, and use of the website, including a general description of the site's purpose, descriptions of major features and sections, diagrams and descriptive lists of links, descriptions of data sources, periodic screen dumps of major pages and electronic snapshots of web pages;
- (6) Websites that offer users transactional opportunities are able to retain and provide access to all data related to such transactions. Examples of transactional opportunities may include but are not limited to: submission of payments, applications or other on-line business.

### ***Social Media Records***

Public entities that use social media should be aware that social media sites contain communications sent to or received by state employees that are subject the same electronic records requirements discussed throughout these Guidelines.

**Note:** Public entities that use social media should be aware that most social media sites are hosted by third party providers. Consequently, the physical hardware and software that enable the social media site are located at, and under the control of, an entity other than the Commonwealth. Therefore, public entities have limited control over the functionality or business practices offered by such sites and the legal terms to which they are subject. These terms may impact adequacy of accessibility for people with disabilities, documentation, recordkeeping requirements, records management responsibilities, and records disposition. Public entities should be aware that the social media provider is unlikely to change features and functionality that do not meet all of the public entity's recordkeeping and records management obligations.

Therefore, public entities need to ensure procedures are implemented to allow for:

- (7) Review of third party social media service provider's terms of service for its records retention practices.

*Note:* While third party social media providers will most likely save the public entity's content for some period of time, they generally will not save it indefinitely.

- (8) Retention of a copy of the social media content in accordance with the Statewide Records Retention Schedule.

*Note:* To the extent that the social media provider's policies are inconsistent with the Statewide Records Retention Schedule, the public entity is obligated to take affirmative steps to retain copies of social media posts, such as taking a periodic screenshot of the social media sites in order to meet their agency's records retention obligations.

### ***Desktop Documents***

In order to ensure compliance with existing requirements, public entities need to ensure procedures are implemented that address the following unique aspects of records created or received through desktop applications such as Microsoft Office and Open Office.

- (9) Ensure that word-processing, spreadsheet, presentation, task list, contact, calendar and other desktop documents are identified, preserved and disposed of in a manner consistent with the Statewide Records Retention Schedule;
- (10) Identify and capture desktop documents created and received by employees in remote locations or on external devices, such as in the field or employee home offices, portable devices, such as tablets, notebooks, laptops, personal digital assistants and portable storage devices.

### **Section 5: Electronic Mail Message Records**

*In Massachusetts, the term "public record" is broadly defined to include all documentary materials or data created or received by any officer or employee of any governmental unit, regardless of physical form or characteristics, unless it falls under one of the statutory exemptions to the Public Records Law. G. L. c. 4, § 7(26). Consequently, email is subject to the disclosure, retention, and maintenance provisions as required by law. G. L. c. 66.*

To be compliant with existing regulations, public entities need to address the following unique aspects of electronic mail:

#### ***Preservation of Transmission Data***

- (1) The Statewide Records Retention Schedule requires that public entities retain specific information for each electronic mail message including:
  - (a) The names of the sender and addressee(s), including addressees who are cc'd to an electronic mail message;
  - (b) The date the message was sent;
  - (c) Message metadata;
  - (d) Any attachment to the electronic mail message must be preserved in order for the context of the message to be understood; and
  - (e) Any other transmission data that is necessary for the purpose of providing the context of the record.

- (2) If an electronic mail system identifies users by codes or nicknames, or identifies addressees only by the name of a distribution list, names on directories or distributions lists should be retained to ensure accurate identification of the sender and addressee(s) of messages that are records.
- (3) Provide instructions to electronic mail message users specifying when to request receipts or acknowledgments that indicate that a message has reached a recipient's mailbox that it has been opened for recordkeeping purposes and how to preserve them in electronic mail systems that support such functionality.
- (4) Public entity records sent or received using an external electronic mail system should ensure that these records are preserved in the appropriate recordkeeping system and that reasonable steps are taken to capture available transmission and receipt data needed by the public entity for recordkeeping purposes.

***Additional Consideration for Proper Maintenance of Electronic Mail Messages***

- (5) Public entities should develop procedures for the maintenance of electronic mail records in any recordkeeping systems, regardless of format, that accomplish the following:
  - (a) Provide for the grouping of related records into classifications according to the nature of the business purposes the records serve;
  - (b) Permit easy and timely retrieval of both individual records and files, or other groupings of related records;
  - (c) Recognize that draft documents circulated on electronic mail systems are considered to be records;
  - (d) Retain the records in an accessible format for their required retention period as specified by a Records Conservation Board or Supervisor of Records approved records schedule;
  - (e) Be easily obtained by agency employees, agents, or those properly authorized by the agency who have a business need for information in the system;
  - (f) Preserve all transmission and receipt data as specified in **Section 5.1.** above; and
  - (g) Permit transfer of permanent records to the State Archives facility or other State authorized permanent storage facility.
- (6) Public entities are prohibited from using any electronic mail system to store the recordkeeping copy of electronic mail messages unless that system has all of the features specified in this section (**Section 5**) of these Guidelines.
- (7) Public entities that maintain their electronic mail records in an electronic format in systems that are different from their electronic mail system must ensure that the recordkeeping system does meet all of the requirements in this section (**Section 5**) of these Guidelines. Records may be retained in an off-line electronic storage format, such as optical disk or magnetic tape.
- (8) If the electronic mail system is not designed or sufficiently able to be a recordkeeping system, public entities must instruct staff on how to copy the public entity's records from the electronic mail system to a suitable recordkeeping system.

- (9) Public entities that retain permanent electronic mail records scheduled for transfer to the State Archives or other permanent record storage facility must store the permanent electronic mail records in a format, and on a medium, that conforms to the transfer requirements or maintain the ability to convert the records to a required format and medium at the time transfer is scheduled.
- (10) Public entities that are unable to maintain their electronic records in an electronic format and maintain paper files as their recordkeeping system must print their electronic mail records and any related transmission and receipt data, except for those that they are permitted to delete pursuant to the Statewide Records Retention Schedule.
- (11) All public officials, employees and agents are responsible for maintaining their electronic mail records in accordance with the electronic mail retention policies prescribed by their respective public entities and all applicable laws and regulations. The Executive Department agencies must maintain electronic mail records in the manner specified in the Executive Office Email Retention Policy and Procedure.

### **Section 6: Admissibility of Electronic Records**

*Pursuant to G. L. c. 110G, the Uniform Electronic Transactions Act, and cognate provisions of Federal law, where the validity of electronic records is not in question, electronic records should be admissible to the same extent as paper records.*

While these Guidelines do not serve to supersede any pre-existing or forthcoming rules concerning the admissibility of records, adherence to these Guidelines may enhance the presumption of the validity of electronic records maintained by a public entity.

Records custodians should be familiar with the requirements of state and federal law regarding e-discovery and should ensure that electronic records subject to discovery are captured and preserved in accordance with such requirements.

*Pursuant to G. L. c. 233, § 79E, electronic records may be admitted in evidence for use in court proceedings if trustworthiness is established by thoroughly documenting the recordkeeping system's operation and the controls imposed upon it.*

The suggestions contained in this section are intended to offer guidance for how to demonstrate trustworthiness.

**Note:** Rules of evidence involving electronic evidence is within the sole purview of the courts. Agencies should implement the following procedures or adapt existing procedures according to the guidance below to increase the likelihood of the legal admissibility of electronic records:

- (1) Documentation that shows that similar kinds of records generated and stored electronically are created by the same processes each time and have a standardized retrieval approach.
- (2) Demonstrable security procedures that prevent unauthorized addition, modification or deletion of a record and ensure system protection against such problems as power interruptions or natural disasters.
- (3) Identification of electronic media on which records are stored throughout their life cycle, the maximum time span that records remain on each storage medium, and the Records Conservation Board approved disposition process for all state records.

- (4) Coordination of the measures in parts (1)-(3) of this Section with legal counsel, Records Liaison personnel and records management staff.

### **Section 7: Security of Electronic Records**

*Security should aim to minimize unauthorized addition, modification, alteration, erasure, or deletion of data, records, and documents. It should ensure that only authorized personnel have access to records.*

In order to ensure compliance with the existing requirements, public entities need to ensure procedures are implemented that achieve the following security goals:

- (1) Ensure that only authorized personnel have access to electronic records;
- (2) Backup and recovery of records to protect against information loss;
- (3) Personnel are trained in how to safeguard sensitive or classified electronic records;
- (4) Minimized risk of unauthorized alteration or erasure of electronic records;
- (5) Ensure that electronic records security is included in computer systems security plans;
- (6) Comply with requirements of Executive Order 504 and the ITD Security Policies and Standards, if mandated.

### **Section 8: Selection and Maintenance of Electronic Records Storage Media**

*Agencies must be able to demonstrate consistent, controlled data handling during the active and inactive life of the data.*

In order to achieve compliance with the existing requirements, public entities need to ensure that storage devices and systems for storing any regulated public entity records throughout the state's records retention lifecycle, meet the following requirements:

- (1) Permit easy retrieval in a timely fashion;
  - (a) Utilize a formal process or procedure to implement external labeling to facilitate identification and retrieval of stored information;
  - (b) Distinguish clearly between record and non-record material;
- (2) Retain the records in an accessible format until their authorized disposition date in accordance with **Section 9**;
  - (a) Avoid the use of floppy disks or other forms of magnetic media not specifically designed for purposes of long term storage for the exclusive long-term storage of permanent or unscheduled electronic records;
  - (b) Ensure that information is not lost because of changing technology or deterioration by converting storage media to provide compatibility with the public entity's current hardware and software. Before conversion to a different medium, public entities must determine that the authorized disposition of the electronic records can be implemented after conversion;
  - (c) Prohibit smoking and eating in all areas that contain permanent or unscheduled records;

- (d) Back up electronic records on a regular basis to safeguard against the loss of information due to equipment malfunctions or human error. Duplicate copies of permanent or unscheduled records should be maintained in storage areas separate from the location of the records that have been copied;
- (e) Maintenance of magnetic computer tape;
  - i. Testing of magnetic computer tapes no more than six months *prior* to using them to store electronic records that are unscheduled or scheduled for permanent retention. This test should verify that the tape is free of permanent errors.
  - ii. Public entities should maintain the storage and test areas for computer magnetic tapes containing permanent and unscheduled records at the temperature and relative humidity ranges set forth below:
    - Constant temperature -- 62° to 68° F
    - Constant relative humidity -- 35% to 45%
  - iii. Annually read a statistical sample of all reels of magnetic computer tape containing permanent and unscheduled records to identify any loss of data and to discover and correct the causes of data loss.
  - iv. Copy permanent or unscheduled data, on magnetic tapes before the tapes are ten years old, onto tested and verified new tapes.
  - v. External labels for magnetic tapes used to store permanent or unscheduled electronic records should provide identification for each reel, including the name of the organizational unit responsible for the data, system title, and security classification, if applicable.
- (3) Maintenance of direct access storage media:
  - (a) Issue written procedures for the care and handling of direct access storage media, which draw upon the recommendations of the manufacturers.
  - (b) External labels for diskettes or removable disks used when processing or temporarily storing permanent or unscheduled records should include the following information:
    - i. Name of the organizational unit responsible for the records;
    - ii. Descriptive title of the contents; dates of creation;
    - iii. Security classification, if applicable;
    - iv. Identification of the software and hardware used.
- (4) If the media contains permanent records and does not meet the requirements for transferring permanent records to State Archives, permit the migration of the permanent records at the time of transfer to a medium, which does meet the requirements.

***Additional Consideration for Selection of Storage Mediums***

The following factors should be considered before selecting a storage medium or converting from one medium to another:

- (a) The authorized life of the records, as determined by the appropriate record series listed in the Statewide Records Retention Schedule;
- (b) The maintenance necessary to retain the records;
- (c) The cost of storing and retrieving the records;
- (d) The records' density;
- (e) The access time to retrieve stored records;
- (f) The portability of the medium, i.e. selecting open standards media that will run on equipment offered by multiple manufacturers, and the ability to transfer the information from one medium to another, such as from optical disk to magnetic tape.

**Section 9: Retention and Disposition of Electronic Records**

*The Records Conservation Board and the Supervisor of Records must approve disposition schedules. Records, including those in electronic format, may only be deleted or destroyed in accordance with the Statewide Records Retention Schedule and an approved application for destruction (Form RCB-2).*

In order to achieve compliance with existing requirements, public entities need to establish policies and procedures to ensure that electronic records and their documentation are retained as long as required by the applicable retention schedule. These retention procedures should include the following provisions:

- (1) Scheduled disposition of all electronic records, as well as related documentation and indexes, by applying the Statewide Records Retention Schedule.
- (2) Scheduled Transferring of copies of permanent electronic records and any related documentation and indexes to the State Archives facility or other approved facility for the safekeeping of permanent records. Transfer may take place at an earlier date if convenient for both the public entity and the State Archives.
- (3) Established procedures for regular recopying, reformatting, and other necessary maintenance to ensure the retention and usability of electronic records throughout their authorized life cycle.
- (4) Electronic mail records may not be deleted or otherwise disposed of without prior disposition authority from the Records Conservation Board, unless the electronic mail record is scheduled as “administrative use” and the administrative value for retaining the record has ceased. Electronic mail records scheduled as “administrative use” may be disposed of without further permission once the administrative use of the record has ended.

For more information on “administrative use” records, and retention requirements for correspondence, see the Statewide Records Retention Schedule.

- (5) *Other records in an electronic mail system:* When a public entity has taken the necessary steps to retain a record in a scheduled recordkeeping system, whether electronic or paper, the identical version that remains on the user’s screen or in the user’s electronic mailbox has no continuing value.

- (1) Deletion of the version of the record in the electronic mail system is permitted after the record has been preserved in a recordkeeping system along with all appropriate transmission data.
- (2) The disposition of electronic mail records that have been transferred to an appropriate recordkeeping system is governed by the records disposition schedule, or schedules, that control the records in that system. If the records in the recordkeeping system are not scheduled, the public entity must follow the procedures outlined herein to schedule the record.
- (6) No electronic record should be disposed of if it is subject to a public record request or likely to be subject to a dispute, audit, investigation, or litigation, or subject to other legal retention requirements, regardless of the public status of the record. Individuals should consult their agency attorney if there is any question as to whether a particular electronic mail message is relevant to an ongoing dispute, investigation or litigation.

### **Section 10: Destruction of Electronic Records**

*Records, including those in electronic format may only be deleted or destroyed in accordance with the approved disposition schedule and an approved application for destruction (Form RCB-2).*

In order to achieve compliance with the existing requirements, public entities need to establish policies and procedures to ensure that electronic records and their documentation are destroyed only in accordance with applicable laws, as well as the records disposition schedule approved by the Records Conservation Board. At a minimum, each public entity should ensure that:

- (1) Electronic records scheduled for destruction are disposed of in a manner, consistent with the provisions of G. L. c. 93I, that ensures protection of any sensitive, proprietary, public safety or security information.
- (2) Magnetic recording media previously used for electronic records containing sensitive, proprietary, public safety or security information are not reused if the previously recorded information cannot be properly destroyed or rendered unreadable.
- (3) Procedures are established and implemented that specifically address the destruction of electronic records generated by individuals employing any electronic mail system.

### **Section 11: Accessibility to Public Information for Persons with Disabilities**

*With some exceptions, Federal and State laws require that public sector agencies make public documents accessible to persons with disabilities.*

In order to achieve compliance with the existing requirements, public entities need to address how public information will be made accessible to persons with disabilities.

**Note:** Executive Department agencies are required to comply with the Enterprise Information Technology Accessibility Standards and the Enterprise Web Accessibility Standards.

- (1) Electronic records should be formatted in accordance with manufacturers' directions related to accessibility in a format that is verifiably accessible to persons with disabilities.

The following is a non-exhaustive list of formats that are accessible to persons with disabilities when applied correctly:

- .doc
- .pdf
- .html
- .xml
- .txt
- .asci

- (2) In those rare cases where preservation of the appearance of the original document is of legal or historic significance and it is not possible to both make the document accessible and preserve its original appearance, accessibility shall be accomplished by creation and retention of a second accessible document.

### **Section 12: Conclusion**

Any questions from agency records custodians regarding these Guidelines should be addressed to the Supervisor of Records, the Records Conservation Board, or the Information Technology Division.

# Appendix A

## *Definitions for the Purpose of these Guidelines*

**Note: The Records Conservation Board may revise the definitions from time to time as used in these Guidelines to reflect applicable technological advancements.**

Agency: A department, bureau, commission, board, office, council, or other entity in the executive department of government, which was created by the constitution or statutes of the Commonwealth of Massachusetts.

Data: Any material upon which written, drawn, spoken, visual, or electromagnetic information or images are recorded or preserved, regardless of physical form or characteristics.

Database: An electronically stored set of data, consisting of at least one data file, which is sufficient for a given purpose.

Database management system means a software system used to access and retrieve data stored in a database.

Desktop documents means text, spreadsheet, presentation, calendar, task list, contact and other documents created through the use of software by individual users for their work-related purposes regardless of where it is stored.

Document: A document is a form of information. A document can be put into an electronic form and stored in a computer as one or more files. Often, a single document becomes a single file. As files or data, a document may be part of a database. When using certain computer application programs such as a word processor, a document is the unit of saved work. Each document is saved as a uniquely named file.

Duplicate electronic mail message, also referred to as duplicate email, means an electronic mail message that is a copy of another electronic mail message with the same message content including attachments.

Electronic means relating to technology as having electrical, digital, magnetic, wireless, optical, electromagnetic or similar capabilities.

Electronic information system means a system that contains and provides access to computerized agency records and other information.

Electronic mail message, also referred to as email, means a document created or received on an electronic mail system including: brief notes, more formal or substantive narrative documents, and any attachments, such as word processing, spreadsheet, presentation and other electronic documents which may be transmitted with the message, as well as any information related to the transmission of the message.

Electronic mail system refers to the technology used to create, receive, and transmit messages and other documents. Excluded from this definition are file transfer utilities, software that transmits files between users but does not retain any transmission data, data systems used to collect and process data that have been organized into data files or data bases on either personal

computers or mainframe computers, and desktop documents not transmitted on an electronic mail message system.

Electronic record means a record created, generated, sent, communicated, received or stored by electronic means.

Electronic recordkeeping system means an electronic system in which records are collected, organized, and categorized to facilitate their preservation, retrieval, use, and disposition.

Floppy Disk: A random access, removable magnetic data storage medium that can be used with personal computers. These types of disks are convenient for storing individual files and small programs.

Information Technology Division, also referred to as ITD, means the Information Technology Division, a division of the Executive Office for Administration and Finance established by G. L. c. 7, § 4A(d).

Long Term Storage refers to any retention that is needed for longer than 10 years.

Magnetic Media Storage Device: A magnetic storage device is a device that uses a magnetic head to read and write data to and from a “magnetizable” medium. The medium can be as basic as a plastic tape that is coated with fine particles of a metal, such as is found in audio recording and tape storage devices. Other examples include a floppy disk drive, a tape drive and a computer’s hard drive.

Metadata means information describing the history, tracking, or management of an electronic document. Examples of metadata include: file designation, create and edit dates, comments, authorship, and edit history.

Portable storage media means any removable storage media. For the purpose of these Guidelines, portable storage media may include: flash drives, thumb drives, USB devices, CD’s, DVD’s, external hard drives, laptops, and smart phones.

Public entity means any entity subject to the provisions set by the Records Conservation Board pursuant to the authority granted in G. L. c. 30, § 42.

Receipt data means information in electronic mail systems regarding date and time of receipt of a message, and/or acknowledgment of receipt or access by addressee(s).

Record means information that is inscribed on a tangible medium or that is stored in an electronic or other medium and is retrievable in perceivable form.

Records Conservation Board, also referred to as the RCB, means the Board, organized by G. L. c. 30, § 42, charged with setting the standards for the management of state records.

Records custodian: Custody of public records is in the office that creates, receives or maintains the records for use. Each officer in charge of a government office or department is the custodian of the records held by that office or department and has the primary responsibility for ensuring the safety of the records, providing access to those records and ensuring their authenticity. Any entity maintaining the records is acting as an agent of the record custodian, providing only for the physical care of the record, and may not take action with respect to the records without the specific authority of the custodian.

Social media: Websites that facilitate user participation, social interaction, collaboration and information sharing through the submission of user generated content. Some examples of social media tools include wikis, blogs, Facebook, and Twitter.

Supervisor of Records, also referred to as the Supervisor of Public Records, means the officer under the aegis of the Secretary of the Commonwealth statutorily designated pursuant to G. L. c. 66, § 1 to take necessary measures to put the records of the Commonwealth, counties, cities or towns in the custody and condition required by law and to secure their preservation.

Transmission data means information in electronic mail systems regarding the identities of sender and addressee(s), and the date and time messages were sent.