

# Massachusetts Statewide Records Retention Schedule

Quick Guide  
Schedule Number 06-18

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# Records in Common

## Administration

### **A01: Program Development and Review**

*See the sub-schedules for specific retention information.*

#### **A01-01: Program Establishment, Development Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

#### **A01-02: Annual and Summary Reports records**

*See the sub-schedules for specific retention information.*

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 Includes background support materials, statistical and other interim reports, unpublished reports, final products, and related correspondence.

##### **A01-02 (a): Annual reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

##### **A01-02 (b): Substantive support documentation for annual reports**

*Retain 3 years*

##### **A01-02 (c): All other reports, published or unpublished, and substantive support materials for those reports**

*Retain until no longer used or needed; permission not needed for destruction*

#### **A01-03: Program Plans and Planning Records**

*See the sub-schedules for specific retention information.*

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.

##### **A01-03 (a): Reports and substantive background documentation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

##### **A01-03 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**A01-04: Reorganization, Relocation, and Closing Records**

*See the sub-schedules for specific retention information.*

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.

**A01-04 (a): Summary and substantive materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A01-04 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**A01-05: Accreditation Records**

*See the sub-schedules for specific retention information.*

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.

**A01-05 (a): Final Accreditation report, responses, and substantive correspondence**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A01-05 (b): All other records**

*Retain 6 years after accreditation period ends*

**A01-06: Disaster Planning Records**

*See the sub-schedules for specific retention information.*

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.

**A01-06 (a): Final plans**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A01-06 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**A01-07: Commemorations and Historical Anniversary Records**

*Retain until no longer used or needed; permission not needed for destruction*

Documents any celebration or recognition of agencies or their works.

**A01-08: Program Historical Articles and Clippings**

*See the sub-schedules for specific retention information.*

Consists of articles and clippings about agency programs and functions. Collection may be unique or not easily reproduced.

**A01-08 (a): Substantive files**

*Contact Massachusetts Archives to review materials to determine disposition*

**A01-08 (b): All other records**

*Contact Massachusetts Archives to review materials to determine disposition*

**A01-09: Artifacts and Memorabilia**

*Contact Massachusetts Archives to review materials to determine disposition*

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.

**A02: Legislation and Policy**

*See the sub-schedules for specific retention information.*

**A02-01: Informational Circulars**

*Retain until no longer used or needed; permission not needed for destruction*

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

**A02-02: Legal Letter Release Records**

*See the sub-schedules for specific retention information.*

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.

**A02-02 (a): Final products and substantiative support materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A02-02 (b): All other records**

*Retain 3 years*

**A02-03: Policy and Procedure Records**

*See the sub-schedules for specific retention information.*

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.

**A02-03 (a): Manuals, publications, bulletins and substantive support materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A02-03 (b): All other records**

*Retain 3 years*

**A02-04: Executive Orders, Directives, and Bulletins Records**

*See the sub-schedules for specific retention information.*

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

**A02-04 (a): Final Issuances and substantial support materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A02-04 (b): All other records**

*Retain 3 years*

**A02-05: Rules and Regulation Records**

*See the sub-schedules for specific retention information.*

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.

**A02-05 (a): Final accepted rules and regulations and substantive support materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A02-05 (b): All other records**

*Retain 3 years*

**A02-06: Legislative Records**

*See the sub-schedules for specific retention information.*

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.

**A02-06 (a): Summary and substantive support materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A02-06 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**A02-07: Legislative Relations Records**

*See the sub-schedules for specific retention information.*

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

**A02-07 (a): Summary and substantiative support materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A02-07 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**A03: Executive records**

*See the sub-schedules for specific retention information.*

**A03-01: Executives' Correspondence/Subject Files**

*Retain 3 years*

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.

**A03-02: Executives' Briefing Files**

*Retain 3 years*

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

**A03-03: Elected Office Transition Files**

*Retain 3 years*

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.

**A04: Committee records**

*See the sub-schedules for specific retention information.*

**A04-01: Committee Establishment, Charges, and Membership Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**A04-02: Standing Committees, Councils, Boards, and Commissions Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**A04-03: Committee Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**A04-04: Board, Council, Committee Docketed Case Files - Not covered by other records series**

*Retain until no longer used or needed; permission not needed for destruction*

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

**A04-05: Committee Members' Records**

*See the sub-schedules for specific retention information.*

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.

**A04-05 (a): Executives' records**

*Retain 3 years*

**A04-05 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**A04-06: Task Force Records**

*See the sub-schedules for specific retention information.*

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.

**A04-06 (a): Charges, substantive correspondence and work product, and reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A04-06 (b): All other records**

*Retain 3 years*

**A04-07: Staff Meeting Records**

*Retain until no longer used or needed; permission not needed for destruction*

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

**A05: Program Administration**

*See the sub-schedules for specific retention information.*

**A05-01: Program Subject/Resource Records**

*See the sub-schedules for specific retention information.*

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.

**A05-01 (a): Substantive files where the collation may be unique or not easily reproduced.**

*See the sub-schedules for specific retention information.*

**A05-01 (b): All other records**

*See the sub-schedules for specific retention information.*

**A05-02: Program Issues and Topics Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**A05-03: Program Outreach and Training Records**

*See the sub-schedules for specific retention information.*

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.

**A05-03 (a): Substantive planning documentation and summary presentation materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A05-03 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**A05-04: Program Administration Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**A05-05: Program Publication Records**

*See the sub-schedules for specific retention information.*

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.

**A05-05 (a): Final official publications**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A05-05 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**A05-05 (c): Unique or potentially historically interesting resource materials**

*Contact Massachusetts Archives to review materials to determine disposition*

## **A06: Office Management**

*See the sub-schedules for specific retention information.*

### **A06-01: Office Social Activity Records**

*See the sub-schedules for specific retention information.*

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.

#### **A06-01 (a): Payment documentation**

*Retain 3 years*

#### **A06-01 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

### **A06-02: Schedules and Calendars**

*Retain until no longer used or needed; permission not needed for destruction*

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

### **A06-03: General Office Administration Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

## **A07: Program Relations**

*See the sub-schedules for specific retention information.*

### **A07-01: Intra-Agency Relations Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

### **A07-02: Intra-Governmental Coordination**

*Retain until no longer used or needed; permission not needed for destruction*

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.

### **A07-03: Inter-Agency Relations Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

### **A07-04: Federal/State Relations Records**

*Retain until no longer used or needed; permission not needed for destruction*

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

### **A07-05: Special Relations Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

### **A07-06: External Program Relations Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

### **A07-07: Professional Organizations and Associations Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

## **A08: Public Relations**

*See the sub-schedules for specific retention information.*

### **A08-01: Public Relations and Communications Records**

*See the sub-schedules for specific retention information.*

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.

**A08-01 (a): Substantive records reflecting decisions, issues, concerns and events**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A08-01 (b): All other records**

*Retain 3 years*

**A08-02: Media Advisories and Releases Records**

*See the sub-schedules for specific retention information.*

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.

**A08-02 (a): Final official releases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A08-02 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**A08-03: Public Appearances, Speeches, and Writings**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**A08-04: Ombudsman/Advocate Records**

*See the sub-schedules for specific retention information.*

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.

**A08-04 (a): Cases that instigated policy or procedural change**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A08-04 (b): All other records**

*Retain 3 years*

**A09: Special Events**

*See the sub-schedules for specific retention information.*

**A09-01: Special Event Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**A09-02: Conference, Seminar, and Workshop Participant Records**

*Retain until no longer used or needed; permission not needed for destruction*

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

**A09-03: Conference, Seminar, and Workshop Sponsor Records**

*See the sub-schedules for specific retention information.*

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.

**A09-03 (a): Fees or Payments**

*Retain 3 years*

**A09-03 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**A10: Special Projects**

*See the sub-schedules for specific retention information.*

**A10-01: Program Research and Survey/Questionnaire Data**

*Retain until no longer used or needed; permission not needed for destruction*

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

**A10-02: Program Special Projects, Studies, and Initiatives Records**

*See the sub-schedules for specific retention information.*

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.

**A10-02 (a): Summary records and substantive materials and correspondence**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**A10-02 (b): All other records**

*Retain 3 years after completion unless part of a grant or contract, in which case retain 6 years after close*

## **A11: Correspondence**

*See the sub-schedules for specific retention information.*

### **A11-01: Administrative Convenience Correspondence**

*Retain until no longer used or needed; permission not needed for destruction*

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

### **A11-02: General Administrative Correspondence**

*Retain 3 years*

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

### **A11-03: Policy Development Correspondence**

*Retain 5 years*

Correspondence documenting policy development

### **A11-04: Transitory Messages**

*Retain until no longer used or needed; permission not needed for destruction*

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

## **A12: Public Bodies Subject to the Open Meetings Law**

*See the sub-schedules for specific retention information.*

### **A12-01: Meeting Notices**

*Retain 1 year*

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

### **A12-02: Meeting Agendas**

*Retain 1 year*

Includes final documents provided to members of the public body listing the topics for meetings of public bodies.

### **A12-03: Meeting Minutes**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

### **A12-04: Recordings of Meetings for Use in Drafting Minutes**

*Retain the record for a specified time period; review full schedule for details*

Includes any audio or visual recording of a meeting by the public body or authorized by the public body.

### **A12-05: Records of Meeting Public Television Access**

*Retain 6 Months*

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.

### **A12-06: Documents, Exhibits, or Other Records Used by a Public Body**

*See the sub-schedules for specific retention information.*

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).

#### **A12-06 (a): Final**

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

#### **A12-06 (b): Drafts**

*Retain 90 days, unless an Open Meeting Law complaint is filed against the public body, in which case retain all drafts until complaint is resolved*

### **A12-07: Notice to Individuals**

*Retain 6 years*

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).

### **A12-08: Open Meeting Law Certifications**

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

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.

### **A12-09: Open Meeting Law Complaints**

*Retain 3 years*

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.

### **A12-10: Correspondence**

*See record series Records in Common: Administrative: Correspondence (A11)*

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.

**A12-11: Training Materials**

*Retain until superseded by new versions of training materials*

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

**A12-12: Complaints (Other than Open Meeting Law Complaints)**

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

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

## Facilities, Transportation and Construction

**C01: Facilities Management**

*See the sub-schedules for specific retention information.*

**C01-01: Facilities Management Records**

*See the sub-schedules for specific retention information.*

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.

**C01-01 (a): Department of Mental Health**

*Retain 6 years*

**C01-01 (b): All other agencies**

*Retain 3 years*

**C01-02: State Office Space Planning Records**

*Retain 3 years*

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.

**C01-03: Facilities Disability Access Records**

*Retain 3 years after the completion of improvement of the building, facility, or area*  
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.

**C01-04: Equipment Case Files**

*Retain 6 years after final disposition of equipment*

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.

**C01-05: Property, Vehicles, and Equipment Management Records**

*Retain 3 years*

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.

**C01-06: Buildings and Facilities Informational Data**

*Retain until no longer used or needed; permission not needed for destruction*

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

**C01-07: Inventory Records**

*Retain 3 years after superseded*

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

**C01-08: Facilities Hazardous Materials Monitoring Records**

*See the sub-schedules for specific retention information.*

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.

**C01-08 (a): Primary Copy or Unique Records not held elsewhere**

*Retain 30 years*

**C01-08 (b): Secondary Copies**

*Retain 3 years*

**C01-09: Facility Safety Records**

*See the sub-schedules for specific retention information.*

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

**C01-09 (a): Records supporting Policy Changes**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C01-09 (b): All other records**

*Retain 3 years*

**C01-10: Facilities Fire, Safety, and Environmental Monitoring Records**

*Retain 3 years*

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.

**C01-11: Lease and Rental Administration Records**

*Retain 6 years after contract final payment or close*

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.

**C02: Construction - Legal**

*See the sub-schedules for specific retention information.*

**C02-01: Contractor State Qualification Certification Records**

*Retain 3 years after bid process has closed*

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.

**C02-02: Contractor Debarment Actions Records**

*Retain 20 years from debarment*

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.

**C02-03: Construction Project Designer Contract Records**

*See the sub-schedules for specific retention information.*

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.

**C02-03 (a): Substantive records**

*Retain until no longer used or needed; permission not needed for destruction*

**C02-03 (b): All other records**

*Retain 3 years after close of bid or award process*

**C02-04: Construction Project Contract Legal Records**

*See the sub-schedules for specific retention information.*

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

**C02-04 (a): Landmark or policy-setting contracts**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C02-04 (b): Sealed portions of contracts**

*Retain 20 years*

**C02-04 (c): Central Artery/Tunnel records**

*Retain 10 years after final project acceptance*

**C02-04 (d): All other records**

*Retain 6 years after final project acceptance*

**C02-05: Construction Project Professional Services Contract Records**

*Retain the record for a specified time period; review full schedule for details + 6 years*

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

**C02-06: Construction Claims and Disputes Records**

*See the sub-schedules for specific retention information.*

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.

**C02-06 (a): DCAM record heard by Division of Administrative Law Appeals (DALA) over change orders**

*Retain 15 years after final action*

**C02-06 (b): DCAM record for minority and women**

*Retain 15 years after final action*

**C02-06 (c): All other records**

*Retain 6 years after final acceptance*

**C02-07: Construction Regulations Compliance Records**

*Retain 6 years after final acceptance*

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.

**C02-08: Construction Project Litigation Case Files**

*See the sub-schedules for specific retention information.*

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

**C02-08 (a): Landmark or noteworthy cases**

*Retain until no longer used or needed; permission not needed for destruction*

**C02-08 (b): All other records**

*Retain 15 years after final action or activity*

**C02-09: Property Settlements and Judgments Payment Records**

*Retain 20 years*

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

**C02-10: Minority/Women/Disadvantaged Business Certification Records**

*See the sub-schedules for specific retention information.*

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.

**C02-10 (a): Certification Logs and Summaries**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C02-10 (b): Denied or decertified businesses**

*Retain 6 years*

**C02-10 (c): Certification documentation**

*Retain 6 years after inactive*

**C03: Construction - Planning**

*See the sub-schedules for specific retention information.*

**C03-01: Master Plan for Development Records**

*See the sub-schedules for specific retention information.*

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.

**C03-01 (a): Final adopted plan**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C03-01 (b): All other records**

*Retain 10 years after last action*

**C03-02: Capital Projects Planning Records**

*See the sub-schedules for specific retention information.*

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

**C03-02 (a): Summary reports and substantive correspondence**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C03-02 (b): All other records**

*Retain 10 years*

**C03-03: Construction Study Library Files**

*Contact Massachusetts Archives to review materials to determine disposition*

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.

**C03-04: Capital Budget Request Records**

*See the sub-schedules for specific retention information.*

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.

**C03-04 (a): Substantiative planning correspondence and minutes**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C03-04 (b): All other records**

*Retain 10 years*

**C04: Pre-Construction**

*See the sub-schedules for specific retention information.*

**C04-01: Construction Project Designer Selection Records**

*Retain 6 years from final acceptance of project*

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.

**C04-02: Construction Project Bid Records**

*See the sub-schedules for specific retention information.*

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.

**C04-02 (a): Contractors qualification documents**

*Retain 3 years from expiration*

**C04-02 (b): Bid bonds**

*Return to bidders after general bid or destroy if unreturnable*

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.

**C04-02 (c): Bid drawings and specification security deposits**

*Retain until drawings returned*

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.

**C04-02 (d): Non-awarded bids**

*Retain 3 years after end of bid process*

**C04-02 (e): Bid process advertisements and procedures documentation**

*Retain 6 years after final acceptance of project / Retain 10 years for Central Artery/Tunnel 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.

**C04-02 (f): Awarded bids and advertisements**

*Retain 6 years after final acceptance of project / Retain 10 years for Central Artery/Tunnel records / Retain 15 years for DCAM 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.

**C04-03: Construction Emergency Bid Waiver Records**

*Retain 6 years after decision*

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

**C05: Construction - Management**

See the sub-schedules for specific retention information.

**C05-01: Project Management**

See the sub-schedules for specific retention information.

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.

**C05-01 (a): Archaeological materials and records, and historical designation documentation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C05-01 (b): Final as-built plans, project summaries, and specifications books**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C05-01 (c): Survey reports and surveyors' field books**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C05-01 (d): Land disposition vital records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C05-01 (e): Construction photographs**

*Contact Massachusetts Archives to review materials to determine disposition*

**C05-01 (f): Landmark projects**

*Contact Massachusetts Archives to review materials to determine disposition*

**C05-01 (g): Central Artery/Tunnel Project Records**

*Retain 10 years then contact Massachusetts Archives to review materials to determine disposition*

**C05-01 (h): Scheduling and progress summary documentation**

*Contact Massachusetts Archives to review materials to determine disposition*

**C05-01 (i): Status and other narrative reports**

*Contact Massachusetts Archives to review materials to determine disposition*

**C05-01 (j): Public relations records**

*Contact Massachusetts Archives to review materials to determine disposition*

**C05-01 (k): All other records**

*Retain 6 years after final project acceptance or abandonment*

**C05-01 (l): Materials testing samples**

*Retain representative sample for projects involving dams, tunnels, and bridges for the life or the structure; otherwise discard after project acceptance*

**C05-01 (m): Environmental monitoring and reporting records**

*Contact Massachusetts Archives to review materials to determine disposition*

**C05-02: Construction Project Planning and Engineering Records**

*Contact Massachusetts Archives to review materials to determine disposition*

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

**C05-03: Construction Project Cost Oversight Records**

*Retain 3 years*

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.

**C05-04: Construction Project Cost Accounting Records**

*See the sub-schedules for specific retention information.*

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.

**C05-04 (a): Central Artery/Tunnel records**

*Retain 10 years after final project acceptance*

**C05-04 (b): Owner controlled insurance program**

*Retain 6 years after final project acceptance*

**C05-04 (c): All other records**

*Retain 6 years after final project acceptance*

**C05-04 (d): Passenger facility charge**

*Retain 36 years*

**C05-05: Facility Memorials and Dedications Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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

**C05-06: Building Plans and Specifications Records**

*See the sub-schedules for specific retention information.*

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.

**C05-06 (a): As-built drawing set or best available copies**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C05-06 (b): Shop drawings**

*Retain 6 years after project completion*

**C05-06 (c): Facilities management set**

*Retain for life of facility or building*

**C05-06 (d): As-bid plans and specifications**

*Retain 6 years after project completion*

**C05-06 (e): Duplicate convenience sets**

*Retain until no longer used or needed; permission not needed for destruction*

**C05-06 (f): All other records**

*Retain for life of facility or building*

**C05-07: Geologic Samples and Records**

*See the sub-schedules for specific retention information.*

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.

**C05-07 (a): Rock cores, rock specimens, cuttings and thin sections**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C05-07 (b): Soil samples**

*Review by engineers, the state geologist, and Mass Archives to determine disposition. Otherwise, retain until final project acceptance.*

**C05-07 (c): Geologic tests, reports, photographs, maps and drill logs**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C06: Property Management**

*See the sub-schedules for specific retention information.*

**C06-01: Highway and Bridge Maintenance Records**

*See the sub-schedules for specific retention information.*

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.

**C06-01 (a): Contract related records**

*Retain 6 years after final completion of work*

**C06-01 (b): All other records**

*Retain 3 years*

**C06-01 (c): Background resource file**

*Retain until no longer used or needed; permission not needed for destruction*

## **C07: Real Estate and Land Use**

*See the sub-schedules for specific retention information.*

### **C07-01: State Property Management Monitoring Records**

*Retain 6 years after expiration of the contract*

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.

### **C07-02: Housing Tenants Records**

*See the sub-schedules for specific retention information.*

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

#### **C07-02 (a): Denied applicant records**

*Retain 3 years*

#### **C07-02 (b): All other records**

*Retain 6 years after final action*

### **C07-03: State Leasing Reports**

*See the sub-schedules for specific retention information.*

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

#### **C07-03 (a): Official copy**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### **C07-03 (b): All other copies**

*Retain 5 years*

### **C07-04: State Property Inventory Reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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

### **C07-05: Authorities Real Estate Planning and Development Records**

*Retain 6 years after final activity*

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.

### **C07-06: Real Estate Disposition Proposal Records**

*Retain until no longer used or needed; permission not needed for destruction*

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

### **C07-07: Real Estate Disposition Disclosure Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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

### **C07-08: Fixed Asset Recording Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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

### **C07-09: Real Estate Disposition Records**

*See the sub-schedules for specific retention information.*

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.

#### **C07-09 (a): Land records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### **C07-09 (b): All other records**

*Retain 10 years after close of final agreement*

### **C07-10: Real Property Vital Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

### **C07-11: State Property for Sale Inquiries Records**

*Retain 3 years*

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

### **C07-12: State Agency Lease Proposal Records**

*Retain 3 years*

Documents agencies proposals for leases as reviewed by DCAM.

### **C07-13: State Agency Lease Procurement Records**

*Retain 6 years after expiration of lease*

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.

**C07-14: State Property Access License Records**

*Retain 10 years after expiration of license*

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

**C07-15: Land Title Examiner Reference Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**C07-16: Land Registration Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**C07-17: Land Survey Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents land surveys undertaken by the state.

**C08: Transportation Management**

*See the sub-schedules for specific retention information.*

**C08-01: Certificate Files (A&B) Truck or Bus**

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

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.

**C08-02: Interstate License Certification Files**

*Retain 3 years after cancellation or superseded*

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.

**C08-03: Vehicle Identification Devices and Applications for Drivers**

*Retain 3 years after receipt expiration*

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.

**C08-04: Complaint/Investigation/Hearing Records (A)**

*Retain 2 years after closing if no litigation pending*

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.

**Fiscal****D01: Accounting records**

*See the sub-schedules for specific retention information.*

**D01-01: Independent Accounting/Payroll System Records**

*See the sub-schedules for specific retention information.*

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.

**D01-01 (a): General ledgers (year-end final closing) reports.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**D01-01 (b): Payroll registers (year end)**

*Retain 75 years*

**D01-01 (c): Primary copies of payment support documentation and transaction postings.**

*Retain 6 years*

**D01-01 (d): Lockbox or service providers' records.**

*Retain 6 years*

**D01-01 (e): Secondary copies of payment support documentation.**

*Retain 3 years*

**D01-02: Grant and Contract Cost Accounting Records**

*Retain 6 years after final payment*

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.

**D01-03: Contract and Agreement Negotiation Records**

*See the sub-schedules for specific retention information.*

Documents the process to enter into a contract or agreement, or understanding. Includes background support materials, drafts, memos, letters, and related correspondence.

**D01-03 (a): Finalized contracts and agreements**

*Retain 6 years after contract expiration*

Documents the process to enter into a contract or agreement, or understanding. Includes background support materials, drafts, memos, letters, and related correspondence.

**D01-03 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**D01-04: Grant and Contract Administration Records**

*See the sub-schedules for specific retention information.*

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.

**D01-04 (a): Research projects or those reflecting the mission and direction of the agency.**

*Contact Massachusetts Archives to review materials to determine disposition*

**D01-04 (b): Summary records.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**D01-04 (c): All other records**

*Retain 6 years after contract final payment or end of litigation, whichever is later*

**D01-05: Grant Development and Proposal Records**

*See the sub-schedules for specific retention information.*

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.

**D01-05 (a): Summary planning documents and proposals that reflect the direction of the agency.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**D01-05 (b): Unfunded grants.**

*Retain 3 years*

**D01-05 (c): All other records.**

*Retain until no longer used or needed; permission not needed for destruction*

**D01-06: Grant Program Records: Establishment and Policy documentation.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**D01-07: Routine Accounting Records**

*Retain 3 years*

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.

**D01-08: Bank and Cash Records**

*Retain 3 years*

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.

**D01-09: Revenues and Sales Records**

*Retain 3 years*

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, canceled checks, revenue reports, and related correspondence.

**D01-10: Billing and Collections Records**

*Retain 3 years after final payment, settlement, or write-off*

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.

**D01-11: Claims and Disbursements Records**

*See the sub-schedules for specific retention information.*

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.

**D01-11 (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*

**D01-11 (b): All other records.**

*Retain 3 years*

**D01-12: Trust and Loan Disbursement Records**

*Retain 6 years after last payment*

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.

**D01-13: Signature Authorization Records**

*Retain 3 years after superseded*

Documents the delegation of department head signature authorization. Includes authorization lists and related correspondence.

**D01-14: Bid and Procurement Records**

*See the sub-schedules for specific retention information.*

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.

**D01-14 (a): Awarded bids.**

*Retain 6 years after last payment or litigation*

**D01-14 (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*

**D01-15: Vendor Resource Materials**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**D01-16: Vendor Relations Records**

*Retain 1 year*

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.

**D01-17: Fixed Asset Records**

*Retain 3 years where fixed assets are permanently recorded elsewhere*

Documents the fiscal tracking of fixed assets such as furniture, equipment, and vehicles for accounting purposes. Includes acquisition, betterment, and final disposition records.

**D02: Development and Review records**

*See the sub-schedules for specific retention information.*

**D02-01: Fiscal Planning, Reports, and Surveys Records**

*See the sub-schedules for specific retention information.*

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.

**D02-01 (a): Primary copies of final summary plans, studies and reports.**

*Retain until no longer used or needed; permission not needed for destruction*

**D02-01 (b): All other records.**

*Retain until no longer used or needed; permission not needed for destruction*

**D02-02: Capital Improvement Plan Records**

*See the sub-schedules for specific retention information.*

Documents major capital expenditure and project planning. Includes background support materials and reports, working papers and notes, and related correspondence.

**D02-02 (a): Final plan and substantive support materials.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**D02-02 (b): All other records.**

*Retain until no longer used or needed; permission not needed for destruction*

**D02-03: Budget Preparation and Monitoring Records**

*See the sub-schedules for specific retention information.*

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.

**D02-03 (a): Agency's primary copy of budget guidelines and submission letters.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**D02-03 (b): All other records.**

*Retain until no longer used or needed; permission not needed for destruction*

**D02-04: Fiscal Audit Records**

*See the sub-schedules for specific retention information.*

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.

**D02-04 (a): Agency's primary copy of final audit reports and responses.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**D02-04 (b): Audit background materials and work papers.**

*Retain 6 years*

**D02-05: Fiscal Monitoring Records**

*Retain 6 years*

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.

**D02-06: Fund Development Records**

*See the sub-schedules for specific retention information.*

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.

**D02-06 (a): Summary planning documents and proposals that reflect the direction of the agency.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**D02-06 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**D02-07: Fiscal Systems Internal Control Records**

*See the sub-schedules for specific retention information.*

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.

**D02-07 (a): Policy and procedure documentation and substantive correspondence.**

*Retain for the life of the system*

**D02-07 (b): All other records.**

*Retain 6 years*

**D03: Grant and Aid records**

*See the sub-schedules for specific retention information.*

**D03-01: State Municipal Funding Records**

*Retain 6 years after close of grant*

Documents payments of local aid to municipalities. Includes budget analysis, applications, budget allotments, and related correspondence.

**D03-02: State Economic or Development Grants Records**

*Retain 6 years*

Documents aid given to programs to promote economic or other development in communities and the state. Includes applications, evaluations, grant materials, and related correspondence.

**D04: Payroll records**

*See the sub-schedules for specific retention information.*

**D04-01: Travel Expense Records**

*Retain 3 years*

Documents travel expenses of staff as posted to State Comptroller's systems. Includes receipts, credit card statements, travel authorizations, mileage logs, and related correspondence.

**D04-02: Payroll and Benefits Case Files**

*See the sub-schedules for specific retention information.*

Payroll registers (year-end) showing pay-stub detail for individual employees or other documentation sufficient to document employee creditable prior service. Documents pay histories of employees. Includes deductions, credits due, benefits and insurance enrollments, and any other materials affecting employee pay.

**D04-02 (a): Payroll registers (year-end)**

*Retain 75 years*

**D04-02 (b): All other records.**

*Retain 6 years after separation of employee*

**D04-03: Time and Attendance Records**

*See the sub-schedules for specific retention information.*

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.

**D04-03 (a): Fiscal/Payroll Office records.**

*Retain 6 years*

**D04-03 (b): Originating office records.**

*Retain 3 years if record contains unique documentation, otherwise until administrative use ends*

**D04-04: W-2s**

*Retain 3 years*

Documents employee earnings for tax reporting purposes. Includes W-2 forms and attachments.

**D04-05: Payroll Administration Records**

*Retain 6 years*

Documents the daily routine administration and reporting of payroll related matters. Includes payroll warrants, monthly reports, and related correspondence.

# Information and Records Management

## F01: Administrative records

See the sub-schedules for specific retention information.

### F01-01: Blank Forms Stock

See the sub-schedules for specific retention information.

Consists of blank forms. Form types include business forms, letterhead, phone slip tablets, and card stock.

#### F01-01 (a): Hardcopy master set of current and superseded forms.

Retain permanently; state agency records eligible for transfer to Mass Archives

#### F01-01 (b): All other materials.

Retain until no longer used or needed; permission not needed for destruction

### F01-02: Publication Stock

Create and follow a diminishing inventory schedule by publication title and publication date, where stock is reduced each year

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.

### F01-03: Returned Mail

See the sub-schedules for specific retention information.

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.

#### F01-03 (a): Records that need to be accounted for.

Retain 1 year unless otherwise specified by statute

#### F01-03 (b): All other records.

Retain until no longer used or needed; permission not needed for destruction

### F01-04: Dead Letter File

Retain until no longer used or needed; permission not needed for destruction

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.

### F01-05: Unused Permits, Certificates, Decals, and Stickers

See the sub-schedules for specific retention information.

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.

#### F01-05 (a): Unused Permits, Certificates, Decals, and Stickers

Retain the record for a specified time period; review full schedule for details

## F01-05 (b): Audit and destruction documentation

Retain 10 years

### F01-06: Damaged/Contaminated Files

Contact Massachusetts Archives to review materials to determine disposition

Consists of files that were damaged to the point where they cannot be salvaged.

### F01-07: Old Records

See the sub-schedules for specific retention information.

Consists of old state records that have been abandoned, stored without records disposition schedules, or otherwise neglected.

#### F01-07 (a): Older than 1870.

Retain permanently; state agency records eligible for transfer to Mass Archives

#### F01-07 (b): Records older than 50 years.

Contact Massachusetts Archives to review materials to determine disposition

## F02: Reference records

See the sub-schedules for specific retention information.

### F02-01: Reference and Resource Material

Retain until no longer used or needed; permission not needed for destruction

Consists of general library-type reference materials collected from sources outside of the agency. Includes reference manuals, directories, catalogs, books, articles, and other items.

### F02-02: Systems Manuals and Technical Reference Materials

Retain until no longer used or needed; permission not needed for destruction

Consists of reference manuals for computer hardware and computer applications.

### F02-03: Referral Resource Files

Retain until no longer used or needed; permission not needed for destruction

Consists of alternative sources of information related to an agency's functions and programs maintained for the purposes of referral.

## F03: Facilitative records

See the sub-schedules for specific retention information.

### F03-01: Information Routing and Tracking Records

See the sub-schedules for specific retention information.

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: 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.

**F03-01 (a): Related to files that require an audit trail.**

*Retain the record for a specified time period; review full schedule for details*

**F03-01 (b): Related to all other files.**

*Retain until no longer used or needed; permission not needed for destruction*

**F03-02: Transaction Transmission Receipts**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**F03-03: Drafts and Notes**

*See the sub-schedules for specific retention information.*

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; Consists of drafts and notes relating to agency business.

**F03-03 (a): Substantive materials**

*Retain according to the retention period for record series of the file*

**F03-03 (b): Non-substantive materials**

*Retain until no longer used or needed; permission not needed for destruction*

**F03-04: Document Composition Materials**

*Retain until no longer used or needed; permission not needed for destruction*

Materials such as random notes, preliminary, and copy edit drafts that do not add significantly to an understanding of the file: 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.

**F03-05: Stenographers Notes**

*See the sub-schedules for specific retention information.*

Consists of shorthand or typed notes taken by a stenographer at hearings, court proceedings, or meetings from which written transcriptions will be made.

**F03-05 (a): For legal proceedings, official boards and commissions and committee notes.**

*Retain 1 year and after transcribed*

**F03-05 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**F04: Media and Formats**

*See the sub-schedules for specific retention information.*

**F04-01: Electronic Records**

*See the sub-schedules for specific retention information.*

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.

**F04-01 (a): Electronic Publications**

*Contact Massachusetts Archives to review materials to determine disposition*

**F04-01 (b): Electronic Archival Records**

*Contact Massachusetts Archives to review materials to determine disposition*

**F04-01 (c): Official copies of minutes.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**F04-01 (e): All other records (non-archival)**

*Retain according to the retention period for record series of the file*

**F04-02: Micrographic Records**

*Retain based on the appropriate record series retention period as determined by the content and function of the data*

Where the micrographic record has been determined to be the official business copy and the hard copy source documents have been destroyed. 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.

**F04-03: Audio-Visual Tape or Digital Recordings**

*See the sub-schedules for specific retention information.*

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.

**F04-03 (a): Security and surveillance tapes.**

*Retain until no longer used or needed; permission not needed for destruction*

**F04-03 (b): Dispatch, digital messaging, program intake tapes.**

*Retain 1 year*

**F04-03 (c): Hearing and testimony tapes.**

*Retain 3 years*

**F04-03 (d): Investigation tapes.**

*Retain 6 years after case is closed*

**F04-03 (e): Committee proceedings or minutes.**

*Retain 1 year and until transcribed on suitable medium for permanent retention*

**F04-03 (f): Press conferences or ceremonies.**

*Retain until no longer used or needed; permission not needed for destruction*

**F04-03 (g): Special projects or event recordings.**

*Retain until no longer used or needed; permission not needed for destruction*

**F04-03 (h): Work tapes used to facilitate work in progress.**

*Retain until no longer used or needed; permission not needed for destruction*

**F04-03 (i): Moving image films.**

*Contact Massachusetts Archives to review materials to determine disposition*

**F04-04: Photographs, Slides, and Illustrations**

*Contact Massachusetts Archives to review materials to determine disposition*

Consists of any materials produced or maintained for the purposes of state business including photographs, lantern slides, glass plates, illustrations, and sketches.

**F04-05: Maps, Drawings, and Plans**

*Contact Massachusetts Archives to review materials to determine disposition*

Consists of drawings, maps, and plans produced or used in the course of agency business.

**F05: System Infrastructure records**

*See the sub-schedules for specific retention information.*

**F05-01: System Programs, Applications, and Code Records**

*Retain while any related business data are retained in the system or on backup media*

Consists of the software used to run agency computer systems. Includes coding and applications.

**F05-02: Systems Maintenance, Monitoring, and Testing Records**

*Retain 3 years*

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.

**F05-03: Website Documentation Records**

*See the sub-schedules for specific retention information.*

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.

**F05-03 (a): Summary documentation.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**F05-03 (b): All other records.**

*Retain until no longer used or needed; permission not needed for destruction*

**F05-04: Systems Documentation Records**

*Retain the record for a specified time period; review full schedule for details*

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.

**F05-05: Systems Contingency Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**F05-06: Systems Technical Support and Assistance Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**F05-07: Systems and Applications Development Records**

*Retain for the life of the system*

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.

**F05-08: Systems Conversion, Enhancement, and Upgrade Records**

*See the sub-schedules for specific retention information.*

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.

**F05-08 (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*

**F05-08 (b): All other records.**

*Retain until no longer used or needed; permission not needed for destruction*

**F06: System Operations records**

*See the sub-schedules for specific retention information.*

**F06-01: Records Management Records**

*See the sub-schedules for specific retention information.*

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.

**F06-01 (a): Records disposal schedule.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**F06-01 (b): Records disposal schedule case files.**

*Retain until no longer used or needed; permission not needed for destruction*

**F06-01 (c): Archival transfer documentation.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**F06-01 (d): Record inventories and surveys.**

*Retain until no longer used or needed; permission not needed for destruction*

**F06-01 (e): Records Conservation Board copies of destruction documentation.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**F06-01 (f): Agency copies of destruction documentation.**

*Retain 10 years*

**F06-01 (g): All other records.**

*Retain 3 years*

**F06-02: Systems Data Deletion Records**

*Retain 10 years*

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.

**F06-03: System Job Order (Run) Records**

*Retain 3 years*

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.

**F06-04: Systems Intermediate Work Files Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**F06-05: Systems Use Reports**

*Retain until no longer used or needed; permission not needed for destruction*

Consists of reports documenting computer use for fiscal and administrative planning or cost recovery purposes including internet use and website activity.

**F06-06: System Audit Trail Records**

*See the sub-schedules for specific retention information.*

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.

**F06-06 (a): Substantive audit trail information.**

*Retain while any related business data are retained in the system or on backup media*

**F06-06 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**F06-06 (c): Department of Mental Health.**

*Retain 6 years*

**F06-07: Systems Security Records**

*Retain for the life of the system or while related machine-readable records exist if necessary to help substantive integrity of the data; otherwise retain until superseded*

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.

**F06-08: Data Processing, Verification, and Monitoring Records**

*See the sub-schedules for specific retention information.*

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: 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.

**F06-08 (a): Substantive records.**

*Retain 3 years*

**F06-08 (b): All other records.**

*Retain until no longer used or needed; permission not needed for destruction*

**F06-09: Systems Training Records**

*Retain 3 years*

Documents the training of employees relating to their work with agency information systems. Includes training materials and descriptions, session attendance records, and related correspondence.

**F07: System Data records**

*See the sub-schedules for specific retention information.*

**F07-01: Data Source Records**

*Retain source documents until data capture is verified on the electronic record-keeping system*  
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.

**F07-03: Voice Mail Correspondence Files**

*Retain until no longer used or needed; permission not needed for destruction*

Consists of information and communications sent or received by individuals connected to voice messaging systems. Records include transmission messages.

**F07-04: Information Finding Aids, Indexes, and Lists**

*See the sub-schedules for specific retention information.*

Consists of indexes, logs, lists and other control access to information, documents, and materials held by the unit.

**F07-04 (a): Superseded copies.**

*Retain until no longer used or needed; permission not needed for destruction*

**F07-04 (b): All other records.**

*Retain as long as related records exist*

**F07-05: Database Content Records**

*Retain the record for a specified time period; review full schedule for details*

Consists of the business data input or otherwise captured by database applications.

**F07-06: Website Content Records**

*See the sub-schedules for specific retention information.*

Documents the posting of program business on websites. Includes public announcements, publications, policy, and other items.

**F07-06 (a): Official public announcements and notifications.**

*Retain 3 years*

**F07-06 (b): Contract related matters.**

*Retain 6 years from contract closed*

**F07-06 (c): Publications**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**F07-06 (d): All other web content.**

*Retain based on the appropriate record series retention period as determined by the content and function of the data*

**F07-07: Legacy Data Records**

*Retain data based on applicable record series. Where record series is unidentified, such as for defunct and closed record series, submit records to the Archives to determine proper retention periods*

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.

**F07-08: Retrospective Data Conversion Source Records**

*Retain original source materials until verified as complete and legible on new system formats*

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.

**F07-09: Data "Archival" Storage Records**

*Retain based on the appropriate record series retention period as determined by the content and function of the data*

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.

**F07-10: Data Backup Records**

*Retain media and data based on a backup system schedule.*

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.

# Legal and Regulatory

## B01: Legal Review Records

See the sub-schedules for specific retention information.

### B01-01: Legal Opinion Records

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

### B01-02: Legal Review Records

See the sub-schedules for specific retention information.

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.

#### B01-02 (a): Filed Separately

*Retain until no longer used or needed; permission not needed for destruction*

#### B01-02 (b): Filed with Related Subject File

*Retain according to the appropriate record series for that set of files*

## B01-03: Legal Announcements and Advertisements Records

See the sub-schedules for specific retention information.

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

#### B01-03 (a): Contract Announcements

*Retain 6 years*

#### B01-03 (b): All Other Records

*Retain 3 years*

## B01-04: Legal Issues Records

See the sub-schedules for specific retention information.

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.

#### B01-04 (a): Summary and Substantive Support Materials

*Retain until no longer used or needed; permission not needed for destruction*

#### B01-04 (b): All Other Records

*Retain until no longer used or needed; permission not needed for destruction*

## B01-05: Delegation of Authority Records

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

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.

## B01-06: Ethics and Conflict of Interest Records

See the sub-schedules for specific retention information.

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.

#### B01-06 (a): Employee Records

*Retain while employed*

#### B01-06 (b): Issue Files

*Retain 6 years*

## B01-07: Contract and Agreements Legal Files

See the sub-schedules for specific retention information.

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.

#### B01-07 (a): Landmark or Noteworthy Contracts

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### B01-07 (b): Contracts Under Seal

*Retain 20 years*

#### B01-07 (c): All Other Records

*Retain 6 years after close of contract*

## B01-08: Land Management and Acquisition Records

See the sub-schedules for specific retention information.

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.

#### B01-08 (a): Land Records

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B01-08 (b): Properties Not Purchased**

*Retain 6 years*

**B01-08 (c): Professional Appraisal Services**

*Retain 6 years after close of contract*

**B01-08 (d): All Other Records**

*Retain until no longer used or needed; permission not needed for destruction*

**B02: Public Records**

*See the sub-schedules for specific retention information.*

**B02-01: Public Records Request Records**

*Retain 3 years after last activity*

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.

**B02-02: Public Records Appeal Case Files**

*See the sub-schedules for specific retention information.*

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.

**B02-02 (a): Summary Information**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B02-02 (b): All Other Records**

*Retain 3 years after last activity*

**B02-03: Massachusetts Environmental Police-Public Records Requests**

*Retain 3 years after last activity*

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.

**B02-04: Fair Information Practices Act (FIPA) Request Records**

*Retain 3 years after last activity*

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.

**B02-05: Non-Party Subpoena Records**

*Retain 3 years after last activity*

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.

**B03: Investigation and Monitoring Records**

*See the sub-schedules for specific retention information.*

**B03-01: Investigation Case Files**

*See the sub-schedules for specific retention information.*

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.

**B03-01 (a): Letters Referring Cases to Attorney General**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B03-01 (b): Landmark or Policy Setting Cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B03-01 (c): Non-jurisdictional or Lack of Probable Cause Records**

*Retain 3 years*

**B03-01 (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*

**B03-02: Discrimination Investigation Case Files**

*See the sub-schedules for specific retention information.*

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.

**B03-02 (a): Landmark or Policy Setting Cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B03-02 (b): Withdrawn, Abandoned, or Non-jurisdictional Cases**

*Retain 3 years after closure*

**B03-02 (c): All Other Records**

*Retain 3 years after closure*

**B03-03: Civil Investigation Records**

*Retain 6 years after case final action, unless a longer period is required by legal counsel*

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

**B03-04: Special Investigation Records**

*Contact Massachusetts Archives to review materials to determine disposition*

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.

**B03-05: Internal Investigation Records**

*See the sub-schedules for specific retention information.*

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.

**B03-05 (a): Case Referral Correspondence to Attorney General**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B03-05 (b): Noteworthy Cases of Historical Interest**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B03-05 (c): All Other Materials**

*Retain 6 years after case final action, unless a longer period is required by legal counsel*

**B04: Legal and Regulatory Records**

*See the sub-schedules for specific retention information.*

**B04-01: Permits Records**

*See the sub-schedules for specific retention information.*

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.

**B04-01 (a): Filed 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*

**B04-01 (b): All Other Records**

*Retain 3 years from permit expiration or cancellation*

**B04-02: Facilities Inspection, Monitoring, and Control Records**

*See the sub-schedules for specific retention information.*

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.

**B04-02 (a): General**

*Retain 3 years*

**B04-02 (b): Department of Mental Health**

*Retain 6 years*

**B04-03: Facilities Licensing and Certification Records**

*See the sub-schedules for specific retention information.*

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

**B04-03 (a): Summary Lists**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B04-03 (b): Case Files Kept by Institution**

*Retain original filing and a summary of subsequent filings for the life of the entity plus 3 years*

**B04-03 (c): All Other Records**

*Retain 3 years from license expiration or cancellation*

**B04-04: Licensure Complaints, Investigations, and Hearings Records**

*See the sub-schedules for specific retention information.*

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.

**B04-04 (a): Abandoned, Incomplete, Non-jurisdictional, Withdrawn, or Dismissed Complaints**

*Retain 3 years*

**B04-04 (b): Routinely Resolved Complaints**

*Retain 3 years*

**B04-04 (c): Landmark or Policy Setting Cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B04-04 (d): All Other Records**

*Retain 6 years*

**B04-06: Complaints Against Agency Records**

*See the sub-schedules for specific retention information.*

Documents complaints against agencies. Includes complaints, investigatory materials, and related correspondence; Complaints that lead to a change in official policy and procedure.

**B04-06 (a): Lead to Change in Policy**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B04-06 (b): All Other Records**

*Retain 6 years*

**B05: Litigation Records**

*See the sub-schedules for specific retention information.*

**B05-01: Administrative Law Case Files**

*See the sub-schedules for specific retention information.*

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.

**B05-01 (a): Case Logs and Summaries**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B05-01 (b): Landmark Cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B05-01 (c): All Other Records**

*Retain 3 years after final case activity*

**B05-02: Administrative Law Appeals**

*See the sub-schedules for specific retention information.*

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

**B05-02 (a): Summary Dockets and Logs; Final Findings and Recommendations**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B05-02 (b): All Other Records**

*Retain 6 years after final case activity*

**B05-03: Litigation Case Files**

*See the sub-schedules for specific retention information.*

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.

**B05-03 (a): Letters Referring Cases to Attorney General's Office**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B05-03 (b): Landmark, Policy Setting or Newsworthy Cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B05-03 (c): Summary Case Lists or Dockets**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B05-03 (d): Cases Involving Children**

*Retain until child reaches the age of 21 plus 6 years*

**B05-03 (e): Criminal Cases**

*Retain 35 years after final action*

**B05-03 (f): Civil Cases**

*Retain 20 years after final action*

**B05-03 (g): All Other Records not otherwise specified**

*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*

**B05-03 (h): Medical Records**

*Retain until no longer used or needed; permission not needed for destruction*

**B05-04: Litigation/Hearings Case Exhibits**

*See the sub-schedules for specific retention information.*

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

**B05-04 (a): Exhibits Not a Factor in Appeals**

*Retain until case closes*

**B05-04 (b): All Other Materials**

*Retain as case files*

**B05-05: Legal Briefs and Testimony Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**B05-06: Tort Claim Records**

*See the sub-schedules for specific retention information.*

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.

**B05-06 (a): Claim Files**

*Retain 25 years after resolution*

**B05-06 (b): Medical Records**

*Retain until no longer used or needed; permission not needed for destruction*

# Personnel

## E01: Program Administration records

See the sub-schedules for specific retention information.

### E01-01: Human Resources Programs Records

See the sub-schedules for specific retention information.

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.

#### E01-01 (a): Program documentation and materials

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### E01-01 (b): All other records

*Retain until no longer used or needed; permission not needed for destruction*

### E01-02: Employee Awards and Recognition Records

See the sub-schedules for specific retention information.

Documents awards given to employees. Includes award description, qualification materials, and related correspondence.

#### E01-02 (a): Summary documentation

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### E01-02 (b): All other records

*Retain 6 years after employee separation*

### E01-03: Agency Telephone Directories and Staff Listings

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Provides a listing of staff and organizational units of an agency.

## E02: Recruitment and Hiring records

See the sub-schedules for specific retention information.

### E02-01: Recommendation letters

*Retain 3 years*

Documents letters sent out regarding employees or past employees. Includes letters of recommendation and other correspondence.

### E02-02: Unsolicited Job Applications

*Retain 1 year*

Documents unsolicited requests for employment with the agency. Includes vitae, letters of application, and related correspondence.

## E02-03: Recruitment and Hiring Records

*See the sub-schedules for specific retention information.*

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.

### E02-03 (a): Position searches

*Retain 3 years after hiring process is closed*

### E02-04: Job Position Administration Records

*Retain until no longer used or needed; permission not needed for destruction*

Provides a record and/or history of position descriptions and functions, compensation rate charts, position advertisement formats, classifications, and related correspondence.

### E02-05: Employment Eligibility Verification (I-9) Records

*Retain 3 years after date of hire or 1 year after employment is terminated, whichever period is later.*

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.

## E03: Affirmative Action and Equal Employment Opportunity

See the sub-schedules for specific retention information.

### E03-01: Protected Employee Records

*Retain 6 years after employee separation*

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.

### E03-02: Employee ADA Accommodation Records

*Retain 6 years after employee separation*

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.

### E03-03: Affirmative Action/EEO Administration Records

See the sub-schedules for specific retention information.

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.

**E03-03 (a): Internally produced reports, policies and procedures**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**E03-03 (b): All other records**

*Retain the record for a specified time period; review full schedule for details + 3 years*

**E03-04: Affirmative Action Plans and Reports Records**

*See the sub-schedules for specific retention information.*

Documents reports and plans submitted to the State Office of Affirmative Action (SOAA).

Includes plans, reports, statistics, goals, and related correspondence.

**E03-04 (a): Agency's primary copy of final plans and substantive support materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**E03-04 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**E03-05: Affirmative Action Monitoring/Compliance Records**

*See the sub-schedules for specific retention information.*

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.

**E03-05 (a): Contract related documentation**

*Retain 3 years after close of bid process*

**E03-05 (b): All other records**

*Retain 3 years or until administrative use ceases, whichever is longer.*

**E04: Employee records**

*See the sub-schedules for specific retention information.*

**E04-01: Employee Confidentiality Statements**

*Retain 3 years after inactive.*

Consists of agreements signed by employees indicating that they will comply with the confidentiality standards of the agency

**E04-02: Employee Web Browsing Authorizations**

*See the sub-schedules for specific retention information.*

Documents the authorization of employees to be connected to and to use the internet and the WEB for state work.

**E04-02 (a): Department of Mental Health**

*Retain 6 years*

**E04-02 (b): All other agencies**

*Retain 3 years after inactive*

**E04-03: Employee ID Card Records**

*See the sub-schedules for specific retention information.*

Documents the process to produce ID cards for employees. Includes intake information, card production dates, and related correspondence.

**E04-03 (a): Department of Mental Health**

*Retain 6 years*

**E04-03 (b): All other agencies**

*Retain data and records until card expires or is voided*

**E04-04: Employee Contact Information Records**

*Retain during period of employment*

Consists of employee contact information cards or forms and employee emergency contact forms.

**E04-05: Employee Personnel Case Files**

*See the sub-schedules for specific retention information.*

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. 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.

**E04-05 (a): Information needed to calculate creditable prior service time**

*Retain 50 years after separation*

**E04-05 (b): Records relating to persons under medical surveillance or who are awarded workers compensation**

*Retain 30 years after separation*

**E04-05 (c): Supervisor or Departmental copy of personnel file**

*Retain 6 years after separation*

**E04-05 (d): All other records**

*Retain 6 years after separation unless stipulated as shorter in any applicable bargaining unit contracts or agreements.*

**E04-06: Employee Medical and Personal Records**

*See the sub-schedules for specific retention information.*

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.

**E04-06 (a): Medical records related to exposure to hazardous substances**

*Retain 30 years after separation*

**E04-06 (b): Workers compensation awarded claims**

*Retain 30 years after separation*

**E04-06 (c): All other records**

*Retain 6 years after separation*

**E04-07: Employee History Cards**

*See the sub-schedules for specific retention information.*

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.

**E04-07 (a): Records dating before 1950**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**E04-07 (b): Records dating after 1950**

*Contact Massachusetts Archives to review materials to determine disposition*

**E04-08: Employee Training and Certification Records**

*See the sub-schedules for specific retention information.*

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.

**E04-08 (a): If filed separately from personnel file**

*Retain 10 years*

**E04-08 (b): If filed in personnel file**

*Retain as long as personnel file is kept.*

**E04-09: Intern and Volunteer Records**

*Retain 6 years after separation*

Documents individual volunteer and intern involvement with agency. Includes resumes, applications, agreements, work plans, and related correspondence.

**E04-10: Victims of Abusive Behavior Leave Records**

*See the sub-schedules for specific retention information.*

Documents employer's determination regarding granting of leave under M.G.L. c. 149, section 52E to an employee who is or whose family members are victims of abusive behavior resulting in the employee's absence from work.

**E04-10 (a): Documentation provided by employee**

*Documentation provided by employee as required under the statute: Retain until determination made as to whether employee is eligible for leave.*

**E04-10 (b): All other records**

*Retain 6 years after separation*

**E04-11: Employee Retirement, Disability, and Benefits Case Files**

*Retain 6 years after final payment or 75 years from date of retirement.*

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.

**E05: Personnel Actions records**

*See the sub-schedules for specific retention information.*

**E05-01: Employee Complaint/Investigation/Disciplinary Records**

*Retain 6 years after last activity*

Documents informal or formal investigations into alleged employee misconduct. Includes complaints, notes, statements, and determinations and record of actions taken.

**E05-02: Employee Grievance/Complaint Records**

*See the sub-schedules for specific retention information.*

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.

**E05-02 (a): Landmark cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**E05-02 (b): Case summaries and final decisions**

*Retain 25 years*

**E05-02 (c): All other records**

*Retain 6 years after final resolution*

**E05-03: Personnel Action Records**

*See the sub-schedules for specific retention information.*

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.

**E05-03 (a): Landmark or policy setting cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**E05-03 (b): Case summaries and final decisions**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**E05-03 (c): All other records**

*Retain 6 years after final resolution*

## **E06: Accident and Injury**

*See the sub-schedules for specific retention information.*

### **E06-01: Employee Illness and Injury Records**

*See the sub-schedules for specific retention information.*

Documents state employee work-related accidents and injuries. Includes accident report forms, incident reports, doctor's reports, logs and summary reports, and related correspondence.

#### **E06-01 (a): Occupational Illness and Injury Logs**

*Retain 75 years*

#### **E06-01 (b): All other records**

*Retain 6 years*

## **Executive Office of Education**

### **All Schools**

#### **H01: Administration**

*See the sub-schedules for specific retention information.*

##### **H01-01: HEGIS Report Records**

*Permanent.*

Documents reports on the institution sent to the U.S. Department of Education.

##### **H01-02: Dean's Records**

*Retain until no longer used or needed; permission not needed for destruction*

Documents the Dean's activities. Includes subject or correspondence files maintained for monitoring and decision making purposes.

##### **H01-03: Satellite Campus Oversight Records**

*Retain until no longer used or needed; permission not needed for destruction*

Documents the management of satellite campuses. Includes reports, memos, directives, and related correspondence.

#### **H02: Admissions**

*See the sub-schedules for specific retention information.*

##### **H02-01: Student Admissions and Registration Records**

*See the sub-schedules for specific retention information.*

Documents applications to the school and subsequent progress. Includes transcripts, acceptance letters, transfer records, course credit sheets and evaluations, veteran information, and related correspondence.

##### **H02-01 (a): Matriculated Students**

*Retain 5 years after graduation or separation from institution.*

##### **H02-01 (b): All other records**

*Retain 3 years*

##### **H02-02: Student Immunization Records**

*See the sub-schedules for specific retention information.*

Documents the immunization of students entering the institution. Includes immunization record and related correspondence.

##### **H02-02 (a): Students entering health training programs**

*Retain 5 years after separation from the program.*

**H02-02 (b) All other records**

*Retain 10 years.*

**H02-03: Tuition and Fees Records**

*See the sub-schedules for specific retention information.*

Documents tuition and fee structure, analysis, and policy.

**H02-03 (a): Policy documentation**

*Permanent.*

**H02-03 (b): Actual payments**

*Retain 3 years after settlement.*

**H02-04: Student Financial Aid Records**

*Retain 5 years after separation.*

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.

**H02-05: Student Scholarships, Fellowships, and Awards Records**

*See the sub-schedules for specific retention information.*

Documents the process to give scholarships and other aid awards.

**H02-05 (a): Summary records**

*Permanent.*

**H02-05 (b): All other records**

*Retain 5 years.*

**H02-06: Student Record Transcript Requests Records**

*Retain 1 year*

Documents requests for student transcripts.

**H03: Academic Program**

*See the sub-schedules for specific retention information.*

**H03-01: Academic Program Administration Records**

*Retain 3 years.*

Documents the routine daily administration of courses and programs of the institution. Includes referral, orientation, facilitative and other administrative correspondence and materials.

**H03-02: Academic Advisement Records**

*Retain 3 years after student graduates or separates from academic program.*

Documents faculty or academic advisors advisement of students.

**H03-03: Student Internships and Practicums Records**

*Retain 5 years after separation. Record with registrar.*

Documentation of field experience.

**H03-04: Independent/Cooperative or Alternate Study Records**

*Retain 3 years.*

Documents alternative course programming.

**H03-05: International Studies Program Records**

*Review by the Archives after 6 years.*

Documents programs of foreign study sponsored or in conjunction with other colleges.

**H03-06: Award Establishment Records**

*See the sub-schedules for specific retention information.*

Documents establishment of the awards.

**H03-06 (a): Summary documentation**

*Permanent.*

**H03-06 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**H03-07: Commencement and Awards Records**

*See the sub-schedules for specific retention information.*

Documents graduation ceremonies and awards given to outstanding students. Includes programs, program revisions, logistical support documentation, and related correspondence.

**H03-07 (a): Final program with edits**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**H03-07 (b): All other records**

*Retain 3 years.*

**H03-08: Name Change Authorizations**

*Retain 3 years from date of graduation or last attendance.*

Documents legal name changes of students.

**H03-09: Withdrawal Forms**

*Retain 3 years after student withdraws from academic program.*

Documents withdrawal from academic program.

**H04: Course and Curriculum**

*See the sub-schedules for specific retention information.*

**H04-01: Curriculum Development Records**

*Retain until no longer used or needed; permission not needed for destruction*

Documents the development of courses.

**H04-02: Class Schedule Records**

*Official copy: Permanent.*

Documents courses scheduled to be taught.

**H04-03: Course Outlines and Descriptions Records**

*Permanent.*

Documents descriptions of courses taught by institution.

**H04-04: Curriculum Change Authorizations**

*Retain 3 years.*

Documents changes to academic majors.

**H04-05: Change of Course Forms (Add/Drop Forms)**

*Retain 1 year after submitted.*

Documents late admissions to courses and withdrawals.

**H04-06: Registration Forms**

*Retain 1 year after submitted.*

Documents registration for courses.

**H05: Testing and Grades**

*See the sub-schedules for specific retention information.*

**H05-01: Student Tests and Examinations**

*See the sub-schedules for specific retention information.*

Documents tests taken by students as part of course requirements.

**H05-01 (a): Final tests taken as requirement for degree programs**

*Permanent.*

**H05-01 (b): All other records**

*Retain 1 year.*

**H05-02: Student Evaluations of Teachers**

*See the sub-schedules for specific retention information.*

Documents student evaluations of courses and instructors. Includes questionnaires and summary reports.

**H05-02 (a): Summarization**

*Retain summary report 6 years and discard data forms, otherwise retain data forms for 6 years*

**H05-02 (b): Data forms**

*Retain data forms 6 years if not summarized.*

**H05-03: Masters Theses**

*Permanent.*

Documents papers completed as partial fulfillment of degree requirements.

**H05-04: Academic Degree Audit Records**

*See the sub-schedules for specific retention information.*

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.

**H05-04 (a): Approved degree application**

*Retain 5 years after graduation or separation.*

**H05-04 (b): Denied or withdrawn application materials**

*Retain 1 year.*

**H05-05: General Educational Development (GED) Certification Records**

*See the sub-schedules for specific retention information.*

Documents the certification that an individual has passed the GED test as equivalent of a high school education.

**H05-05 (a): Official copy**

*Retain 60 years.*

**H05-05 (b): All other records**

*Retain 3 years.*

**H05-08: Official Course and Grade Records**

*See the sub-schedules for specific retention information.*

Provides a permanent record of student's courses taken and grades received as maintained by the Registrar.

**H05-08 (a): Official courses taken and transcripts**

*Permanent.*

**H05-08 (b): Transcript requests**

*Retain 1 year.*

**H05-09: K-12 State Student Assessment Materials**

*See the sub-schedules for specific retention information.*

Consists of test booklets, scorable materials, and non-scorable materials developed by the Department of Elementary and Secondary Education, pursuant to G.L. Ch 69 section 11, to assess the academic performance and progress and English proficiency of students from Kindergarten to Grade 12, whose education is publicly funded by the Commonwealth of Massachusetts. The Department sends student assessment materials to schools where educators and qualified faculty administer tests to students. Those tests and test materials are then returned to the Department for scoring, review and analysis.

**H05-09 (a): Unused master copy**

*Permanent.*

**H05-09 (b): Used answer booklets, used integrated test and answer booklets**

*Retain 3 years after reporting of results.*

**H05-09 (c): Typed electronic and printed responses**

*Retain 3 years after reporting of results.*

**H05-09 (d): Score or Performance Appeals of Statewide Student Assessments**

*Retain 5 years after appeal concluded.*

**H05-10: K-12 State Student Assessment Materials for Special populations of students**

*See the sub-schedules for specific retention information.*

Consists of accommodated test editions and other materials created for the administration and scoring of K-12 statewide tests taken by students with disabilities or English language learners. Special Test Editions and Accommodations Materials may include, but are not limited to: graphic organizers, individualized reference sheets, templates, checklists, Kurzweil Cds, ASL videos/DVDs, Braille tests and Administrator copies.

**H05-10 (a): Special test editions**

*Retain 5 years.*

**H05-10 (b): Score, Feedback, Tracking Forms and Reports**

*Retain 3 years after reporting of results.*

**H06: Faculty**

*See the sub-schedules for specific retention information.*

**H06-01: Faculty Personal and Professional Papers**

*Review by the Archives if left in custody of institution.*

Consists of faculty research or other materials where left in the institutions care.

**H06-02: Tenure and Promotion Records**

*Retain 6 years.*

Documents changes in faculty employment.

**H06-03: Teacher Certification Records**

*See the sub-schedules for specific retention information.*

Documents the certification of teachers by the Department of Education in compliance with 71 MGL 38G.

**H06-03 (a): Records before 1980**

*Retain 40 years.*

**H06-03 (b): Records after 1980**

*Retain 6 years after expiration.*

**H06-04: Faculty Appointment Records**

*See the sub-schedules for specific retention information.*

Documents the appointment and subsequent history of individuals to join the institution's faculty.

**H06-04 (a): Summary records**

*Permanent.*

**H06-04 (b): All other records**

*Retain 6 years after separation.*

**H06-05: Faculty Workload Records**

*Retain 3 years.*

Documents work assignments of individual faculty.

**H06-06: Sponsored Research Records**

*Review by the Archives 6 years after close.*

Documents grants to pursue academic research.

**H07: Student Activities**

*See the sub-schedules for specific retention information.*

**H07-01: Student Event and Activities Applications Records**

*Retain 3 years.*

Documents student participation in special activities.

**H07-02: Student Clubs and Associations Records**

*Retain until no longer used or needed; permission not needed for destruction*

Documents the activities of student run clubs and associations.

**H07-03: Student Government Records**

*Retain until no longer used or needed; permission not needed for destruction*

Documents activities of student government groups.

**H07-04: Student Newspaper**

*See the sub-schedules for specific retention information.*

Documents the publication of the student newspaper.

**H07-04 (a): Final publications**

*Permanent.*

**H07-04 (b): Photographs and artwork**

*Retain until no longer used or needed; permission not needed for destruction*

**H07-04 (c): Newspaper staff memorabilia**

*Permanent.*

**H07-04 (d): Summary policy and administrative records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**H07-04 (e): All other records**

*Retain 3 years.*

**H07-05: Student Athletic Participation Records**

*See the sub-schedules for specific retention information.*

Documents student participation in sports.

**H07-05 (a): Summary documentation, films and photos**

*Permanent.*

**H07-05 (b): All other records**

*Retain 6 years after separation.*

**H08: Student Affairs**

*See the sub-schedules for specific retention information.*

**H08-01: Student Grievance and Complaint Records**

*Retain 3 years after closure.*

Documents student complaints.

**H08-02: Student Discipline Records**

*See the sub-schedules for specific retention information.*

Documents the discipline of students for infraction of school policy.

**H08-02 (a): Expulsion records**

*Retain 25 years.*

**H08-02 (b): All other records**

*Retain 3 years after separation.*

**H08-03: Student Disability Records**

*Retain 5 years after student graduates or withdraws.*

Provides a record of disability information on students.

**H08-04: International Students Case Files**

*Retain 5 years after separation.*

Documents international students enrolled at the school.

**H09: Student Services**

*See the sub-schedules for specific retention information.*

**H09-01: Student Support Services Records**

*See the sub-schedules for specific retention information.*

Documents programs to support student life.

**H09-01 (a): Substantive summary data**

*Permanent.*

**H09-01 (b): All other records**

*Retain 3 years.*

**H09-02: Special Services Program Records**

*See the sub-schedules for specific retention information.*

Documents special programs for students not within normal course schedule.

**H09-02 (a): Summary records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**H09-02 (b): All other records**

*Retain 3 years.*

**H09-03: Student Counseling Records**

*Retain 6 years after separation.*

Documents social services provided to students.

**H09-04: Student Career and Placement Records**

*Retain 10 years.*

Documents records kept on file for placement purposes.

**H09-05: Student Health Clinic Records**

*Retain 20 years.*

Documents student clinic health histories. Includes visit documentation and charts, medical notes, and related correspondence.

**H09-06: Residence Hall Records**

*Retain 3 years unless pending litigation.*

Documents residence halls: occupancy/license agreements for rooms; room inventories and work orders.

**H10: Library and Learning Center**

*See the sub-schedules for specific retention information.*

**H10-01: Library Borrowers Records**

*Retain until items are returned.*

Documents library use by patrons.

## Department of Early Education and Care

### **H11: Licensing**

*See the sub-schedules for specific retention information.*

#### **H11-01: Substitute Care Program Files (A): Regional Office files**

*Retain 27 years after creation of document.*

Includes Regional Office files (Office of Record), arranged alphabetically by corporate name.

#### **H11-02: Substitute Care Program Files (B): Central Office files**

*Retain 5 years after creation of document.*

Includes Central Office files, arranged alphabetically by corporate name.

#### **H11-03: Group Day Care and SACC Program Files (A): Regional Office**

*Retain 27 years after creation of document.*

Includes school age Child Care, Regional Office files (Office of Record), arranged alphabetically by corporate name.

#### **H11-04: Group Day Care and SACC Program Files (B): Central Office**

*Retain 5 years after creation of document.*

Central Office files, arranged alphabetically by corporate name.

#### **H11-05: Family Day Care Program Files (A): Regional Area/Office files**

*Retain 27 years after creation of document.*

Regional Area/Office files, (Office of Record) arranged alphabetically by corporate name.

#### **H11-06: Family Day Care Program Files (B): Central Office files**

*Retain 5 years after creation of document.*

Central Office files, arranged alphabetically by corporate name.

#### **H11-07: Investigation Files (A): Regional/Area Office files**

*Retain 27 years after creation of document.*

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.

#### **H11-08: Investigation Files (B): Central Office files**

*Retain 27 years after creation of document.*

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.

## Charter Schools

### **H12: Charter School Application Records**

*See the sub-schedules for specific retention information.*

#### **H12-01: Application Process**

*See the sub-schedules for specific retention information.*

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.

#### **H12-01 (a): Final Documents**

*Retain 5 years after vote by Board of Elementary and Secondary Education.*

#### **H12-01 (b): Working Papers**

*Retain until no longer used or needed; permission not needed for destruction*

# Executive Office of Energy and Environmental Affairs

## Department of Agricultural Resources

### B08: Division of Animal Health Records

See the sub-schedules for specific retention information.

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.

#### B08-01 (a): Form 61, Form 70, Form 116, Form 148

Retain 5 years

#### B08-01 (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

#### B08-01 (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

#### B08-01 (d): Records not otherwise specified

Retain 2 years

# Department of Environmental Protection

### I01: Environmental Conservation and Protection

See the sub-schedules for specific retention information.

#### I01-01: Environmental Natural Resources Management Records

Review by the Archives 6 years after inactive.

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.

#### I01-02: Environmental Historic Preservation Program Records

Review by the Archives 6 years after completion.

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.

#### I01-03: DEP and Brownfields Grant Program Records

Review by the Archives 25 years after closure.

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.

#### I01-04: Environmental Disaster Planning and Relief Records

See the sub-schedules for specific retention information.

Documents efforts to protect areas from environmental disasters.

#### I01-04 (a): Summary documents

Permanent.

#### I01-04 (b): All other records

Retain 10 years.

#### I01-05: Conservation District Election Certificates Records

Retain until no longer used or needed; permission not needed for destruction

Documents areas that have been designated as protected.

#### I01-06: Coastal Community Relations Records

Retain until no longer used or needed; permission not needed for destruction

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.

**I01-07: Coastal Resources and Wetlands Deed Restriction Case Files**

*Permanent.*

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.

**I01-08: Wetlands Project Approval Records**

*See the sub-schedules for specific retention information.*

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.

**I01-08 (a): Unappealed determination of applicability and order of conditions**

*Retain 30 days following municipal decision.*

**I01-08 (b): Appealed orders of condition**

*Retain 1 year after certificate of compliance has been issued.*

**I01-08 (c): Appealed determinations of applicability**

*Retain 3 years from DEP's final determination.*

**I01-08 (d): Wetlands Variances**

*Permanent.*

The Massachusetts Wetlands Protection Act (M.G.L. c. 131 § 40) and their associated regulations (310 CMR 10.00) protect wetlands resource areas that serve the public interests including protection of public and private water supply, ground water supply, fisheries, wildlife habitat, land containing shellfish, provide flood control and prevent storm damage and pollution. Wetlands Variances (310 CMR 10.05(10)), often large long-term projects, authorize work that do not meet wetlands regulatory performance/work standards, because they may provide overriding public benefits or addresses a taking claim without compensation (e.g., local and state roads, bridges, water infrastructure, airports, and private taking) when there are no alternatives to wetland resource area(s) impacts. Wetlands variance records that affect areas protected under Wetlands Protection Act/ regulations and should be permanently kept are: Wetlands Variance Decisions, Final Plan of Record, if available, and Water Quality Certifications (WQC) or WQC Variances that may be combined with the final wetlands' variance decision.

**I01-09: Waterways Project Approvals and Related Records**

*See the sub-schedules for specific retention information.*

The Department of Environmental Protection, acting through the Waterways Regulation Program is the successor authority to, and to the extent such records exist that are not held by the State Archives, the holder of Waterways records generated by the Board of Harbor Commissioners (1866 - 1879); Board of Harbor and Land Commissioners (1879 - 1916); Commission on Waterways and Public Lands (1916 - 1919); Directors of the Port of Boston

(1911 - 1916); Port of Boston Authority (1945 - 1954), and the Waterways Division of the Department of Public Works (1919 - 1975).

Records document the Department's, and predecessor agencies', issuance of Waterways Licenses and other Approvals or Decisions and substantive supporting materials for activities involving placement of fill and/or structures and uses in geographic areas subject to jurisdiction subject to the Public Waterfront Act (M.G.L. c.91) and its associated regulations (310 CMR 9.00).

**I01-09 (a): Waterways Licenses and Other Decisions**

*Permanent.*

Includes: Licenses (including Variances), Jurisdictional Determinations, Minor Project (License) Modifications, Permits, Emergency Actions, M.G.L. 91 s.10A records, and substantive supporting materials including applications, technical documents (e.g., plans, fee calculations etc.) supporting Program Decisions, formal public comments, public notices, and public hearing materials.

**I02: Construction and Engineering**

*See the sub-schedules for specific retention information.*

**I02-01: Environmental Maps, Plans, and Photos**

*Review by the Archives after administrative use ceases.*

Documents resources required for planning and implementation of policies. Includes aerial photos, GIS maps, and other related materials.

**I02-02: Environmental Impact Studies, Site Analyses, and Reports**

*Permanent.*

Documents reports and studies summarizing environmental impact of proposals and plans.

**I02-03: Environmental Systems Records**

*Retain 10 years.*

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.

**I02-04: Environmental Engineering Reports and Plans**

*Retain 15 years after final acceptance of project.*

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.

## I03: Laboratory

See the sub-schedules for specific retention information.

### I03-01: Environmental Lab Certification Records

Retain 3 years.

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.

### I03-02: Environmental Laboratory Records

See the sub-schedules for specific retention information.

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.

#### I03-02 (a): Analytical reports, logs and charts

Retain 10 years

#### I03-02 (b): Proficiency tests

Retain 3 years

## I04: Regulation and Compliance

See the sub-schedules for specific retention information.

### I04-01: Environmental Administrative Law Appeal Case Files

Retain 15 years after closure or last action.

Documents non-criminal cases relating to environmental regulations and laws. Includes administrative record, pleadings, and final decisions.

### I04-02: Environmental Licensing Course Approval Records

Retain 6 years after contract expires.

Documents the contracting of services relating to the offering of courses suitable for the continuing education requirements of professionals with environmental licenses.

### I04-03: Mass Environmental Protection Act (MEPA) Review Records

See the sub-schedules for specific retention information.

Documents comments and inputs submitted in accordance with MEPA review requirements prior to EOEA permit issuance. Includes MEPA documents, engineering reports, environmental assessments, Clean Water Act (Watershed) documents NPDES permit applications and documentation, and related correspondence.

#### I04-03 (a): Agency copy

Retain 2 years after EOEA decision

## I04-04: Environmental Strike Force Case Files

See the sub-schedules for specific retention information.

Documents complaints about possible criminal violations.

#### I04-04 (a): Landmark or noteworthy cases

Permanent.

#### I04-04 (b): Case referral and screening notes

Retain 10 years.

#### I04-04 (c): Non-investigated cases

Retain 10 years.

#### I04-04 (d): Investigated cases

Retain 20 years after case is closed.

#### I04-04 (e): Attorney General civil judgments

Retain 20 years.

## I04-05: Environmental Licenses Site Professional (LSP) Licensing and Disciplinary Records

See the sub-schedules for specific retention information.

Documents related to the licensing and discipline of Hazardous Waste Cleanup Professionals.

#### I04-05 (a): Applicant and licensee files

Retain 10 years after application is denied or license ends.

#### I04-05 (b): Disciplinary Complaint Files

Retain 10 years after file is closed.

#### I04-05 (c): Licensing Denial Appeal Files

Retain 10 years after appeal is concluded.

#### I04-05 (d): Meeting files

Retain final minutes permanently; retain all other records 10 years.

#### I04-05 (e): Continuing Education Course Files

Retain 10 years after Board's approval of course.

#### I04-05 (f): Litigation Files

Retain 6 years after litigation is concluded.

#### I04-05 (g): Contract Files

Retain 6 years after contract expiration.

#### I04-05 (h): Licensing Examinations

Retain 3 years.

**I04-05 (i): Program Administration Records**

*Retain 3 years.*

**I04-05 (j): Regulation Promulgation Files**

*Retain final accepted regulations and substantive support materials permanently; retain all other records 3 years.*

**I04-06: Environmental Facilities Licensing, Permits, and Certification Records**

*Retain 15 years*

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.

**I04-07: Environmental Regulation and Licensing Records**

*Retain 15 years*

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.

**I04-08: Environmental Monitoring and Inspection Records**

*Retain 15 years*

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 recordkeeping evaluations.

**I04-09: Environmental Investigation and Enforcement Records**

*Retain 15 years*

Documents the investigation into licensing violations or other activity adversely impacting the environment. Used to enforce the requirements of M.G.L. c. 21 as stated in M.G.L. c. 21A, § 16; C.M.R. c. 310, § 5.13; and M.G.L. c. 111, §§ 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.

**I05: Hazardous Waste Management**

*See the sub-schedules for specific retention information.*

**I05-01: Hazardous Waste Cleanup Cost Recovery Records**

*Retain 15 years after costs recovered or written off.*

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.

**I05-02: Federal Superfund Sites Records**

*Retain 15 years after costs recovered or written off.*

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.

**I05-03: Hazardous Materials Right-To-Know Records**

*Retain 3 years.*

Provides hazards information for the purpose of chemical spill and other emergency planning. Includes hazardous materials user lists, substances lists, and related other listings.

**I05-04: Hazardous Materials Contingency Plan Records**

*Retain 15 years after inactive.*

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.

**I05-05: Hazardous Waste Sites and Spills Records**

*Permanent.*

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.

**I05-06: Contaminated Site Cleanup Records**

*See the sub-schedules for specific retention information.*

Documents cleanups of involving hazardous waste spillage or leaks.

**I05-06 (a): Summary reports**

*Permanent.*

**I05-06 (b): All other records**

*Retain 10 years.*

**I05-07: Hazardous Materials Regulation Records**

*Retain for the life of the structure or installation plus 6 years.*

Documents the licensing or other regulation of buildings, areas, or activities that could impact the environment.

**I05-08: Facilities Hazardous Substances Records**

*Retain 30 years.*

Documents hazardous materials use at facilities such as toxic, caustic, flammable and combustible materials. Includes material safety data sheets and related lists and reports.

**I05-09: Toxics Use Reduction Records**

*See the sub-schedules for specific retention information.*

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.

**I05-09 (a): Generic Summary reports**

*Permanent.*

**I05-09 (b): All other records**

*Retain until summary report is produced, then destroy.*

**I05-10: Asbestos Regulation Records**

*See the sub-schedules for specific retention information.*

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.

**I05-10 (a): Notification forms**

*Retain 3 years.*

**I05-10 (b): All other records**

*Retain 15 years.*

**I05-11: Hazardous Waste Transport and Disposal Records**

*See the sub-schedules for specific retention information.*

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.

**I05-11 (a): Manifests and receipts**

*Retain 3 years.*

**I05-11 (b): Waste Disposal Sites Summary Data**

*Permanent.*

**I05-12: Radioactive Waste Disposal Records**

*See the sub-schedules for specific retention information.*

Documents the transportation and disposal of hazardous waste.

**I05-12 (a): Manifests and receipts**

*Retain 30 years.*

**I05-12 (b): Waste Disposal Sites Summary Data**

*Permanent.*

**I06: Waste and Emissions****I06-01: Air Quality Testing and Monitoring Records**

*Retain 6 years.*

Documents testing of air quality for reporting to the federal EPA as required by 310 CMR 7.99 and 40 CFR 58.

**I06-02: Environmental Equipment Quality Assurance Records**

*Retain 6 years.*

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.

**I06-03: Air Quality Public Health Studies Records**

*Retain 15 years.*

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.

**I06-04: Clean Air and Water Records**

*Retain 15 years.*

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.

**I06-05: Medical, Biological, and other Waste Disposal Records**

*Retain 3 years.*

Documents the disposal of materials from hospitals, laboratories, and other facilities.

**I06-06 (c): Non-reportable**

*Retain 3 years.*

Non-Reportable: Includes Less than's, Retract's, NOT21E's, and Complaints and Inquiries, Etc.

## I07: Water Resources

See the sub-schedules for specific retention information.

### I07-01: Drinking Water Certification, Permits, and Approval Records

See the sub-schedules for specific retention information.

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.

#### I07-01 (a): Central Office Copy (DWP Boston)

*Retain for active period plus 3 years.*

#### I07-01 (b): Other DWP copies

*Retain for active period plus 3 years.*

### I07-02: Safe Water Act Monitoring and Compliance Records

*Retain 12 years.*

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.

### I07-03: Safe Water Act Investigation and Enforcement Case Files

*Retain 6 years from final action.*

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.

### I07-04: PWS History Records

See the sub-schedules for specific retention information.

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.

#### I07-04 (a): Central office copies (Boston DWP)

*Permanent.*

#### I07-04 (b): Town and regional copies

*Retain 12 years.*

### I07-05: PWS Construction Plan Review Records

See the sub-schedules for specific retention information.

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."

### I07-05 (a): Consultant's Engineering Reports

*Permanent.*

### I07-05 (b): Plans and Specifications

*Retain 6 years after project is completed.*

### I07-05 (c): Denied or otherwise unapproved projects

*Retain 3 years.*

### I07-06: PWS/Cross Connection Records

See the sub-schedules for specific retention information.

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.

#### I07-06 (a): Central Office copy (Boston DWP)

*Retain for the life of the connection plus 3 years.*

#### I07-06 (b): Other DWP copies

*Retain 3 years.*

### I07-07: Water Management Annual Reports, Surveys, and Statistics Records

See the sub-schedules for specific retention information.

Documents the annual water consumption and long-term water usage and trends.

#### I07-07 (a): Final reports maps and substantive unique documentation

*Permanent.*

#### I07-07 (b): All other records

*Retain 3 years.*

### I07-08: Water Supply Protection Program Records

See the sub-schedules for specific retention information.

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.

#### I07-08 (a): Award winners lists, water consumption reports, final reports and substantive unique data and correspondence

*Permanent.*

#### I07-08 (b): All other records

*Retain 6 years after grant or last activity.*

**I07-09: Water Supply Contamination Records**

*Retain 12 years.*

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.

**I07-10: Water Emergency Program Records**

*See the sub-schedules for specific retention information.*

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.

**I07-10 (a): Central Office copy (DWP Boston)**

*Permanent.*

**I07-10 (b): Other DWP copies**

*Retain for active period plus 3 years.*

## Department of Public Utilities

**I08: Public Utilities and Energy**

*See the sub-schedules for specific retention information.*

**I08-01: Energy Conservation Services and Assistance Records**

*Retain 6 years*

Documents programs to assist the public to conserve energy. Includes grant applications, field notes, and related correspondence.

**I08-02: Public Utilities Case Files**

*Permanent.*

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 M.G.L. c. 159-164. 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.

**I08-03: Utility Company Annual Returns Reports**

*Permanent.*

Documents final required reports of utility companies.

## Department of Conservation and Recreation

**I09: Forestry, Parks, and Recreation**

*See the sub-schedules for specific retention information.*

**I09-01: Parks Shift Records**

*See the sub-schedules for specific retention information.*

Documents incidents and activities on state owned recreational lands. Includes incident reports, shift log books, day use permits, assignments, inventories, and related correspondence.

**I09-01 (a): Shift log books (Red-Books)**

*Review by the Archives 6 years after inactive.*

**I09-01 (b): All other records**

*Retain 3 years.*

**I09-02: Timber Harvesting Licensing Records**

*See the sub-schedules for specific retention information.*

Documents the process to issue licenses for persons to harvest lumber. Includes applications, support materials, exams, licenses, and related correspondence.

**I09-02 (a): Summary list of licensees**

*Permanent.*

**I09-02 (b): Denied or withdrawn applications**

*Retain 3 years.*

**I09-02 (c): Approved license materials**

*Retain 3 years after license expires.*

**I09-03: Fishing and Hunting Licensing Records**

*See the sub-schedules for specific retention information.*

Documents the process to issue licenses for persons to hunt or fish. Includes applications, support materials, licenses, and related correspondence.

**I09-03 (a): Summary list of licensees**

*Permanent.*

**I09-03 (b): Denied or withdrawn applications**

*Retain 3 years.*

**I09-03 (c): Approved license materials**

*Retain 3 years after license expires.*

#### **I09-04: Forester Licensing Records**

*See the sub-schedules for specific retention information.*

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.

##### **I09-04 (a): Summary of list of licensees**

*Permanent.*

##### **I09-04 (b): Denied or withdrawn applications**

*Retain 3 years.*

##### **I09-04 (c): Approved license materials**

*Retain 3 years after license expires.*

#### **I09-05: Office of Water Resources, Division of Water Supply Protection: Monthly Precipitation Observation Station Reports and Worksheets**

*Permanent.*

Documents monthly precipitation from the Commonwealth's official Precipitation Observation Stations managed by the Office of Water Resources, Division of Water Supply Protection.

## **Department of Environmental Protection**

#### **I10: Well Driller Program Records**

*See the sub-schedules for specific retention information.*

##### **I10-01: Completion Reports**

*See the sub-schedules for specific retention information.*

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 database.

##### **I10-01 (a): Paper reports**

*Permanent at office of deposit.*

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.

##### **I10-01 (b): Database**

*Permanent at office of creator.*

#### **I10-02: Initial Registration Well Driller Application**

*Retain for the life of the driller.*

This series includes: the driller's credentials, licensing test scores, social security number and or federal id number and affidavits.

##### **I10-03: Renewal Applications**

*Retain 10 years.*

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.

## **Department of Public Utilities**

#### **I11: Energy Facilities Siting Board Records**

*See the sub-schedules for specific retention information.*

##### **I11-01: Regulatory Case Files**

*Retain 10 years.*

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.

##### **I11-02: Adjudicatory Case Files**

*Retain 10 years.*

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.

##### **I11-03: Hydroelectric Generating Facilities Licensing Case Files**

*Retain 10 years.*

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.

##### **I11-04: Federal Energy Regulatory Commission (FERC) Filing Files**

*Retain 10 years.*

Includes maps, plans, photos, environmental impact reports, notice of intent, hearing transcripts and decisions. These records are not subject to audit.

##### **I11-05: Regulation Review Files**

*Retain 10 years.*

Includes drafts of regulations, testimony, hearing notices, hearing transcripts and decisions. These records are not subject to audit.

# Department of Fish and Game

**I12**

See the sub-schedules for specific retention information.

## I12-01: Information Requests/Data Release Requests

*Retain 1 year following Natural Heritage and Endangered Species Program (NHESP) response.*

Documents requests for state-listed species observation information on a land, including areas designated as Priority Habitat.

## I12-02: Massachusetts Endangered Species Act (MESA) Project Review Records

See the sub-schedules for specific retention information.

Document applications, supporting information for review of projects within Priority Habitat for state-listed species, and final determinations made by NHESP. Projects determined by NHESP to be exempt from MESA review, or not within Priority Habitat.

### I12-02 (a): Projects exempt from MESA review or not within Priority Habitat

*Retain for 1 year from the date of the final determination made by NHESP.*

### I12-02 (b): Projects determined to be a “no take” in accordance with MESA

*Retain for 3 years from the final determination made by NHESP.*

### I12-02 (c): Projects determined to be “Conditioned to avoid a take”

*Retain for 5 years from the final determination made by NHESP.*

### I12-02 (d): Projects determined to result in a “take” of a state-listed species

*Retain for 10 years from the final determination made by NHESP.*

### I12-02 (e): Projects which NHESP has issued a Conservation and Management Permit

*Retain for 15 years after issuance of a certificate of compliance or completion of last required.*

## I12-03: Natural Heritage and Endangered Species Program (NHESP) Review of Projects under the Jurisdiction of the Wetlands Protection Act

See the sub-schedules for specific retention information.

Documents applications and supporting information for projects that are to be located within Estimated Habitat in accordance with the Wetlands Protection Act. The records include notices of intent, orders of conditions, determinations of applicability, denials, and appeals where the Project may impact state-listed species. Comment letters by NHESP to the Department of Environmental Protection or a Town Conservation Commission concerning projects that may impact state-listed species.

### I12-03 (a): Comment letters

*Retain for 1 year from date of NHESP comment letter.*

## I12-03 (b): Project Applications not within Estimated Habitat

*Retain for 1 year from date of NHESP determination.*

## I12-04: Massachusetts Endangered Species Act (MESA) Administrative Appeals and Enforcement Cases

*Retain 15 years after closure or last action.*

Documents MESA administrative and court appeals, and enforcement cases by the Attorney General.

## I12-05: Natural Heritage and Endangered Species Program (NHESP) Comment Letters Submitted by NHESP Pursuant to the Massachusetts Environmental Protection Act (MEPA) Process

*Retain 2 years from the date of the Final Decision made by the Secretary of Energy and Environmental Affairs.*

Documents comments letters made by NHESP to the Executive Office of Energy and Environmental Affairs concerning projects under the jurisdiction of the Massachusetts Environmental Protection Act.

## I12-06: Scientific Collecting Permits and Applications

*Retain 3 years from the date of a final determination by Natural Heritage and Endangered Species Program (NHESP) on an application for a scientific collection permit.*

Documents the application, resumes, protocols for collecting or handling species and scientific collection permits issued by NHESP.

## Massachusetts Environmental Policy Act (MEPA) Office

**I13**

See the sub-schedules for specific retention information.

## I13-01: Project Submittals and Reviews

See the sub-schedules for specific retention information.

Pursuant to M.G.L. c. 30, §§ 61-62L, and regulations at 301 CMR 11.00, the MEPA Office reviews actions undertaken by proponents of projects that are within its jurisdiction because the proponent is an “Agency” as defined by MEPA, or Agency Permits, Land Transfers, or Financial Assistance are required for the project. MEPA review includes submission of an Environmental Notification Form (ENF), and in some cases, one or more Environmental Impact Reports (EIRs), to the MEPA Office, along with associated materials. Material changes to projects made after review of an ENF and/or EIRs may result in filing of a Notice of Project Change (NPC) with the MEPA Office, again with associated materials. ENFs, EIRs, and NPCs are published for public comment before the Secretary of Energy and Environmental Affairs (Secretary) issues a Certificate regarding each action. In addition, the MEPA Office has established Special Review Procedures (SRPs) for particular projects or categories of projects

that may warrant distinct forms of review due to the nature or complexity of the project. In prior years, SRPs that apply to a particular category of projects were referred to as Generic EIRs (GEIRs).

**I13-01 (a): ENF-only projects**

*Retain filings for 20 years from date ENF Certificate or NPC Certificate is issued.*

Includes all project submittals and associated appendices, supplemental information, and site plans. Also includes all comment letters submitted to the MEPA Office during review of a project.

**I13-01 (b): EIR projects and submittals filed pursuant to SRP, GEIR or other similar programmatic agreement**

*Retain filings for 40 years from date Certificate is issued on final MEPA review document or any subsequent NPC filed for the project.*

Includes all project submittals, including the ENF, and associated appendices, supplemental information, and site plans. Also includes all comment letters submitted to the MEPA Office during review of a project.

**I13-01 (c): Projects deemed to have historical significance**

*Retain filings permanently.*

Includes all project submittals and associated appendices, supplemental information, and site plans. Also includes all comment letters submitted to the MEPA Office during review of a project.

**I13-01 (d): Secretary's Certificates**

*Retain permanently.*

Includes Secretary's Certificates issued in relation to all project types.

**I13-01 (e): Substantive notes and correspondence related to project reviews**

*Retain for 5 years after issuance of the Secretary's Certificate issued on final MEPA review document of any subsequent NPC filed for the project.*

Includes substantive notes and correspondence related to project reviews, such as interoffice memoranda, internal and external correspondence other than comment letters.

**I13-02: Advisory Opinions and Requests for Advisory Opinions**

*See the sub-schedules for specific retention information.*

Any person may request from the MEPA Office an Advisory Opinion (AO) regarding the interpretation of MEPA and MEPA regulations, or other matters outside the purview of individual project reviews.

**I13-02 (a): Advisory Opinions**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Includes the AO issued in response to a Request for Advisory Opinion (RAO).

**I13-02 (b): Requests for Advisory Opinion**

*Retain for 20 years from date Advisory Opinion is issued.*

Includes the RAO and supporting documentation, supplemental information, comments received during review of the request, and any formal correspondence with Agencies or the public.

**I13-02 (c): Substantive notes and correspondence related to advisory opinions**

*Retain for 5 years after issuance of the Advisory Opinion.*

Includes substantive notes and correspondence related to AOs, such as interoffice memoranda, internal and external correspondence other than comment letters

**I13-03: Fail Safe Determinations and Petitions for Fail Safe Review**

*See the sub-schedules for specific retention information.*

Upon written petition by one or more Agencies or ten or more Persons, or at the initiative of the Secretary, the Secretary may order Fail Safe review of a project that otherwise would not be required to undergo MEPA review.

**I13-03 (a): Fail Safe Determinations and Petitions for Fail Safe Review**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Includes the Secretary's Fail Safe Determination and the Petition for Fail Safe Review and supporting documentation, supplemental information, comments received during review of the request, and any formal correspondence with Agencies or the public.

**I13-03 (b): Substantive notes and correspondence related to Fail Safe Determinations**

*Retain for 5 years after issuance of a Fail Safe Determination or after issuance of a decision on a petition for Fail Safe review.*

Includes substantive notes and correspondence related to Fail Safe Determinations, such as interoffice memoranda, internal and external correspondence other than comment letters.

# Executive Office of Health and Human Services

## Administrative Schedules

### K01: Administration

See the sub-schedules for specific retention information.

#### K01-01: Safety and Health Records

See the sub-schedules for specific retention information.

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.

##### K01-01 (a): Substantive reports and summary materials

Permanent.

##### K01-01 (b): All other records

Retain 5 years.

#### K01-02: Health Studies and Surveys Records

See the sub-schedules for specific retention information.

Documents special studies of medical research or practices.

##### K01-02 (a): Summary records

Permanent.

##### K01-02 (b): All other records

Retain until no longer used or needed; permission not needed for destruction

#### K01-03: Long Term Care Cost Reports

Retain 20 years.

Documents reports on costs of medical institutions and programs as required by mandate.

#### K01-04: Guardianships and Conservatorships Records

Retain 6 years after final action, or until child reaches age of 21, and plus 6 years, whichever period is longer.

Documents situations where the state becomes guardian of persons within institutions or in the community.

#### K01-05: Controlled Substances Destruction Records

Retain 3 years.

Documents controls over drugs and other narcotics to prevent mishandling, loss, or theft.

Includes inventory sheets, dispersion sheets, and related correspondence.

### K01-06: Medicaid Utilization Review Records

Retain 8 years.

Documents the utilization review of MassHealth providers.

### K01-07: Cemetery, Grave and Burial Records

Permanent.

Documents any records of cemeteries and burials that identify individuals and their final resting place.

## Department of Children and Families

### K03: Child and Family Services

See the sub-schedules for specific retention information.

#### K03-01: Child Abuse and Neglect Case Files

See the sub-schedules for specific retention information.

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.

##### K03-01 (a): Unsupported reports of abuse and neglect

Destroy and/or expunge identifying information 1 year after 51A report is found to be unsubstantiated.

##### K03-01 (b): All other records

Retain until child reaches age 21 plus 6 years.

#### K03-02: Children in Need of Services (CHINS) Case Files

Retain 3 years.

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.

#### K03-03: Family and Child Protective Services Case Files

See the sub-schedules for specific retention information.

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).

##### K03-03 (a): Intact family records

Retain permanently; state agency records eligible for transfer to Mass Archives

**K03-03 (b): Volunteer family records**

*Retain 3 years.*

**K03-03 (c): Single service such as day care, homemaking and babysitting**

*Retain 3 years.*

**K03-03 (d): Services refused, found ineligible, referred or otherwise deferred**

*Retain 3 years.*

**K03-04: Child Substitute/Foster Care Case Files**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**K03-05: Adoption Legal Tracking Records**

*See the sub-schedules for specific retention information.*

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.

**K03-05 (a): Where child was placed**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K03-05 (b): Where child was not placed**

*Retain 30 years.*

**K03-06: Adoption and Foster Home Studies Records**

*See the sub-schedules for specific retention information.*

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.

**K03-06 (a): Where child was placed**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K03-06 (b): Where child was not placed**

*Retain 5 years.*

**K03-07: Adoption Case Files**

*See the sub-schedules for specific retention information.*

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.

**K03-07 (a): Where child was placed as ward of state**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K03-07 (b): Independent adoptions where child was placed through relatives or private agencies**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

## Department of Public Health

**B04: Legal and Regulatory Records**

*See the sub-schedules for specific retention information.*

**B04-05: Professional Licensure and Certification Records**

*See the sub-schedules for specific retention information.*

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

**B04-05 (a): Applications Granted by Board**

*Retain original filing or electronic copy for 40 years after date of license award.*

**B04-05 (b): Applications Incomplete or Withdrawn by Applicant**

*Retain 3 years from last activity.*

**B04-05 (c): Applications Denied by Board**

*Retain 3 years from last activity.*

**B04-05 (d): Applications where Board granted Partial Credit**

*Retain 3 years from last activity.*

**B04-05 (e): Applications for Renewal**

*Retain original or electronic copy 6 years from cash date.*

**B04-05 (f): General Correspondence including Continuing Education Audit and Questionnaire Responses**

*Retain original or electronic copy one renewal cycle.*

**B04-08: Substance Use Monitoring Program Records**

*See the sub-schedules for specific retention information.*

Documents the participation by licensed professionals in substance use disorder rehabilitation programs conducted by the Board of Registration in Nursing pursuant to M.G.L. c 112 § 80F and by the Board of Registration in Pharmacy pursuant to M.G.L. c. § 112 24H. Includes applications, evaluations, assessments, monitoring reports, testing results, and related correspondence.

**B04-08 (a): Records of participants who successfully complete the program**  
*Retain 7 years from date that licensee successfully completes program.*

**B04-08 (b): Records of participants who withdraw from the program or are terminated for non-compliance**

*Retain 15 years from date that the licensee's participation in the program ends.*

## **B05: Litigation Records**

### **B05-04: Complaints, Investigations, and Hearing Records**

*See the sub-schedules for specific retention information.*

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.

**B05-04 (a): Abandoned, incomplete, non-jurisdictional, withdrawn, or dismissed complaints**

*Retain 3 years.*

**B05-04 (b): Routinely resolved complaints**

*Retain 3 years.*

**B05-04 (c): Landmark or policy setting cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B05-04 (d): Records not otherwise defined**

*Retain 6 years after final resolution.*

## **K09: Public Health**

### **K09-01: Infectious Disease Case Files**

*See the sub-schedules for specific retention information.*

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.

**K09-01 (a): Verified cases**

*Retain 10 years.*

**K09-01 (b): Withdrawn, non-jurisdictional, or revoked cases**

*Retain 1 year.*

### **K09-02: Medical Staff Complaints and Discipline Records**

*See the sub-schedules for specific retention information.*

Documents complaints against medical staff or personnel.

### **K09-02 (a): Medical doctors**

*Retain 25 years.*

### **K09-02 (b): All other practitioners and staff**

*Retain 6 years after final activity.*

### **K09-03: Infectious Disease Outbreak Records**

*See the sub-schedules for specific retention information.*

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.

### **K09-03 (a): Summary reports and substantiative analysis and support data**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

### **K09-03 (b): All other records**

*Retain 10 years.*

### **K09-04: Immunization Records**

*Retain for the life of the immunization.*

Documents the immunization of staff, patients, students, or the general public where the facility provided the immunization.

### **K09-05: Community Sanitation Inspection Records**

*Retain 6 years after close.*

Documents inspections of recreational camps, minimal housing, correctional facilities, farm labor camps, lockups. Includes complaints, inspection reports, responses, and related correspondence.

### **K09-06: Food and Drug License and Permits Records**

*See the sub-schedules for specific retention information.*

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.

### **K09-06 (a): Original application**

*Retain original application 20 years from approval date.*

### **K09-06 (b): Licenses subject to litigation**

*Retain 6 years after last action.*

### **K09-06 (c): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**K09-07: Animal Care Regulation and Monitoring Records**

*Retain 3 years.*

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.

**K09-08: Human and Animal Subjects Protection Records**

*See the sub-schedules for specific retention information.*

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.

**K09-08 (a): IRB minutes**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K09-08 (b): Materials kept as part of sponsored research projects**

*Retain 6 years after close of grant.*

**K09-08 (c): All other materials**

*Retain 3 years.*

**K09-09: Quarantine Health Records**

*See the sub-schedules for specific retention information.*

Documents the quarantine of patients or staff due to fear infection or disease spreading to others. Includes quarantine orders, background materials, and related correspondence.

**K09-09 (a): Summary documentation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K09-09 (b): All other records**

*Retain 10 years*

**K09-10: Infection and Communicable Disease Control Records**

*See the sub-schedules for specific retention information.*

Documents the monitoring and control of infectious disease within the institution. Includes monitoring and reporting documents, reports, and related correspondence.

**K09-10 (a): Summary documentation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K09-10 (b): All other records**

*Retain 10 years.*

**K09-11: Radioactive Materials Monitoring and Control Records**

*See the sub-schedules for specific retention information.*

Documents the control of radioactive materials in state institutions and facilities.

**K09-11 (a): Materials inventories**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K09-11 (b): All other records**

*Retain 30 years.*

**K09-12: Ambulance Licensure Records**

*See the sub-schedules for specific retention information.*

Documents licensure of ambulances and drivers.

**K09-12 (a): Candidate exam sheets**

*Retain 1 year.*

**K09-12 (b): All other records**

*Retain 6 years.*

**K09-13: Community Based Services Case Files**

*See the sub-schedules for specific retention information.*

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.

**K09-13 (a): Children's files**

*Retain 20 years after discharge or final treatment.*

**K09-13 (b): All other case files**

*Retain 6 years after close.*

**K09-13 (c): Denied or withdrawn applicants files**

*Retain 3 years.*

**K09-14: Epidemiology Case Records**

*Retain 30 years.*

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.

**K09-15: Report of Infectious Diseases**

*Retain 7 years.*

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.

**K09-16: Forensic Test Results**

*Retain 10 years.*

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.

**K09-17: Initial EMT Certification Files**

*Retain 3 years.*

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.

**K09-18: Initial Course Approval Files**

*See the sub-schedules for specific retention information.*

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.

**K09-18 (a): Application forms, letter of approval and class roster**

*Retain 3 years.*

**K09-18 (b): Candidate exam sheets**

*Retain 1 year.*

**K09-19: Recertification Application Files**

*Retain 2 years from expiration date.*

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.

**K09-20: Continuing Education Files**

*Retain 3 years.*

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.

**K09-21: Ambulance Licensing Files**

*Retain 7 years.*

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.

**Department of Youth Services****O01: Unit and Community Records**

*See the sub-schedules for specific retention information.*

**O01-01: Client Sign In Sheets**

*Retain until no longer used or needed; permission not needed for destruction*  
Documents clients reporting to district offices and programs

**O01-02: Daily Census and Daily Bed Counts**

*Retain until no longer used or needed; permission not needed for destruction*  
Documents the clients on each unit including: name, date of birth, date of admittance, race, commitment date, region, level, and projected discharge.

**O01-03: Drug Testing Results**

*Primary copy: retain in client file. See record series "O2-1 Client Files"*  
Documents drug testing results of clients.

**O01-04: Electronic Monitoring (ELMO) Reports**

*Primary copy: retain in client file. See record series "O2-1 Client Files"*  
Documents electronic monitoring tracking of client.

**O01-05: Fire Safety Reports**

*Retain 5 years.*  
Documents fire drill reports at programs and facilities, weekly and monthly fire report inspections.

**O01-06: Intake and Discharge Logs**

*Retain 10 years.*  
Documents clients in DYS units including their names, charges, prior placements and staff involved in the intake and discharge. Also documents medical information.

**O01-07: Internal Investigative Reports**

*Retain 15 years.*  
Documents the filing of 51As and 51Bs, Internal Reviews, Incident Reports, Witness Statements, Internal Investigations and subsequent Corrective Action Plans.

**O01-08: Licenses and Certificates**

*Retain 5 years.*  
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.

**O01-09: Medical Log**

*Retain 45 years after discharge.*

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.

**O01-10: Medical Files**

*Retain 45 years after discharge.*

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.

**O01-11: Summary of Consultations**

*Retain until no longer used or needed; permission not needed for destruction*

Documents Minutes included from staff, supervisor, clinical, educational consultations that are not public bodies.

**O01-12: Monthly Reports - Facilities**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**O01-13: Monthly Reports - Community**

*Retain 5 years.*

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.

**O01-14: Operations Log**

*Retain 20 years.*

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.

**O01-15: Program Activity Attendance Sheet**

*Retain until no longer used or needed; permission not needed for destruction*

Documents client attendance at community program activities.

**O01-16: Regional Review Team Records**

*Primary copy: retain in clients file. See record series "O2-1 Client Files"*

Documents client assessments, placements, time assignments and appeals

**O01-17: Restraint Report**

*Retain until no longer used or needed; permission not needed for destruction*

Documents the number and location of restraints in programs.

**O01-18: Room Confinement Observation Sheets**

*Retain 5 years.*

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 or use of room confinement beyond 6 hours.

**O01-19: Room Check Sheets**

*Retain 5 years.*

Documents room checks including the name of staff, when the check was conducted and what was viewed.

**O01-20: School and Group Attendance Logs**

*Retain until no longer used or needed; permission not needed for destruction*

Documents client attendance in school and group counseling meetings.

**O01-21: Search Log**

*Retain 2 years.*

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.

**O01-22: Telephone Log**

*Retain 2 years.*

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.

**O01-23: Unit Condition Reports (UCRs)**

*Retain 10 years.*

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.

**O01-24: Unit Files**

*Retain until no longer used or needed; permission not needed for destruction*

Documents daily client activities on the unit including serious incidents, incidents, counts, grievances, daily activities, staff notes, restraints, levels and progress notes.

**O01-25: Video Review Log**

*Retain 5 years.*

Documents the date and time of video reviewed, the managers that reviewed the video, content of video reviewed.

**O01-26: Visitor Log**

*Retain 2 years.*

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.

**O01-27: Victim Services Log**

*Primary copy: Retain 10 years.*

Documents the victims and witnesses to be notified regarding a client's transfer or release from DYS. Includes notification forms.

**O02: Client Records**

*See the sub-schedules for specific retention information.*

**O02-01: Client Files**

*Retain 45 years after discharge from DYS.*

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, detainees, 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.

**O02-02: Client and Program Unit File**

*Retain 7 years after discharge from Unit.*

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.

**O02-03: Grievance Forms**

*Primary copy: retain in client file. See record series "O2-1 Client Files."*

Documents client grievance and appeals.

**O02-04: Incident Reports**

*Retain 10 years.*

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.

**O02-05: Detention File**

*Retain 10 years after release from detention.*

Documents intake forms, CORI (Criminal Offender Record Information) records, fact sheets, photograph, MASI (Massachusetts Youth Screening Information) forms, Lamb warnings, PREA (Prison Rape Elimination Act) information, bail review notification, body map, mittimus, court documents.

**O03: Program Monitoring**

*See the sub-schedules for specific retention information.*

**O03-01: Program Reports and Visit Summary Reports**

*Retain 3 years.*

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.

**O04: Communication Information Center Records**

*See the sub-schedules for specific retention information.*

**O04-01: Active Warrant Report**

*Retain 5 years.*

Documents the warrants and detainees that are still active in the DYS system by Region.

**O04-02: Bail Report**

*Retain 5 years.*

Documents all youths brought into DYS custody on bail status. It shows charges, remand date, bail amount, court, etc.

**O04-03: Nightly Return Report**

*Retain 5 years.*

Documents the youths that have returned to either DYS custody or picked up on a DYS warrant by another agency.

**O04-04: Nightly Situation Report**

*Retain 5 years.*

Documents serious calls coming into the Communication Information Center (CIC) includes serious incidents that occurred over a 24 hour period from 7:00 am to 7:00 pm

**O04-05: Open Return Report**

*Retain 5 years.*

Documents the warrants that have been returned but something is missing. This report is sent to the Regional and District Manager.

**O04-06: Room Confinement Report**

*Retain 5 years.*

Documents all youths in DYS facilities that have been in involuntary room confinement, how long, and the reason.

**O04-07: Risk Assessment Report**

*Retain 5 years.*

Documents the assessments of bailed youth brought into DYS custody.

**O04-08: Serious Incident Reports**

*Retain 10 years.*

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.

**O04-09: Warrants and Warrant Returns**

*Retain 2 years.*

Documents the issuing of an apprehension order and the return of the warrant after DYS youth is apprehended.

**Division of Health Care****K11: Division of Health Care Finance and Policy****K11-09: Blue Cross Blue Shield Contracts**

*Retain 10 years.*

This series is made up of Blue Cross Blue Shield contracts with Ambulatory Care providers.

**K11-11: Credit and Collection Policies**

*Retain 10 years.*

This series includes Acute Hospitals Credit and Collection Procedures.

**K11-12: UCP and Health Safety Net Audits**

*Retain 10 years.*

**K11-14: Substance Abuse Treatment Program Licensing Records**

*See the sub-schedules for specific retention information.*

Documents the process to license treatment programs. Includes applications, inspection reports, deficiency correction orders, background support materials, license approvals and related correspondence.

**K11-14 (a): Summary list of licenses**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K11-14 (b): All other records**

*Retain 6 years.*

**K11-15: Alcohol and Drug Counselor Records**

*See the sub-schedules for specific retention information.*

Documents the process to grant licenses to alcohol and drug counselors. Includes applications, background support materials and related correspondence.

**K11-15 (a): Original filing and summary filings**

*Retain original filing and a summary of subsequent filings for the potential licensing period of the individual plus 3 years.*

**K11-15 (b): All other records**

*Retain 3 years from expiration or cancellation of license.*

**K11-16: Licensure Complaints, Investigations and Hearing Records**

*See the sub-schedules for specific retention information.*

Documents complaints against licensed programs or licensed counselors, and includes investigations, reports and findings, agency actions, hearing proceedings [non-methadone], transcriptions and related correspondence.

**K11-16 (a): Abandoned, incomplete, non-jurisdictional, withdrawn or dismissed complaints**  
*Retain 1 year.*

**K11-16 (b): All other records**  
*Retain 3 years after final resolution.*

**K11-17: Methadone Appeals**  
*Retain 3 years after final resolution.*

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.

**K11-18: Site Visits to Substance Abuse Treatment Programs**

*Retain 3 years.*  
Documents financial, contractual and statistical program evaluation of contracted sites and includes reports and findings.

## General Social Services

### K02: Social Services

**K02-01: Health and Insurance Claim Records**

*Retain 3 years.*  
Documents claims by employees to receive benefits or insurance payments.

**K02-02: Social, Medical, and Economic Assistance Case Files**

*Retain 3 years.*  
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.

**K02-03: Client Advocacy Case Files**

*Retain 3 years.*  
Documents agency assistance to clients requiring help navigating the state system. Includes contact information, notes, problem resolution, referral, and related correspondence.

**K02-04: Social Services Appeals Case Files**

*Retain 6 years after final resolution.*  
Documents client appeals when eligibility for services is denied. Includes appeals, eligibility support materials, and related correspondence.

**K02-05: Social Services Case Files**

*Retain 6 years after last activity.*  
Documents the referral, application, and subsequent issuance of services and or supplies, or other aid outside of direct economic relief.

### K02-06: Disabled Persons Abuse and Neglect Records

*See the sub-schedules for specific retention information.*  
Documents cases of abuse against disabled persons from age 19 to age 59.

**K02-06 (a): DPPC file**  
*Retain 10 years.*

**K02-06 (b): All other records**  
*Retain 6 years after case closed.*

### K02-07: Elder Abuse and Neglect Case Files

*See sub-schedules for specific retention periods.*  
Documents abuse of elders. Includes complaints, investigation notes, determinations, and related correspondence.

**K02-07 (a): Elder Affairs copy**  
*Retain 10 years.*

**K02-07 (b): All other records**  
*Retain 6 years after case closed.*

### K02-08: Institutional Abuse and Neglect Records

*Retain for life of institution plus 6 years and subject to review by the Archives.*  
Documents complaints and investigations of abuse of institutionalized persons.

### K02-09: Disability Rehabilitation Case Files

*See the sub-schedules for specific retention information.*  
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.

**K02-09 (a): Statewide Head Injury Program Case Files**  
*Retain 25 years after case closure.*

**K02-09 (b): Employment Service Case Files**  
*Retain 6 years after case closure.*

**K02-09 (c): All other program case files**  
*Retain 3 years after case closure.*

# Laboratory Records

## K04: Laboratory

### K04-01: Patient Autopsy Records

*See the sub-schedules for specific retention information.*

Documents the forensic examination of patients to determine the cause of death. Includes transport and identification materials, examination reports, and related correspondence.

#### K04-01 (a): Final reports

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### K04-01 (b): All other records

*Retain 30 years.*

### K04-02: Laboratory Licensure and Certification Records

*See the sub-schedules for specific retention information.*

Documents the certification and monitoring of medical laboratories by the state and by federal agency CLIA.

#### K04-02 (a): Original license and licensing summary

*Retain for the life of the lab plus 6 years.*

#### K04-02 (b): Inspection reports, complaint investigations and related correspondence

*Retain 6 years after closure.*

#### K04-02 (c): All other quality assurance records

*Retain 3 years.*

### K04-03: Blood, Tissues, and Organs Administration Records

*Retain 3 years.*

Documents the monitoring and control of blood maintained for use during medical emergencies and operations.

### K04-04: Health Laboratory Tests, Clinical

*Retain 5 years.*

Documents biological and medical tests performed as part of patient care.

### K04-05: Quality Assurance Records

*See sub-schedules for specific retention periods.*

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.

#### K04-05 (a): Summary reports

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### K04-05 (b): All other records

*Retain 3 years.*

## K04-06: Childhood Lead Poisoning Test Program

*Retain 6 years.*

To establish if lead is present in blood sample.

# Registry of Vital Records

## K05: Vital Records

### K05-01: Birth Index

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Consists of birth indexes to birth returns.

### K05-02: Birth Returns

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

### K05-03: Birth Certificate Risk Data Consent Forms

*Retain until entered onto Registry of Vital Records First Link database, then destroy.*

Documents mother consents to have birth risk data forwarded to be assessed for service needs.

### K05-04: Marriage Index

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Consists of marriage indexes to marriage returns.

### K05-05: Marriage Returns

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

### K05-06: Death Index

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Consists of death indexes to death returns.

### K05-07: Death Returns

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**K05-08: Live Birth Certificates R3**

See the sub-schedules for specific retention information.

Documents the indexing or other compiling of live birth information for reference or statistical purposes and not for official recording purposes.

**K05-08 (a): Final index or compilation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K05-08 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**K05-09: Change of Name Reports R600**

See the sub-schedules for specific retention information.

Documents the indexing or other compiling of name change information for reference or statistical purposes and not for official recording purposes.

**K05-09 (a): Final index or compilation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K05-09 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**K05-10: Divorce or Annulment Reports R408**

See the sub-schedules for specific retention information.

Documents the indexing or other compiling of divorce information for reference or statistical purposes and not for official recording purposes.

**K05-10 (a): Final index or compilation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K05-10 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**K05-11: Abortion Summary Reports R109**

See the sub-schedules for specific retention information.

Documents the indexing or other compiling of abortion information for reference or statistical purposes and not for official recording purposes.

**K05-11 (a): Final index or compilation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K05-11 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**Patient Records****K06: Patient****K06-01: Drug Reaction, Adverse Records**

*Retain 3 years.*

Documents reactions to medications and drugs.

**K06-02: Mental Health Inpatient Files**

See the sub-schedules for specific retention information.

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 medical record.

**K06-02 (a): Files from historically significant cases and treatment modalities and statistically representative sampling of other medical records with guidance from the State Archives**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K06-02 (b): Non-sampled medical records**

*Retain 20 years from case closure.*

**K06-03: Patient X-Ray Records**

*Retain 10 years.*

Documents laboratory test results or recordings that are filed separately from a patients' main case file.

**K06-03 (a): Radiation exposure files (x-rays)**

*Retain 10 years.*

**K06-03 (b): Digital x-rays**

*Retain 10 years.*

**K06-04: Patient Admission and Discharge Records**

See the sub-schedules for specific retention information.

Documents the admission and discharge of inpatients. Includes admission and discharge forms, support documentation, logs and registers, and related correspondence.

**K06-04 (a): Logs and registers**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K06-04 (b): Discharges where patient has died**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K06-04 (c): All other records**

*Retain 20 years after discharge.*

**K06-05: Mental Health Client Outpatient Clinic and/or Community Service Records**

*See the sub-schedules for specific retention information.*

Documents the mental health care of individuals 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 individual's medical record.

**K06-05 (a): Files from historically significant cases and treatment modalities and statistically representative sampling of other medical records with guidance from the State Archives**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K06-05 (b): Non-sampled medical records**

*Retain 20 years from case closure.*

**K06-06: Dental Records**

*Retain 30 years.*

Documents dental work on residents.

**K06-07: Patient and Resident Accounts Records**

*Retain 3 years after separation.*

Documents cash accounts of patients and residents.

**K06-08: Medical Patient Case Files**

*Retain 20 years after discharge.*

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.

**K06-09: Patient Rehabilitation Program Records**

*See the sub-schedules for specific retention information.*

Documents programs within the institution to promote recovery or well-being.

**K06-09 (a): Summary documentation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K06-09 (b): All other records**

*Retain 3 years.*

**K06-10: Institutional Client Property and Valuables Records**

*Retain 3 years after final release.*

Documents patient personal property held in storage for them by the institution. Includes inventory listings, releases, additions, or changes, and related correspondence.

**K06-11: Resident and Patient Consent Decree Records: Not filed with patient case files**

*Retain 6 years and subject to review by the Archives.*

Documents consents for medical assistance, care, or surgery. Includes consent decrees, court orders, and Office of Quality Assurance correspondence.

**K06-12: Resident Emergency Fact Sheets**

*Retain until patient separates.*

Provides information on patients such as personal contacts to be used in case of emergency.

**K06-13: Resident Commitment Papers**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents the legal commitment of individuals to institutions. Includes mittimi, legal docs authorizing commitments and transfers, applicant statements, physician certifications, and other papers, voluntary admissions.

**K06-14: DMH Client Human Rights Complaint and Investigation Records**

*See the sub-schedules for specific retention information.*

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.

**K06-14 (a): Public Log of complaints with redacted personal identifiers**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K06-14 (b): Out-of-scope, incomplete, or withdrawn complaints**

*Retain 3 years.*

**K06-14 (c): Departmental Case File**

*Retain 6 years after final case activity including any referred case activity.*

**K06-14 (d): Central Office of Investigations File**

*Retain 6 years after final case activity including any referred case activity.*

**K06-14 (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.*

**K06-15: MH Forensic Evaluation Records**

*See the sub-schedules for specific retention information.*

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.

**K06-15 (a): Court ordered evaluations and parole reports/evaluations**

*Retain 10 years after latest evaluation.*

**K06-15 (b): Forensic Transition Team Records**

*Retain 6 years, where not otherwise part of a DMH record.*

Forensic Transition Team Records. Mandatory Forensic Reports, MI/PSB reports, and Jail Treatment Reports: 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.

**K06-16: External Reviews**

*Retain 4 years after case closure.*

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.

**K06-17: Managed Care Inquiries through the Office of the Managed Care Ombudsman**

*Retain 2 years after case closure.*

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.

**K06-18: Health Plan Inspections**

*See the sub-schedules for specific retention information.*

OPP periodically conducts random on-site inspections of health plan grievance and appeal files.

**K06-18 (a): OPP check list and supporting documentation**

*Retain 1 year.*

**K06-18 (b): Summary letters and health plan corrective action plans**

*Retain 5 years.*

**K06-19: Occurrence Incidence Reports**

*See the sub-schedules for specific retention information.*

Documents adverse incidents related to risk management including but not limited to accidents and injuries, suicide gestures and attempts, self-injurious behavior, emergency transfers to a medical facility, psychiatric or medical emergencies, patient falls, patient to patient or patient to staff assaults, medication errors, choking incidents, patient elopement, smoking, property damage and approved room searches.

**K06-19 (a): Reportable events subject to litigation**

*Retain pending litigation or 30 years, whichever is longer.*

**K06-19 (b): All other reports**

*Retain 3 years.*

## **Pharmacy and Prescription Records**

**K07: Pharmacy****K07-01: Pharmacy and Prescriptions Records**

*Retain 3 years.*

Documents the filling of individual prescriptions for patients. Includes prescriptions, inventories, and related logs, reports, and correspondence.

## **Program Administration**

**K08: Program Administration****K08-01: Insurance Policies and Rate Setting Records**

*See the sub-schedules for specific retention information.*

Documents rate setting for health care and insurance programs.

**K08-01 (a): Hearing Transcripts**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K08-01 (b): All other records**

*Retain 10 years.*

**K08-02: Social Needs Assessments Reports**

*See the sub-schedules for specific retention information.*

Documents assessments for planning and policy determinations.

**K08-02 (a): Hearing Transcripts**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K08-02 (b): All other records**

*Retain 10 years.*

**K08-03: Program Monitoring and Review Records**

*Retain 3 years.*

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.

**K08-04: Medical Rate Setting Case Files**

*See the sub-schedules for specific retention information.*

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.

**K08-04 (a): Final hearing transcripts**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K08-04 (b): All other records**

*Retain 10 years.*

**K08-05: Service Provider Monitoring and Investigation Records**

*Retain 3 years.*

Documents the monitoring of contracted service providers for the state.

## Shift Records for State Institutions and Hospitals

**K10: Shift****K10-01: Resident Death Report Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents deaths of residents under the care of a state institution.

**K10-02: Restraint and Seclusion Records**

*Retain 3 years.*

Documents forcible restraint and/or seclusion of patients.

**K10-03: Death Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents deaths of individuals. Includes doctor's report, death certificates, logs and registers, and related correspondence.

**K10-04: Ambulance Trip Institutional Records**

*Retain 3 years.*

Documents movement of patients to or from facility.

**K10-05: Birth Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents the recording of the birth of individuals. Includes standard certificates of live birth, corrections, logs and registers, and related correspondence.

**K10-06: Shift Code Emergency Response Records**

*See the sub-schedules for specific retention information.*

Documents any emergencies taking place during a shift where a code was called. Includes incident reports, notes, and related correspondence.

**K10-06 (a): Summary documentation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K10-06 (b): All other records**

*Retain 10 years.*

**K10-07: Shift Reports**

*Retain 3 years.*

Documents the activities of shifts. Includes logs, inspection reports, inventories, shift reports, and related correspondence.

**K10-08: Visitors Records**

*See the sub-schedules for specific retention information.*

Documents visitors to institutions to see patients.

**K10-08 (a): Where patient files are permanent**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K10-08 (b): Where patient files are not permanent**

*Retain 3 years.*

**K10-09: Intern and Resident Training Records**

*Retain 6 years after separation.*

Documents the training files of interns and resident doctors.

**K10-10: Daily Census**

*See the sub-schedules for specific retention information.*

Documents the recording of the number of institutionalized persons.

**K10-10 (a): Summary data reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**K10-10 (b): All other records**

*Retain 3 years.*

**K10-11: Paramedics Communication Logs**

*Retain 1 year.*

Documents communications between ambulances and paramedics and the institution.

# Executive Office of Housing and Economic Development

## Local Housing Authorities

### C09: Department of Housing Community Development

#### C09-01: Organization

See the sub-schedules for specific retention information.

##### C09-01 (a): Cooperation Agreements

Retain permanently; state agency records eligible for transfer to Mass Archives

##### C09-01 (b): Final Development Cost Records including forms PHA-2152, PHA-2399

Retain permanently; state agency records eligible for transfer to Mass Archives

##### C09-01 (c): Meeting Minutes

Retain permanently; state agency records eligible for transfer to Mass Archives

##### C09-01 (d): Property Ledger

Retain permanently; state agency records eligible for transfer to Mass Archives

#### C09-02: Housing Tenants Records

See the sub-schedules for specific retention information.

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

##### C09-02 (a): Denied or withdrawn applicant records

Retain 3 years.

##### C09-02 (b): All other records pertaining to tenants and applicants with the exception of those noted in sub-series a, c, d, and e

Retain 3 years after final action.

##### C09-02 (c): Adjustment Slips (rental fee)

Retain 1 year after federal audit or state Agreed Upon Procedures (whichever most recent).

##### C09-02 (d): Schedule of Maximum income limits and related correspondence, schedules of PHA consolidated supply contracts

Retain until superseded.

##### C09-02 (e): Housing surveys and census tabulations

Retain 1 year after federal audit or state Agreed Upon Procedures (whichever is most recent).

#### C09-03: Fiscal Records

See the sub-schedules for specific retention information.

Records subject to audit, including but not limited to C09-03 sub-series.

##### C09-03 (a): Denied or withdrawn applicant records

Retain 3 years.

##### C09-03 (b): Tenants' Accounts Receivable

Retain 3 years.

##### C09-03 (c): Financial and Operating Reports derived from Project General Ledger

Retain 3 years.

##### C09-03 (d): Balance Sheets

Retain 3 years.

##### C09-03 (e): Trial Balance

Retain 3 years.

##### C09-03 (f): Statement of Operating Receipts and Expenditures

Retain 3 years.

##### C09-03 (g): Statement of Income and Expenses

Retain 3 years.

##### C09-03 (h): Public Voucher, Payment of Annual Contribution

Retain 3 years.

##### C09-03 (i): Computation of Payments in Lieu of Taxes

Retain 3 years.

##### C09-03 (j): Annual Statement of Accruing Annual Contributions

Retain 3 years.

##### C09-03 (k): Analysis of Debt Service Funds

Retain 3 years.

##### C09-03 (l): Investment Register

Retain 1 year after audit.

##### C09-03 (m): Operating Budgets

Retain 3 years.

##### C09-03 (n): Certified Reports of Audits

Retain 3 years.

##### C09-03 (o): Bank Statements including Reconciliations and Canceled Checks

Retain 3 years.

**C09-03 (p): Revolving fund including Cash Disbursement, Cash Receipts, Cash Journals and Travel Records**

*Retain 3 years.*

**C09-03 (q): Contract Register**

*Retain 3 years from date of last federal audit or state Agreed Upon Procedures (whichever most recent)*

**C09-03 (r): Journal Vouchers, Check copies and supporting documents**

*Retain 3 years.*

**C09-03 (s): Personnel Payrolls and Time Sheets**

*Retain 3 years after employee separates from Authority.*

**C09-04: Maintenance**

*See the sub-schedules for specific retention information.*

**C09-04 (a): Fixed Assets Inventory**

*Retain 3 years after federal audit or state Agreed Upon Procedures (whichever most recent)*

**C09-04 (b): Labor Cost Distribution/ L&I Rates**

*Retain 3 years after federal audit or state Agreed Upon Procedures (whichever most recent)*

**C09-04 (c): Maintenance Work Orders**

*Retain 3 years after federal audit or state Agreed Upon Procedures (whichever most recent)*

**C09-05: Modernization/Capital**

*6 years after payment.*

- (a) Plans
- (b) Contracts
- (c) Bids
- (d) Specs
- (e) Anything related to modernization/capital job or development

**C09-06: Insurance**

*See the sub-schedules for specific retention information.*

**C09-06 (a): Insurance and Fidelity policies**

*Retain until after federal audit or state Agreed Upon Procedures (whichever most recent) following expiration or cancellation date*

**C09-06 (b): Insurance Register**

*Retain until superseded.*

## **Executive Office of Labor and Workforce Development**

### **Department of Family and Medical Leave**

**M06: Department of Family and Medical Leave**

**M06-01: Paid Family and Medical Leave Claims**

*Retain 3 years after last activity on the most recent claim filed within a benefit year.*

Claims for paid family and/or medical leave pursuant to M.G.L. c. 175M and the regulations promulgated thereunder. These files include documents received by the Department that relate to: applications for benefits, payment information, and related correspondence.

### **Department of Industrial Accidents**

**M01: Industrial Accidents and Injuries**

*See the sub-schedules for specific retention information.*

**M01-01: Workplace Hazard Investigation Records**

*Retain 6 years after close.*

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.

**M01-02: Occupational Safety and Health Reports**

*See the sub-schedules for specific retention information.*

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.

**M01-02 (a): OSHA accident logs**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**M01-02 (b): All other records**

*Retain 6 years.*

**M01-03: Workers Compensation Claim Impartial Medical Report (IMR) Records**

*See the sub-schedules for specific retention information.*

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.

**M01-03 (a): Completed and refunded requests**

*Retain 10 years.*

**M01-03 (b): Filing fee support documentation**

*Retain 10 years.*

**M01-03 (c): Incomplete or non-jurisdictional requests**

*Retain until no longer used or needed; permission not needed for destruction*

**M01-04: Workers Compensation Trust Fund Records**

*See the sub-schedules for specific retention information.*

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.

**M01-04 (a): General ledger reports.**

*Contact Massachusetts Archives to review materials to determine disposition*

**M01-04 (b): Primary copies of payment support documentation and transaction postings.**

*Retain 6 years.*

**M01-04 (c): Lockbox or service providers' records.**

*Retain 6 years.*

**M01-04 (d): Secondary copies of payment support documentation and account reconciliation materials.**

*Retain 3 years.*

**M01-05: Workers Compensation Self-Insurers Records**

*Retain for the life of the business plus 6 years.*

Documents filings from businesses providing their own insurance for their employees. Includes self-insurers identification documentation and support materials, and related correspondence.

**M01-06: Workers Compensation Administrative Law Court Case Files**

*Retain 40 years.*

Documents determinations of the Industrial Accident Board regarding compensation for accident or job related illness of any worker employed in the Commonwealth of Massachusetts.

**M01-07: Workers Compensation Insurance Claim Files**

*See the sub-schedules for specific retention information.*

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.

**M01-07 (a): Human Resources Workers Compensation Unit copies**

*Retain 40 years.*

**M01-07 (b): Agency Human Resources copies**

*Retain 6 years unless a longer period is required by an agency's legal counsel.*

**M01-07 (c): All other copies**

*Retain 6 years.*

**M01-08: Workers Compensation Litigation Case Files**

*Retain 40 years.*

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.

**M01-09: Industrial Accident Investigation Case Files**

*Contact Massachusetts Archives to review materials to determine disposition*

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.

**M01-10: Disability Unit File**

*Retain 38 years.*

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.

**M01-11: Valuation Work Papers**

*Retain 5 years.*

The purpose of these papers is to back up documents to produce valuations. Included in these papers are the valuation runs.

**M01-12: Valuation Data Work Papers**

*Retain 2 years after final report.*

Documents the analysis of data received from boards to produce valuation reports.

# Department of Labor Relations

## M02: Labor and Employment

See the sub-schedules for specific retention information.

### M02-01: Labor and Industries Statistics and Reports

See the sub-schedules for specific retention information.

Documents labor and industries in the Commonwealth through reports such as labor distribution reports. Department of Unemployment Assistance Reports contain employment and wage information by industry for the state and various sub-state geographies down to the city and town level.

#### M02-01 (a): Department of Unemployment Assistance Reports

*Retain 20 years.*

#### M02-01 (b): Other Official copies

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### M02-01 (c): All other records

*Retain 3 years.*

## M02-02: Labor Relations Records

See the sub-schedules for specific retention information.

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.

#### M02-02 (a): Summaries of attempts to establish unions.

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### M02-02 (b): Union contracts and substantive policy and issues materials.

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### M02-02 (c): Main table negotiation notes

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### M02-02 (d): Executive Session minutes.

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### M02-02 (e): Case Files

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Includes cases of all docket classifications. May contain complaints, petitions, decisions, briefs, exhibits, motions, investigatory notes, correspondence and certifications. 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.

#### M02-02 (f): Transcripts

*Retain 7 years from close of case.*

#### M02-02 (g): Case Status Cards (contains chronology of actions)

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### M02-02 (h): Docket Books

*Retain 2 years.*

#### M02-02 (i): Master Index

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### M02-02 (j): Master Schedule Book.

*Retain 2 years.*

Master Schedule Book. Includes all staff appointments, arranged chronologically:

#### M02-02 (k): All other records.

*Retain 3 years.*

## M02-03: Union Contract Negotiation Mediation Records

*Retain 1 year after case is closed and all appeals are exhausted.*

Documents 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.

## M02-04: Apprenticeship Records

See the sub-schedules for specific retention information.

Documents the program to train individuals in different trade jobs. Includes applications and support materials, training schedules, final apprenticeship certifications, and related correspondence.

#### M02-04 (a): Summary listings of apprenticeships.

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### M02-04 (b): All other records

*Retain 6 years.*

## M02-05: Grievance, Mediation, and Arbitration Administration Records

See the sub-schedules for specific retention information.

Documents complaints brought by labor against the commonwealth. Includes complaints, background materials, proceedings of mediation and arbitration, and related correspondence.

**M02-05 (a): Summary case listings and abstracts.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**M02-05 (b): All other records.**

*Retain 6 years after case closure.*

**M02-06: Prevailing Wage Rate Records**

*See sub-schedules for specific retention periods.*

Documents the setting of labor wage rates. Includes rate setting hearings and materials, and related correspondence.

**M02-06 (a): Final hearing transcripts.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**M02-06 (b): All other records**

*Retain 10 years.*

**M02-07: Employment Services Case Files**

*Retain 3 years after close.*

Documents individuals' eligibility and receipt of social services programs. Includes eligibility documentation, case plans, progress reports, and related correspondence.

**M02-08: Unemployment Insurance Claims**

*Retain 3 years.*

Documents claims for unemployment with the state, includes claims, payment information, and related correspondence.

**M02-09: Vocational Rehabilitation Case Files**

*See the sub-schedules for specific retention information.*

Retain final summary documentation adequate to report individuals' completion of programs: Documents programs to improve job opportunities and placements for individuals. Includes applications, support materials, acceptance within programs, and subsequent progress.

**M02-09 (a): Final Summary Documentation.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Retain final summary documentation adequate to report individuals' completion of programs.

**M02-09 (b): All other records.**

*Retain 3 years after case closure.*

**Department of Labor Standards****M03: Division of Occupational Safety: Asbestos and Lead Program**

*See the sub-schedules for specific retention information.*

**M03-01: Asbestos Violation Files**

*Retain 7 years.*

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 C.M.R. c. 453, § 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.

**M03-02: Lead Paint Violation Files**

*Retain 7 years.*

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.

**M03-03: Asbestos Work Notification Files**

*Retain 6 months.*

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.

**M03-04: Deleading Work Notification Files**

*Retain 6 months.*

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.

**M03-05: Deleader-Supervisor Application Files**

*Retain 1 year after audit.*

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.

**M03-06: Approved Deleading Contractor for Lead Removal: Application Files**

*Retain 1 year after audit.*

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.

**M03-07: Deleader-Contractor Application Files**

*Retain 1 year after audit.*

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.

**M03-08: Asbestos Contractor Application Files**

*Retain 1 year after audit.*

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.

**M03-09: Asbestos Inspector Application Files**

*Retain 1 year after audit.*

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.

**M03-10: Asbestos Management Planner Application Files**

*Retain 1 year after audit.*

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.

**M03-11: Asbestos Abatement Project Monitor Application Files**

*Retain 1 year after audit.*

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.

**M03-12: Asbestos Abatement Project Designer Application Files**

*Retain 1 year after audit.*

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.

**M03-13: Approved Asbestos Training Provider Application Files**

*Retain 1 year after audit.*

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.

**M03-14: Asbestos Analytical Services Application Files**

*Retain 1 year after audit.*

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

**M03-15: Asbestos Abatement Worker Application Files**

*Retain 1 year after audit.*

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.

**M03-16: Supervisor/Foreperson for Asbestos Application Files**

*Retain 1 year after audit.*

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.

**M03-17: Asbestos Inspection Files**

*Retain 7 years.*

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.

**M03-18: Lead Paint Inspection Files**

*Retain 7 years.*

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.

**M03-19: Deleader-Worker Application Files**

*Retain 1 year after audit.*

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.

**M03-20: Lead-Safe Renovator Worker Application Files**

*Retain 1 year after audit.*

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.

**M03-21: Lead-Safe Renovator Supervisor Application Files**

*Retain 1 year after audit.*

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.

**M03-22: Lead-Safe Renovator Contractor Application Files**

*Retain 1 year after audit.*

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.

**M03-23: Occupational Lead Poisoning Registry: Laboratory Blood Lead Reports**

*Retain 1 year after audit.*

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.

**M03-24: Occupational Lead Poisoning Registry: Reports of Interviews of Physicians and Registrants**

*Retain 7 years.*

**Department of Labor Relations****M04: Massachusetts Labor Relations Commission Records**

*See the sub-schedules for specific retention information.*

**M04-01: Case Files**

*Retain 10 years.*

Includes cases of all 17-docket classifications. Case files may contain complaints, petitions, decisions, briefs, exhibits, motions, investigatory notes correspondence and certifications.

**M04-02: Transcripts**

*Retain 7 years.*

Transcripts of cases are removed and discarded when case is 7 years old, absent any litigation.

**M04-03: Case Study Cards**

*Retain 20 years from date of last entry.*

Contains chronology of actions. Arranged by docket classification then chronologically by date of filling.

**M04-04: Docket Books**

*Retain 2 years.*

Arranged by docket classification, then chronologically by date of filling.

**M04-05: Master Index**

*Retain 20 years.*

Arranged by docket classification, then chronologically by defendant.

**M04-06: Collective Bargaining Agreements**

*Retain until expiration of agreement. Include start and end dates of agreements.*

These are the actual paper agreements.

**M04-07: Master Schedule Book**

*Retain 2 years.*

All staff appointments arranged chronologically.

## Employment Agency Program

### M05: Division of Occupational Safety: Employment Agency Program

See the sub-schedules for specific retention information.

#### M05-01: Employment Agency License and Service Agency Registration Records

*Retain 5 years.*

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.

#### M05-02: Employment Agency License and Service Agency Registration Violation Files

*Retain 7 years.*

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.

## Independent Agencies and Public Authorities

### Center for Health Information and Analysis

#### P01: Center for Health Information and Analysis

See the sub-schedules for specific retention information.

##### P01-01: Aggregate Payer Data

*Retain 5 year.*

This series contains aggregate data submitted to CHIA under M.G.L. c. 12C, §10 by private and public health care payers, including Total Medical Expense Data, Relative Price Data, Alternative Payment information, Provider payment methods, premiums, enrollment.

##### P01-02: Ambulatory Care Reports

*Retain 10 years.*

This series also includes: Adult Day Health, Adult Foster Care, Community Health Center, and Nursing Services Cost Reports.

##### P01-03: Case Mix and Charge Data

*Retain 10 years.*

This series contains data submitted by providers to CHIA under M.G.L. c. 12, § 8, to ensure the uniform reporting of revenues, charges, costs, prices and utilization of health care services.

##### P01-04: Certified Nursing Assistants (CNA) Add-On Reports

*Retain 20 years.*

This series is made up of Reports and audits.

##### P01-05: Data Applications

*Retain 3 years after receipt by CHIA of the certificate of destruction of the data.*

This series includes all electronic and hard copy applications submitted to CHIA requesting data under M.G.L. c. 12C, § 12.

##### P01-06: Hospital Annual Financial Filings

*Retain 10 years.*

##### P01-07: Hospital Charge Books

*Retain 4 years.*

These books list the charges for hospital services.

##### P01-08: Hospital Cost Reports (report RSC403)

*Retain 10 years.*

**P01-09: Hospital Field Audit Work Papers (report RSC403)**

*Retain 10 years.*

**P01-10: Intermediate Care Facilities Cost Reports**

*Retain 10 years.*

**P01-11: Long Term Care Cost Reports**

*Retain 20 years.*

This series includes the reports HCF 1, 2, 3, 4.

**P01-12: Payer Claims Data**

*Retain 10 years.*

This series includes payer claims data, collected under M.G.L. c. 12C § 10, and maintained under § 12. This series includes claims data from public and private health care payers, including the Provider file, member data, claims files, product files and benefit plan information. CHIA maintains an All Payer Claims Database of health care claims data under M.G.L. c. 12C, § 12.

**P01-13: Public Hearing Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

This series is made up of Public Hearing Records and Business Meeting folders.

**P01-14: Registered Provider Organization Information**

*Retain 10 years.*

This series contains data submitted to CHAI by provider organizations under M.G.L. c. 12C, § 9. The series contains data submitted to both the Health Policy Commission (under M.G.L. c. 6D § 11) and CHAI for the administration of the MA-RPO Program. This series includes data necessary to analyze the financial condition, organizational structure, business practice and market share of each registered provider organization.

**P01-15: Nursing Facility Petitions**

*Retain 30 years.*

This series includes Petitions filed by nursing facilities regarding rates.

**C10-02: Consultant Contract Book**

*Retain 7 years.*

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.

**C10-03: Consultant Contract Amendments**

*Retain 7 years.*

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 Mass Highway and the Consultant of any changes to the terms of the contract.

**C10-04: Consultant Invoices**

*Retain 7 years.*

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.

**C10-05: Consultant Correspondence**

*Retain 7 years.*

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.

**C10-06: Project Correspondence (External)**

*Retain 7 years.*

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.

**C10-07: Project Correspondence (Internal)**

*Retain 7 years.*

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.

**C10-08: Project Documentation and Reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

## Department of Transportation / Highway Division

**C10: MassHighway Department**

*See the sub-schedules for specific retention information.*

**C10-01: Consultant Selection Documents**

*Retain 7 years.*

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.

**C10-09: Environmental Permits**

*Retain 7 years.*

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.

**C10-10: Public Hearing Transcript**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**C10-11: Meeting Minutes**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**C10-12: Construction Contract Awards**

*Retain 7 years.*

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.

**C10-13: Construction Proposal Book**

*Retain 7 years.*

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.

**C10-14: Surveying Services Contract Book**

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

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.

**C10-15: Payment Commodity Forms (PRC)**

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

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.

**C10-16: Daily Report of Contract Survey Party HED-121**

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

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.

**C10-17: Weekly Progress and Time Report HED-880**

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

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.

**C10-18: Application for Employment Surveyors Field Personnel form HED-007**

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

This series is a signed verification of education and experience. It provides proof of survey party members qualifications, fulfills a contract requirement.

**C10-19: Maintenance Fuel Receipts**

*Retain 5 years.*

This is a computer generated report, it is used to reference vehicle consumption by vehicle, fuel site or fuel type.

**C10-20: Radio Logs**

*Retain 7 years.*

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.

**C10-21: Roadside Maintenance Contracts**

*Retain 6 years after completion of contract.*

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.

**C10-22: Equipment-Heavy & Light Repair Orders**

*Retain 5 years.*

This series is used to initiate and document vehicle repairs. This series is composed of written vehicle repair work orders.

**C10-23: Snow & Ice PV's**

*Retain 6 years.*

This series is used to document payment for hired vendor for hours of services provided during Snow and Ice Operations.

**C10-24: Inmate Litter Assistance Information**

*Retain 7 years.*

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.

**C13-01: Customer Service Center: Customer Account Demographic & Payment Methods**

*Retain for as long as the customer account is open, and for 1 year after the account is closed.*  
Includes electronic toll collection account holder applications, name, address, telephone, email address, vehicle make/model, license plates, transponder number, account holder method and source of payments, credit card data, customer account bank information for toll payments, account history, toll discount program information

**C13-02: Customer Service Center: Customer Travel & Related Notices**

*See the sub-schedules for specific retention information.*

Toll transactions, both in-state and out-of-state; location, time, date and amount of toll that was assessed; speed, license plate data, vehicle and license plate images, number of axles on vehicle, transponder data; statements, invoices, delinquent notices, RMV/DMV marking; collections, appeal and hearing records, customer correspondence, returned mail, call center recorded calls.

**C13-02 (a): Not otherwise specified**

*Retain for 7 years except as otherwise specified.*

**C13-02 (b): Speed Data**

*Speed Data: Retain for 30 days.*

**C13-02 (c): Call center recordings**

*Call center recorded calls: Retain for 180 days.*

**C14-01: Tolling Host System Data: Transaction/Trip Data**

*See the sub-schedules for specific retention information.*

Toll data, toll zone data, vehicle speed, license plates data, axle count, vehicle class, all electronic tolling transponder data.

**C14-01 (a): Not otherwise specified**

*Electronic data: Retain for 7 years.*

**C14-01 (b): Vehicle Speed Data**

*Vehicle speed data: Retain for 30 days.*

**C14-02: Tolling Host System Data: Maintenance Data**

*Electronic data retained for the length of the contract plus 1 year.*

Includes system alerts, equipment operational status, work orders, logs.

**C14-03: Tolling Host System Data: Summary Level Transaction & Trip Data**

*Electronic data retained for 10 years.*

Includes non-personally identifiable toll traffic data including traffic volumes, vehicle classification, and applicable toll revenue.

**C14-04: Tolling Host System Data: Images of Vehicle and License Plates**

*See the sub-schedules for specific retention information.*

Images of the vehicle make and model, license plate number, license plate state of origin, registration and type of vehicle.

**C14-04 (a): Used for toll transaction**

*Electronic data retained for 7 years if license plate image is used for processing toll transaction.*

**C14-04 (b): Not used to process toll transactions**

*Electronic data retained for 3 months if license plate image is not used for processing toll transaction.*

**C14-05: Tolling Host System Data: Digital Video Images**

*Electronic data retained for 180 days.*

Includes video of vehicles traveling through toll zones.

**C14-06: Tolling Host System Data: Host System/Customer Service Center File exchange**

*See the sub-schedules for specific retention information.*

Reconciliation files, agency trip files, correction files, acknowledgment files, transponder status files, hot list, related acknowledgment files.

**C14-06 (a): Tolling Host System Data: Host System/Customer Service Center File exchange**

*Electronic data retained for 1 year, with exception of hot list*

**C14-06 (b): Hot list data**

*Electronic hot list data retained for no greater than 30 days*

# Department of Transportation / Massachusetts Bay Transportation Authority

## C15: MBTA Operations Records

### C15-01: Power Operations Records

See the sub-schedules for specific retention information.

Records prepared under the conditions for operating permits for electric power transmission, subject to the jurisdiction of the Massachusetts Department of Transportation and the Massachusetts Department of Environmental Protection (DEP.) Includes safety and safety training records, environmental protection records, plant/substation operations and maintenance records, supervisory control and data acquisition (SCADA) system and asset data, regulatory correspondence and filings, and all other related records.

**C15-01 (a): Final Air Quality Operating Permit; air emissions data reports; pollution prevention and incident reports, summary air emissions monitoring and testing data reports; any monitoring or maintenance data not specified elsewhere.**

*Permanent.*

**C15-01 (b): Monitoring and maintenance data – plant/substation incident reports and logbooks; asbestos-related documentation of circuit breaker insulation.**

*Retain for life or ownership of unit or facility, then transfer to Archives and/or to successor owner as appropriate.*

**C15-01 (c): Monitoring and asset maintenance data – routine equipment failure and repair replacement reports, station and system generation reports.**

*Retain for 25 years.*

**C15-01 (d): Annual compliance certification packages and quarterly compliance reports.**

*Retain 5 years or until re-permitting process is complete.*

**C15-01 (e): AC breaker survey and maintenance sheets; bi-weekly control battery survey sheets; spill control site visit logs.**

*Retain for 3 years.*

**C15-01 (f): Lockout/Tagout (LOTO) inspection reports and data; daily shift power maintenance truck and van inspection records; hot work permit forms, letters and checklists; power dispatch logs.**

*Retain for 1 year.*

**C15-01 (g): Air emissions permit plan approvals, unit registrations, supporting application packages and documentation of any unit's substantial reconstruction or alteration; MA DEP source registration emission statements and supporting documentation**

*Retain for 1 year.*

### C15-02: Rail Operations Records

See the sub-schedules for specific retention information.

**C15-02 (a): Hazard, incident, or accident notifications to MA DPU and the FTA; investigation checklists and supporting documentation for submittals, including Corrective Action Plan (CAP) progress reports.**

*Permanent.*

**C15-02 (b): MA DPU annual safety plan submittals, triennial audit notices, routine safety and related CAP progress reports and supporting documentation submitted to MA DPU and/or the FTA.**

*Permanent.*

**C15-02 (c): Vehicle maintenance and station defect database records, including work orders and other related asset data.**

*Retain for ownership or life of vehicle and/or until asset is disposed.*

**C15-02 (d): Operations Control Center system log data and scheduling database records.**

*Retain until system update or upgrade/data migration has occurred.*

**C15-02 (e): Geometry and other track inspections records, data, and reports; rolling stock periodic mileage and preventative maintenance inspection records, maintenance-service vehicle inspection records, day and night task orders**

*Retain until closure of any related findings from relevant oversight review periods.*

**C15-02 (f): Rolling stock daily pre-trip inspection, maintenance of way and right of way checklists and work inspection logs; daily car house circle checks documentation and yard movement forms or data.**

*Retain one year.*

**C15-02 (g): All other records**

*Retain until administrative use ceases.*

### C15-03: Bus Operations Records

See the sub-schedules for specific retention information.

**C15-03 (a): Hazard, incident, or accident notifications to MA DPU/DOT and the FTA; investigation checklists and supporting documentation for submitted reports; triennial audit notices, routine CAP progress reports and supporting documentation**

*Permanent.*

**C15-03 (b): Rolling stock vehicle maintenance and condition data including that held in asset management databases**

*Retain six months after life or ownership of vehicle ends, whichever occurs sooner.*

**C15-03 (c): Dispatch logs records and scheduling data**

*Retain until superseded or system upgrade/update.*

**C15-03 (d): Rolling stock and service vehicle periodic mileage and preventative maintenance inspection records; day and night task orders and work logs.**  
*Retain until closure of any related findings from relevant triennial audit period.*

**C15-03 (e): Busway, bus stops, and bus berths maintenance and asset data**  
*Retain for life or ownership of asset.*

**C15-03 (f): Rolling stock daily circle checklists and cleaning logs.**  
*Retain one year.*

**C15-03 (g): All other records**  
*Retain until administrative use ceases.*

## Department of Transportation / Registry of Motor Vehicles

### C11: Motor Vehicles

*See the sub-schedules for specific retention information.*

#### C11-01: Motor Vehicle Operators Merit Rating Records

*Retain 50 years.*

Documents operator's record of driving infractions affecting status of license as determined by the courts and the merit rating board.

#### C11-02: Motor Vehicle Driver License Exams

*Retain 1 year or until administrative use ceases.*

Documents exams given to licensed drivers.

#### C11-03: Motor Vehicle Accident Investigation Records

*See the sub-schedules for specific retention information.*

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.

##### C11-03 (a): Fatalities

*Retain permanently; state agency records eligible for transfer to Mass Archives*

##### C11-03 (b): Hit and run and personal injury

*Retain 6 years after close of case.*

##### C11-03 (c): All other records

*Retain 3 years.*

#### C11-04: Motor Vehicle Title Registration and Renewal Records

*Retain 25 years.*

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.

**C11-05: Uniform Traffic Citations Records**  
*Retain 3 years after paid.*  
Documents the issuance of traffic tickets.

**C11-06: Motor Vehicle Accident Reports**  
*See the sub-schedules for specific retention information.*  
Consists of Police Accident Reports (CRA-65) and Operator Accident Reports (CRA-23).

**C11-06 (a): Registry of Motor Vehicles copy**  
*Retain 6 years.*

**C11-06 (b): Police Departments copy**  
*Retain 6 years.*

**C11-07: Motor Vehicle Operators Licensing and ID Card Records**  
*Retain 25 years.*

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.

#### C11-08: Motor Vehicle Inspection Stations Records

*See the sub-schedules for specific retention information.*

Documents the inspection of vehicles to meet environmental and safety standards.

**C11-08 (a): Program Annual reports to the EPA**  
*Retain 5 years.*

**C11-08 (b): Test results**  
*Retain 3 years.*

#### C11-09: Motor Vehicle License Plate Applications Records

*Retain 25 years.*

Documents applications for license plates.

#### C11-10: Motor Vehicle Reports

*Retain 3 years.*

Documents stolen vehicles, license plate loss, and other reports required to be filed with the Registry of Motor Vehicles.

#### C11-11: Motor Vehicle Towing Reports

*Retain 3 years.*

Documents reports of towed vehicles.

#### C11-12: Motor Vehicle Citations, Parking Records

*Retain 3 years after final payment or incident closure.*

Documents the issuance of parking tickets.

**C11-13: Motor Vehicle Citations, Moving Violations Records**

*Retain 3 years.*

Documents moving violations involving motor vehicles that did not result in arrest.

**C11-14: Boat; Recreation Vehicle; Snow Vehicle Operator; Accident Reports**

*See the sub-schedules for specific retention information.*

Consists of Operator Accident Reports.

**C11-14 (a): Fatalities**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C11-14 (b): All other reports**

*Retain 6 years.*

**C11-15: Boat; Recreation Vehicle; Snow Vehicle; Accident Investigation Records**

*See the sub-schedules for specific retention information.*

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.

**C11-15 (a): Fatalities**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**C11-15 (b): All other records**

*Retain 6 years.*

**C11-16: Registry of Motor Vehicles (Revenue Operations) Revenue Reports**

*1 year after audit or 7 years whichever is sooner.*

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.

**C11-17: Registry of Motor Vehicles (Revenue Operations) Bad Check Information**

*Retain 7 years.*

These are the reports and supporting documentation for bad checks. These documents include: bad checks, alars system printout, supporting documentation, and customer correspondence.

**C11-18: Registry of Motor Vehicles (Revenue Operations) Deposit Information**

*Retain 1 year after audit or 7 years whichever is sooner.*

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.

**C11-19: Registry of Motor Vehicles (Revenue Operations) Rebate Documentation**

*Retain 7 years.*

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.

**C11-20: Random Drug Testing for Motor Vehicle and Boat Operators**

*Retain until no longer used or needed; permission not needed for destruction*

Random drug tests mandated for marine operators and CDL drivers.

## **Department of Transportation / Registry of Motor Vehicles - Revenue Operations**

### **C12: Registry of Motor Vehicles Revenue Operations**

*See the sub-schedules for specific retention information.*

#### **Revenue Reports**

*See the sub-schedules for specific retention information.*

##### **C12-01: Drawer Date Activity Report**

*Retain 1 year after audit or 7 years whichever is sooner.*

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.

##### **C12-02: Drawer Date Activity Report on Microfiche**

*Retain 1 year after audit or 7 years whichever is sooner.*

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.

##### **C12-03: Sales tax Report**

*Retain 1 year after audit or 7 years whichever is sooner.*

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.

##### **C12-04: Daily Over/Short Report**

*Retain 1 year after audit or 7 years whichever is sooner.*

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.

**C12-05: Failed Cash Report**

*Retain 1 year after audit or 7 years whichever is sooner.*

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.

**C12-06: Interims Purged Report**

*Retain 1 year after audit or 7 years whichever is sooner.*

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).

**C12-07: Daily Deposit Listing**

*Retain 1 year after audit or 7 years whichever is sooner.*

Lists daily deposits by RMV Branch for Registry fees, Sales Tax and Inspection Sticker fees. Report provides deposit information for all offices.

**C12-08: Override Reports**

*Retain 1 year after audit or 7 years whichever is sooner.*

Lists all overrides performed for each day. Report is used to review clerical overrides and ensure unauthorized overrides are not performed.

**C12-09: CPR Report**

*Retain 1 year after audit or 7 years whichever is sooner.*

Lists clerk cash drawers that are re-opened. Provides audit tool to control and monitor the re-opening of clerk cash drawers.

**C12-10: Drawer Delete Report**

*Retain 1 year after audit or 7 years whichever is sooner.*

Lists clerk deposit data when purged from RMV System (ALARS). Provides information in hard copy form when unavailable on RMV System (ALARS).

**Bad Check Information**

*See the sub-schedules for specific retention information.*

**C12-11: Outstanding Bad Checks**

*Retain 7 years.*

Checks maintained to pursue reimbursement.

**C12-12: RMV System Printouts of Bad Checks**

*Retain 7 years.*

Printouts confirm entry of bad checks on RMV ALARS System.

**C12-13: RMV System Printouts of Bad Check Payments and Supporting Documents**

*Retain 7 years.*

Printouts confirm entry of bad check payments on RMV ALARS System and document substantiating payment entry.

**C12-14: Correspondence with Customers**

*Retain 7 years.*

Maintained for justification of status of bad checks.

**C12-15: Correspondence between RMV Offices Relating to Bad Checks**

*Retain 7 years.*

Correspondence for proper bad check status and suspension status on ALARS. SYSM used between offices.

**Deposit Related Documents**

*See the sub-schedules for specific retention information.*

**C12-16: RMV Computer System (ALARS) Documents**

*Retain 1 year after audit or 7 years whichever is sooner.*

CPE: office deposit information; CIZ: clerks' daily deposit information; and CPC: clerk cash drawer closing. These documents display deposit information that supports totals on deposit slips.

**C12-17: Deposit Slips and MPCA10 Attachment**

*Retain 1 year after audit or 7 years whichever is sooner.*

Forms prepared for deposits. Receipt copies are maintained.

**C12-18: Cash Transfer Log**

*Retain 1 year after audit or 7 years whichever is sooner.*

Log documents transfer of RMV funds between employees when clerks close-out.

**C12-19: Monthly Bank Deposit Log**

*Retain 1 year after audit or 7 years whichever is sooner.*

Log documents transfer of funds to Law Enforcement personnel.

**C12-20: Locking Cash Bag Logs**

*Retain 1 year after audit or 7 years whichever is sooner.*

Log documents transfer of funds between RMV employees during the day.

**C12-21: Override Log**

*Retain 1 year after audit or 7 years whichever is sooner.*

Log documents clerks' overrides of RMV System calculated fees.

**C12-22: Back-up Activity Sheets**

*Retain 1 year after audit or 7 years whichever is sooner.*

Sheets document transactions processed manually when RMV System is unavailable.

**C12-23: Letters of Notification**

*Retain 1 year after audit or 7 years whichever is sooner.*

Letters used to inform Boston Cashier's Office of certain clerical shortages.

**C12-24: Monthly Over/Short Report Used by Managers**

*Retain 1 year after audit or 7 years whichever is sooner.*

Report used to evaluate clerks' cash handling performance.

**C12-25: Clerical Over/Short Acknowledgment**

*Retain 1 year after audit or 7 years whichever is sooner.*

Documentation necessary for clerical discipline if required to correct clerical cash handling problems.

**C12-26: Clerk Over/Short Justification Form**

*Retain 1 year after audit or 7 years whichever is sooner.*

Used to inform the Boston Cashier's Office of justified clerical cash variances.

**C12-27: Sweda Register Tapes for years 1985-86**

*Retain 3 years.*

These tapes are no longer generated. Used as a register tape to record transaction amounts and generate a total.

**C12-28: Daily Revenue Sheets**

*Retain 1 year after audit or 7 years whichever is sooner.*

Sheets used for entry of revenues listed by RMV Branch.

**C12-29: Revenue Account Bank Statements (approximately 80 accounts)**

*Retain 1 year after audit or 7 years whichever is sooner.*

Bank statements and reconciliations.

**Rebate and Refund Documents**

See the sub-schedules for specific retention information.

**C12-30: Customer Refund Requests for Duplicate Payments 1986**

*Retain 7 years.*

These requests of approximately 400 were not honored due to a lack of supporting documentation.

**C12-31: Customer Correspondence**

*Retain 7 years.*

Correspondence for rebates and exceptions.

**C12-32: Customer Rebate/Refund Requests Denied**

*Retain 7 years.*

Requests from parties who were ineligible for a rebate or refund.

**C12-33: Rebates or Refunds Processed**

*Retain 7 years.*

Rebate/refund applications and supporting documents of refund/rebates processed.

**C12-34: Funding Request Books for 1985-86**

*Retain 7 years.*

Books list all rebates/refunds included on report whose rebate/refunds were approved for payment by the Comptrollers Office.

**C12-35: Cashed Rebate/Refund Checks**

*Retain 7 years.*

Checks filed by check number. These are cashed checks issued to customers.

**C12-36: Bank Statements**

*Retain 7 years.*

Bank statements reconciled and filed for Rebate/Refund Account.

**C12-37: Reports of Transactions Processed Through RMV Optical Scanning**

*Retain 7 years.*

Reports needed to confirm eligibility of rebate/refund requests and payments made.

**C12-38: Unused Checks of Obsolete Rebate/Refund Bank Account**

*Retain 1 year after audit or 7 years whichever is sooner.*

Checking account closed – checks must be destroyed.

**C12-39: Funding Reports for Automatic Rebates**

*Retain 7 years.*

Funding reports show approval of funding by Comptroller's Office for a list of refunds or rebates automatically produced by RMV ALARS System.

**C12-40: Cross Reference Check Register**

*Retain 7 years.*

Report shows physical check number and logical number assigned to the list of refunds/rebates being processed.

**C12-41: Funding Request Reports**

*Retain 7 years.*

Funding reports show approval of funding by Comptroller's Office for a list of rebates/refunds manually entered into ALARS.

## Governor's Council/Executive Council

### B10: Governor's Council/Executive Council

#### B10-01: Commutation Files - Granted

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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

#### B10-02: Commutation Files - Denied

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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

#### B10-03: Commutation File Index

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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

#### B10-04: Pardons

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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

#### B10-05: Veterans' Appeal Case Files

*Retain 6 years after resolution.*

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

#### B10-06: Rendition Files

*Retain 20 years.*

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. M.G.L. c. 279, §§ 11-20R.

#### B10-07: Rendition Index

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Stored alphabetical by name.

#### B10-08: Judge and Clerk Files

*Retain 10 years.*

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

## Health Policy Commission - Office of Patient Protection

### K12: Health Policy Commission - Office of Patient Protection

#### K12-01: Consumer Health Insurance Inquiries and Other Inquiries to OPP

*Retain 2 years after the consumer contacted Office of Patient Protection (OPP)*

This series documents inquiries filed by consumers regarding health plan appeals, questions about enrollment waivers, other questions about health insurance, other questions about health care issues, and related matters. Includes records of phone calls, letters, facsimiles, emails, copies of bills, medical records, referrals to other agencies or organizations and related documents.

#### K12-02: Enrollment Waiver Requests

*Retain 2 years after date of the letter from OPP responding to the request for a waiver.*

Applications and supporting documents submitted by consumers seeking a waiver of certain insurance enrollment restrictions under Chapter 176J of the General Laws, and related OPP correspondence. Documents contain information that identifies the applicant, and the applicant's contact information.

#### K12-03: External Reviews

*Retain 4 years after date of the external review decision or the date of the letter from OPP deeming the request ineligible.*

Documents related to the health insurance appeals filed by consumers under Chapter 176O of the General Laws. 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, and related OPP correspondence.

#### K12-04: Health Plan Inspections

*See the sub-schedules for specific retention information.*

Pursuant to C.M.R. c. 958, § 3.200 and C.M.R. c. 958, § 3.303, OPP periodically conducts random on-site inspections of health plan grievance and internal inquiry files.

##### K12-04 (a): OPP Check list and supporting documentation

*Retain 1 year after date of on-site inspection.*

##### K12-04 (b): Summary letters and health plan corrective action plans

*Retain 5 years after date of last activity.*

#### K12-05: Insurance Carrier Reports to OPP

*Retain 2 years after the report is received by OPP.*

Pursuant to 958 CMR 3.600, insurance carriers must file annual reports with OPP regarding their grievances and appeals during the prior year, and other information required by regulation. Information from the insurance carrier reports is compiled into publicly available reports issued by OPP.

## Libraries and Library Systems

### G11: Library/Archives

#### G11-06: State Publication Listing

*Retain 2 copies permanently in the State Library collection.*

Consists of a listing of state publications received by the State Library, published quarterly with an annual compilation.

#### G11-07: Librarian Certification Records

*Retain 75 years.*

Documents the certification of public librarians in the Commonwealth pursuant to C.M.R. c. 605, § 4; C.M.R. c. 605, § 3; M.G.L. c. 78, § 19B; M.G.L. c. 78, §§ 22-31.

#### G11-08: Reference Activity Reports and Statistics

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Periodic compilation of statistics of reference requests, researcher visits, collection use, and fees received.

#### G11-09: Library Services and Technology Act (LSTA) records

*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 7 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.*

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.

#### G11-13: Massachusetts Public Library Construction Program grant files

*Retain records for 20 years after the completion of the project, i.e. receipt of the final report, or the duration of the underlying bonds that supported the grant, whichever is longer.*

Files may include completed application forms, schematic drawings, budget documents, site plans, geotechnical and hazardous materials surveys, maps, proposed plans and schedules, statements of need, photographs, legal documents, meeting minutes, and all other documents needed to communicate the project proposal, review and implementation.

## Massachusetts Office of Victim Assistance

### B06: Attorney General

#### B06-18 (a): Grant or program summary information

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents assistance programs at the Attorney General's Office such as Victim Compensation, Victim Witness Assistance, and community-based programs such as the Safe Neighborhood Initiative. Victim Compensation records include claim information such as crime-related medical bills, lost wages information, and police reports, related correspondence, and other substantive support materials. Victim Witness Assistance records include case notes, resource information, correspondence, and other substantive support materials related to victims and witnesses on Attorney General cases. Community-based program records include investigative and research materials, resource information, related correspondence, and other substantive support materials.

## Massachusetts Port Authority

### N01: Aviation Operations Administration Records

*See the sub-schedules for specific retention information.*

#### N01-01: Daily Operational Reports

*Retain 6 years.*

Documents the report of unusual occurrences at Logan Airport. The staff uses this report for informational reference.

#### N01-02: Tenant Alterations Files

*Retain 6 years.*

Documents the operational division comments, applications and correspondence on tenant construction projects relating to Aviation facilities.

#### N01-03: Daily Operations Reports

*Retain 6 years.*

Documents the daily incidents reported at the airport, including logs, morning reports, and daily operations checklist used for reference and backup.

#### N01-04: Incident Reports

*Retain 5 years.*

Included in these reports are, aircraft incident and bomb threat and other security incident reports occurring at Logan Airport.

#### N01-05: Violations

*Retain 5 years.*

Documents and records the violations of Airport Rules and regulations. This form is used when anyone on the ramp violates airport rules and regulations.

**N01-06: Accident Reports**

*Retain 5 years.*

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.

**N01-07: Supervisor Terminal Reports**

*Retain 5 years.*

Documents concession checks of tenant space in the airport. This form is also used for, reports on violations of rules by the tenants.

**N01-08: Violations File**

*Retain 2 years.*

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.

**N02: Noise Abatement Records**

*See the sub-schedules for specific retention information.*

**N02-01: Sound Insulation Program**

*Active plus 10 years.*

Correspondence, application forms, homeowner agreements, warranties, & engineering reports relative to the soundproofing program.

**N03: Aviation Planning and Construction Records**

*See the sub-schedules for specific retention information.*

**N03-01: Tenant Alteration Applications**

*Active plus 6 years.*

Record of approved and disapproved TAA's for reference purposes.

**N03-02: Tenant Application Log Book**

*Active plus 6 years.*

This record is a logbook of approved and disapproved TAA's.

**N03-03: TAA Drawings**

*Active plus 6 years.*

Tenant alteration application blueprints & plans for reference purposes.

**N03-04: Drawings Other**

*Active plus 6 years.*

Drawings of existing conditions and planning studies for reference purposes.

**N04: Public Information Records**

*See the sub-schedules for specific retention information.*

**N04-01: Interpreter Program**

*Retain 3 years.*

Documents the general information on the interpreter program, including foreign language translations, interviews & personnel records. These records are used for reference purposes.

**N04-02: Daily Logs**

*Retain 3 years.*

These logs include, Reports of Public Service representatives on terminal activity. Included in this series are copies of Terminal Supervisor's Reports.

**N04-03: Public Information Agents Files**

*Retain 3 years.*

General information. This series includes forms pertaining to the job: trade forms, lunch breaks etc. This series is held for reference.

**N04-04: Public Information Service Reports Files**

*Retain 3 years.*

Daily report includes job descriptions, policies, procedures, and meetings attended. This series is kept for reference.

**N04-05: Airlines Files**

*Retain 2 years.*

Current information on airlines, included in this series are roving logs. This series is used for reference.

**N05: Parking Facilities Records**

*See the sub-schedules for specific retention information.*

**N05-01: Inventories**

*Retain 2 years.*

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.

**N05-02: Log Books**

*Retain 2 years.*

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.

## **N06: Transportation Records**

See the sub-schedules for specific retention information.

### **N06-01: Contract Files**

*Active plus 7 years.*

Documents contracts for MASSport Shuttle Bus Service, Logan Express Services for Framingham and Braintree, and consultant contracts. These files are used for reference.

### **N06-02: Department Correspondence Files**

*Retain 2 years.*

Correspondence and general ground transportation related files used on a regular basis for reference.

## **N07: Utilities Management Records**

See the sub-schedules for specific retention information.

### **N07-01: Meter Readings File**

*Retain 6 years.*

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.

### **N07-02: Meter Records Log Books**

*Retain 6 years.*

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.

### **N07-03: Utility Account Log Books**

*Retain 6 years.*

These logbooks contain a Record of all consumption and payment, for all utilities/energy purchased by MASS Port.

### **N07-04: System Account Log Books**

*Retain 6 years.*

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.

### **N07-05: Utility Account Computer Input**

*Retain 6 years.*

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.

### **N07-06: Utility Account Usage Report**

*Audit plus 1 year.*

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.

### **N07-07: Budgetary Unit Usage Report**

*Retain 3 years.*

A monthly Report listing: each budgetary unit, the utility accounts with associated usage, and the cost charged in the current month.

### **N07-08: Energy Use Reports**

*Retain 3 years*

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.

### **N07-09: Budgetary History (Fiscal year End)**

*Retain 3 years.*

A report listing: monthly actual, and budget utility consumption, and costs for each budgetary unit. Retain only period #12 copy (entire fiscal year).

### **N07-10: Utility Accounts/Budget Unit Master Files**

*Retain 6 years.*

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.

### **N07-11: Tenant Utility Report**

*Audit plus 1 year.*

Monthly report listing the identical meter readings, rates, consumption, and costs that appears on each tenant's utility reports.

### **N07-12: Utility G/L Journal Report**

*Retain until no longer used or needed; permission not needed for destruction*

This is a monthly Report listing the monthly utility charges for each budgetary unit/location.

### **N07-13: Utility Systems Accounts**

*Retain 2 years in office and 4 years off site.*

Revisions to utility account logbooks, utility account billings, metering drawings, rate changes.

### **N07-14: Department Subject Files**

*Retain 2 years in office.*

Tenant/Contractor utility problems, meter maintenance reports, purchase requisitions, etc.

### **N07-15: Utilities Budget**

*Retain until no longer used or needed; permission not needed for destruction*

Record of Calculations, unit costs, and memoranda used to generate the MASSport utilities budget each fiscal year.

## **N08: Aviation Marketing Records**

*See the sub-schedules for specific retention information.*

### **N08-01: Concession Monitoring Files**

*Retain 2 years in office, 3 years off-site storage.*

Inspection reports, correspondence, memos, forms, and other information used to monitor concessions.

### **N08-02: Trade Show Files**

*Retain 5 years.*

Application forms, correspondence, fax, memos, and other reference material on the shows.

## **N09: Private Carrier Records**

*See the sub-schedules for specific retention information.*

### **N09-01: Ground Transportation Files**

*Retain until no longer used or needed; permission not needed for destruction*

These files document all reference information on contract, amendments, permits, license, insurance, and all correspondence pertaining to private carrier.

### **N09-02: Monthly Revenue Forms**

*Retain until no longer used or needed; permission not needed for destruction*

These are documents that track monthly trips by private carrier for accounting purposes.

## **N10: Ground Transportation Records**

*See the sub-schedules for specific retention information.*

### **N10-01: Daily Reports**

*Retain 2 years.*

Planning reports of transportation services to and from Logan airport. These reports include MBTA counts, and limousine and taxi statistics.

### **N10-02: Taxi Pool Ticket Log**

*Retain 2 years.*

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.

### **N10-03: Personnel Files**

*Kept in office while employee is active, then they are forwarded to human resources.*

These files are convenience copies of all correspondence and reports relating to current employees.

### **N10-04: Ground Transportation Agreements**

*Active plus 7 years.*

Documents the agreements for ground transportation operating services at Logan Airport. These files are used to track operations.

## **N11: Parking Revenue Audit Records**

*See the sub-schedules for specific retention information.*

### **N11-01: Check Information**

*Retain 2 years.*

Mailing address and car registration of patron whose parking fees were paid by check in order to verify funds.

### **N11-02: Lost Ticket Vouchers**

*Retain 3 years.*

These vouchers contain information on airport patrons who have misplaced their parking tickets in order to verify refunds.

### **N11-03: Parking Fee Reports**

*Audit plus 1 year.*

Information on patrons with partial and insufficient funds, as well as paid parking fees. These reports are generated in order to collect outstanding monies.

### **N11-04: Inventories**

*Retain 2 years.*

This record documents the daily recordings and comparison of vehicles entering and exiting the parking facilities. These inventories are used to determine monthly statistics.

### **N11-05: Shuttle Buses and Taxi Pool**

*Retain 1 year.*

Deposit summaries and related statistics for Logan, Braintree, Framingham, and etc. to keep track of tickets.

### **N11-06: Audit Problems**

*Retain 2 years.*

These files document variance between monies recorded on cashier's reports and monies deposited in the bank in order to reconcile reports.

### **N11-07: Cashier's Daily Work (Database)**

*Retain 1 year after audit.*

Daily recordings of cashier's work shifts, lane and revenue collected for reconciliation of cashier's operations.

### **N11-08: Parking Tickets**

*Retain 1 year.*

These records document airport patron parking tickets from all airport-parking facilities. These tickets are used for a record of activity.

### **N11-09: Void Tickets**

*Retain 6 years.*

Complimentary tickets issued to MPA officials, employees, facilities and maintenance workers, technicians, and contractors.

**N11-10: Credit Card receipts**

*Retain 1 year in the office, 5 years off-site.*

All credit card receipts from parking patrons at Logan Airport, Braintree, Framingham, and Woburn.

**N12: Hanscom Field Records**

*See the sub-schedules for specific retention information.*

**N12-01: Inspections Files**

*Retain 4 years.*

These files include, T-hanger and fuel farm inspections, also hydrant flow tests in order to note any deficiencies.

**N12-02: Nighttime Field Use Records**

*Retain 2 years.*

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.

**N12-03: Noise Complaints File**

*Retain 5 years.*

Copies of responses prepared for residents who have complained about aircraft noise in the Hanscom Field area. These copies are kept for reference purposes.

**N12-04: Noise Monitoring Procedures**

*Retain 5 years in office.*

This series contains letters, and memos generated while getting permission to install monitors. These documents are used for reference purposes.

**N12-05: Noise Rule Proceedings**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

This file is documentation of noise rule and regulation development.

**N12-06: Noise and Operations Data**

*Retain 6 years in office.*

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.

**N12-07: Tenant Files**

*Active plus 6 years.*

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.

**N12-08: Hanscom Manifests**

*Retain 6 years then microfilm.*

These manifests are reports on hazardous waste generated at and removed from Hanscom. These manifests also identify off-site disposal facilities.

**N12-09: Hanscom Access Stickers**

*Retain 2 years.*

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.

**N12-10: Snow Removal Summaries**

*Retain 2 years.*

These files are a record of snow removal expenses. These files are used for reference.

**N12-11: Ramp Permit Files**

*Retain 2 years.*

These files contain vehicle information used to record ramp stickers. These files are used for reference purposes.

**N12-12: Notams File**

*Retain 5 years.*

This file contains notices to airmen on the condition of the field. This file is used for reference.

**N12-13: Maintenance Files**

*Retain 5 years.*

These are reports of weekly maintenance duties performed at the Airport. These files are used for reporting and for reference.

**N12-14: Loss Control Reports**

*Retain 3 years in office.*

These Reports are used to correct insurance deficiencies. These are Reports of Loss Control at the airport.

**N12-15: Monthly Statistical Reports**

*Retain 5 years.*

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.

**N13: Maritime Administration Records**

*See the sub-schedules for specific retention information.*

**N13-01: Association Files**

*Retain 1 year.*

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.

**N13-02: Facility Files**

*Retain 2 years.*

These files are reference records relating to the Revere Facility, Army Base, Cruise Terminal, Conley Terminal, and Moran Terminal.

**N13-03: Tariff Files**

*Superseded, 3 years off-site.*

These are the Tariff charges filed as required by the Federal Maritime Commission to enforce collection of pier charges.

**N13-04: Lease Files**

*Retain until no longer used or needed; permission not needed for destruction*

These are convenience copies of lease agreements and back up for Maritime facilities.

**N13-05: Maritime Damage Claims**

*Active plus 6 years.*

These files are reports and correspondence relating to equipment and /or cargo damage at Maritime piers. These files are used for reference.

**N13-06: Capital Projects Files**

*Active plus 6 years or until administrative use ceases.*

These are copies of reference material relating to capital projects on Maritime facilities.

**N13-07: Terminal Reports/Statistics**

*Active plus 6 years.*

These are file records of pier operations, tonnage and arrivals. These files are used for reference.

**N13-08: Consultants/Contractors File**

*Destroy after office use.*

This is back-up information relating to consultant contracts and contractors work. This material is kept for reference.

**N14: Property Management Records - Fish Pier**

*See the sub-schedules for specific retention information.*

**N14-01: Contract Files**

*Active plus 7 years.*

These are small construction contracts initiated by property management. These contracts are used to track construction work performed.

**N14-02: Prospective Tenant Files**

*Retain 2 years.*

Lease applications for possible tenants. These forms are used to solicit possible tenant space.

**N14-03: Electrical Work Orders File**

*Retain 5 years.*

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.

**N14-04: Fish Pier Log Book**

*Retain 5 years.*

These are security logbooks; they are kept for reference purposes.

**N15: Maritime Operations (Unit Number 4300) Records**

*See the sub-schedules for specific retention information.*

**N15-01: Facility Files**

*Retain 8 years.*

These are subject files containing reference documentation on Maritime facilities owned and operated by MPA.

**N15-02: Personnel Files**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**N15-03: Security Files**

*Retain 3 years.*

These are files relating to MASSport Maritime Security Services Unit-Port Police (Local 810) for reference of incidents.

**N15-04: U.S. Government Files**

*Keep in office until superseded.*

These are records of U.S. rules and regulations. They are used for reference purposes.

**N15-05: Equipment Interchange Receipt/Transfer Interchange Receipt Files**

*Retain 2 years.*

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.

**N15-06: Maintenance Record Files**

*Active plus 6 years.*

These documents are records of all terminal equipment maintenance. These documents are used for reference and for monitoring purposes.

**N15-07: Inventory Records Files**

*Active plus 6 years.*

This is a computer database and backup materials. Contained in this database are terminal parts, this database is used for reference and for inventory.

**N15-08: Ship Log Files**

*Active plus 6 years.*

These files document a record of ship calls at Moran Terminal. Included in these files is billing information. These files are used for reference.

**N15-09: ILA Clerk Files (Internal Records Series Code 4300.08)**

*Active plus 6 years.*

Records documenting container activity at Conley Terminal. Includes TIR files, dock receipts, delivery orders, Plan Clerk records and related correspondence.

**N15-10: Vessel Files (Internal Records Series Code 4300.11)**

*Active plus 6 years.*

Records documenting container activity at Conley terminal. Includes planning and operational recaps and related correspondence.

**N15-11: ILA Payroll Records (Internal Records Series Code 4300.12)**

*Retain 3 years.*

Time and attendance records for ILA members. Includes timesheets, time cards and related correspondence.

**N15-12: Lay-Berth Vessel Files (Internal Records Series Code 4300.16)**

*Active plus 6 years.*

Records documenting the activity of vessels berthed at other Maritime properties. Includes lay-berth applications, operation summaries and related correspondence.

**N15-13: Injury/Incident Report Files (Internal Records Series Code 4300.17)**

*Active plus 6 years.*

Records documenting work-related accidents/incidents and injuries. Includes accident reports, claims and related correspondence.

**N15-14: ILA Personnel Files (Internal Records Series Code 4300.18)**

*Active plus 5 years.*

Records documenting the work histories of ILA members. Includes trainings, qualifications/licensing, ID documentation, drug/alcohol testing and related correspondence.

**N15-15: Environmental Files (Internal Records Series Code 4300.19)**

*Retain until no longer used or needed; permission not needed for destruction*

Convenience copies of environmental plans, policies, manifest, permits and related correspondence.

**N16: Black Falcon Cruise Terminal Records**

*See sub-schedules for specific retention periods.*

**N16-01: U.S. Government Permits**

*Active plus 3 years.*

This file contains various permits and inspections of waterfront terminals. This file is used for reference.

**N16-02: Leased Areas File**

*Active plus 7 years.*

These are records of the Conley Terminal, the Army Base, and North Jetty tenants' space.

**N16-03: Port of Boston Union File**

*Retain until no longer used or needed; permission not needed for destruction*

This file contains documents pertaining to the International Longshoreman's Association, and Local 809 MASSport Union facilities. This file is used for reference.

**N16-04: Ship Log Files**

*Active plus 6 years.*

These files contain detailed information of ships/vessels, which call at Harbor Gateway/SB facilities. These files are used for informational record keeping purposes.

**N16-05: Purchasing Files**

*Retain until no longer used or needed; permission not needed for destruction*

Copies of vendor and service contracts along with purchase orders for said products. These files are used for reference.

**N17: Maritime Sales and Marketing Records**

*See the sub-schedules for specific retention information.*

**N17-01: Steamship Lines**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**N17-02: Brochure Files**

*Retain until no longer used or needed; permission not needed for destruction*

These are brochures are from different Cruise Lines, they are used for informational purposes.

**N17-03: RRP (Recruitment and Referral Program)/Tenant Files**

*Retain 2 years.*

These files document the tenants at Logan Airport, the contact dates, applications and correspondence. These files are used for reference, and are updated regularly.

## **N18: External Affairs Records - Logan Airport**

*See the sub-schedules for specific retention information.*

### **N18-01: Emergency Procedures and Public Safety**

*Active plus 10 years.*

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.

## **N19: Government and Community Affairs Records**

*See the sub-schedules for specific retention information.*

### **N19-01: Impacted Communities Files**

*Retain 3 years.*

Documents all correspondence pertaining to impacted communities, including Charlestown, Revere, Chelsea, South and East Boston, and Winthrop. This file is used for informational purposes.

### **N19-02: Neptune Road Program Files**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

## **N20: General Accounting Records**

*See the sub-schedules for specific retention information.*

### **N20-01: Chart of Accounts**

*Audit plus 1 year.*

This file contains individual account codes, unit account or natural account number. This file was created to track functioning accounts.

### **N20-02: year End Schedule/ Work Papers**

*Retain 2 years, then microfilm.*

This file provides supporting documentation in assembling the Annual Financial Statement.

## **N21: Central Services Records**

*See the sub-schedules for specific retention information.*

### **N21-01: Repair and Use Logs**

*Retain 2 years.*

These are various logs for repair and use of equipment and services. These logs document a record of repair and use of services.

### **N21-02: Charge Back Source Documents**

*Retain 1 year in office 5 years off site.*

These are source documents such as: parking coupons, gasoline credit card slips, cleaning reports, courier services, taxicab slips, and catering requests.

### **N21-03: Real World Inventory File**

*Retain 2 years.*

This file documents the record of stockroom inventory. This file is used to charge back stock to different departments.

## **N22: Capital Accounting Records**

*See the sub-schedules for specific retention information.*

### **N22-01: Landing and Passenger Fee Reports**

*Retain 6 years.*

This is a report of landing and passenger fees to be billed to a tenant. Within this report is the landing and gate activities.

### **N22-02: Fixed Assets Register**

*1 year after audit.*

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.

### **N22-03: Fiscal year Cumulative Job Sheets**

*Active, then 6 years off-site.*

This is an account for project activities. This file contains beginning and ending balances, project and payment totals.

### **N22-04: Monthly Job Sheets**

*Audit plus 1 year.*

This is an account for project activity by fund. This account contains beginning and ending balances, and current activity.

### **N22-05: Monthly Summary Trial Balance Books**

*Retain until administrative use ceases or audit plus 1 year.*

This is a summary of general ledger accounts, used to summarize and test balance the general ledger.

### **N22-06: Project Payment Files/ Contracts under Seal**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

This file contains vouchers and supporting detail, invoices, and payment request memos.

### **N22-07: Monthly Journal Entries**

*Retain 6 years.*

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.

## **N23: Labor Relations Records**

*See the sub-schedules for specific retention information.*

### **N23-01: General Union Files**

*Retain until no longer used or needed; permission not needed for destruction*

Records supporting union dues, increases union officials status, rules/policy and contract issues.

### **N23-02: Seniority Rosters**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

## **N24: Administration and Finance Records**

*See the sub-schedules for specific retention information.*

### **N24-01: Rates and Charges Filed**

*Retain 2 years.*

These are current rates and charges for landing and parking fees at each facility. This file is used for reference and tracking purposes.

## **N25: Maritime Security Services (Unit Number 4280) Records**

*See the sub-schedules for specific retention information.*

### **N25-01: MTSA Files (Internal Records Series Code 4280.02)**

*Retain 5 years.*

MTSA security plans, supporting documentation and related correspondence for all maritime facilities.

### **N25-02: Security Badge Files (Internal Records Series Code 4280.05)**

*Retain 4 years.*

Records documenting application eligibility and issuance of Maritime security badges at all maritime facilities.

## **N26: MA Port Authority Employees' Retirement System (MPAERS)**

*See the sub-schedules for specific retention information.*

### **N26-01: Retirement Fiscal System Records**

*See the sub-schedules for specific retention information.*

Documents the administration and management of the Retirement financial system for Massachusetts Port Authority employees.

### **N26-01 (a): General Ledger and other summary reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

### **N26-01 (b): All other reports**

*Retain 6 years.*

### **N26-02: Appropriation Letters**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

This series is used to set appropriation amounts for all systems. Annual orders to appropriate sums to pay benefits. Produced annually. C. 32 s. 22c.

### **N26-03: Actuarial Valuation Reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

This series documents the demographic study of the work force. These reports are required by c.32, s 22c, 22d.

### **N26-04: Valuation Work Papers**

*5 years.*

This series includes the valuation runs, but is made up of the back-up documents used to produce valuations"

### **N26-05: Valuation Data Work Papers**

*5 years after final report.*

Analysis of data received from board to produce valuation reports.

### **N26-06: Annual Statements to PERAC**

*See the sub-schedules for specific retention information.*

Annual statements to PERAC. PERAC verifies systems books to annual statement during audit.

### **N26-06 (a): Annual Statements**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

### **N26-06 (b): Work Papers**

*Retain 6 years.*

### **N26-07: Financial Statements**

*See the sub-schedules for specific retention information.*

MPAERS Financial Statements generated at year-end. Includes financial statements and all underlying schedules used.

### **N26-07 (a): Financial Statements**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

### **N26-07 (b): Work Papers**

*Retain 6 years.*

**N26-08: year End Files**

*Retain 6 years.*

These files are used in preparation of annual report. This series includes performance reports, appraisals, and income accruals.

**N26-09: Audit Work Papers**

*Retain 6 years.*

Documents communications and writings in connection to each audit performed by an Independent Auditor, the Public Employee Retirement Administration Commission, or 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.

**N26-10: Final Audit Reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**N26-11: Investment Management Records**

*See the sub-schedules for specific retention information.*

Documents the contracting of Master Trust Custody Services, Domestic Equity Managers, International Equity managers and other investment vehicle managers, and to record and monitor the performance activity of the same, and to document trading and payments into and out of the system.

**N26-11 (a): Summary reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**N26-11 (b): All other records**

*Retain 6 years after close of contract.*

**N26-12: Manager Waiver Files**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Boards must obtain Waiver approval from each investment manager under the provisions of G. L. c. 32,s. 23 (2) (g).

**N26-13: Review of Investment Holdings**

*Retain 5 years.*

Review of system portfolio to assess compliance with law/regulation.

**N26-14: Investment Records**

*See the sub-schedules for specific retention information.*

Documents the administration and monitoring of investments for performance. Includes monthly investment reports, annual performance review reports, disclosure statements, and related records.

**N26-14 (a): Investment Reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**N26-14 (b): All other records**

*Retain 10 years.*

**N26-15: Member Contact Information Records**

*Retain throughout period of membership.*

Consists of member contact information. Includes address, phone, and email address information.

**N26-16: Prior Service Buyback Information**

*Retain 6 years after final payment or 75 years after date of retirement.*

Documents individual member work histories for the purposes of calculating prior service buybacks. Includes transaction sheets, quarterly payment reports, appointment and change forms, related correspondence. 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.

**N26-17: Member Retirement, Disability, and Benefits Case Files**

*Retain 6 years after final payment or 75 years from date of retirement.*

Includes enrollment and beneficiary designation forms, retirement applications, salary information, beneficiary options form, birth certificate, medical records, change of beneficiary forms, death certificates, buyback and creditable service time documentation, refund and rollover documentation, superannuation documentation, federal tax forms, and related correspondence.

**N26-18: Approval Letters**

*Retain 6 years after final payment or 75 years from date of retirement.*

These are letters sent to boards by PERAC with calculation approvals to determine benefits. This series includes worksheets, pro-ration letters and calculations.

**N26-19: Tax Filing Documents**

*Retain 6 years.*

Documents retiree earnings for tax reporting purposes. Includes 1099R and W2 forms as well as forms 941 and 945.

**N26-20: Annual Affidavits and Death Audit Records**

*Retain 5 years.*

MPAERS Affidavit, issued annually to all benefit recipients pursuant to 840 CMR 15.01. The Affidavit documents the eligibility of retired members or their named beneficiaries to continue receiving a retirement allowance or survivor's allowance. In the affidavit, the benefit recipient is required to attest to his/her name address, certification that he/she is currently living, etc. Includes weekly death audit reports and related correspondence.

**N26-21: 3(8)(C) Reimbursement Letters - Receivables**

*Retain 6 years after final payment or 75 years from date of retirement.*

This series documents letters to boards notifying them of their pro-rated share of pension benefits due the MPAERS Retirement System.

**N26-22: 3(8)(c) Reimbursement Letters - Payables**

*Retain 75 years from first payment to other retirement system.*

This series documents notifications to the MPAERS of their pro-rated share of pension benefits due other retirement systems.

**N26-23: Supplementary Schedules**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

This series is a listing of supplementary schedules of member accounts in the retirement system. Retirement boards are annually required to file supplementary schedules with PERAC.

## Office of Campaign and Political Finance

**B11: Office of Campaign and Political Finance****B11-01: Candidate Public Financing Request Records**

*Retain 6 years.*

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

**B11-02: Non-Statewide Office Candidate Finance Disclosure Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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

**B11-03: Statewide Office Candidate Financial Filings**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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 ad reports of general and fundraising contributions, and related correspondence.

**B11-04: Referendum Committee Financial Filings**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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

**B11-05: Ward and Town Committee Files**

*Retain 6 years.*

Files containing Campaign Finance Reports, which include summary and detailed accounts of receipts and expenditures, and correspondence. Arranged by party, then alphabetically by municipality, then by ward.

**B11-06: Contributor Ballot Question Expenditure Filings**

*Retain 6 years.*

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.

**B11-07: Ward and Town Political Party Committee Financial Filings**

*Retain 4 years.*

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

**B11-08: Political Action Committee (PAC) Financial Filings**

*Retain 6 years.*

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

**B11-09: PAC Cross Check**

*Retain 6 years*

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

**B11-10: Inspection Requests**

*Retain 2 years.*

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

**B11-11: Audit Work Papers and Correspondence**

*Retain 6 years after audit.*

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

**B11-12: Campaign Finance Monitoring and Investigation Records**

*Retain 20 years.*

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.

**B11-13: Non-Filer Referrals to Attorney General**

*Retain 6 years.*

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.

**B11-14: Late Fines and Collections**

*Retain 6 years.*

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

**B11-15: Landmark and Policy Setting Investigation Case Files**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**B11-16: Rules and Regulations Records**

*See the sub-schedules for specific retention information.*

Final accepted rules and regulations and substantive support materials; 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.

**B11-16 (a): Final**

*Retain 20 years.*

**B11-16 (b): All other records**

*Retain 3 years.*

**B11-17: Legislation Records**

*See the sub-schedules for specific retention information.*

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.

**B11-17 (a): Summary and Substantive materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B11-17 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**B11-18: Legal Opinion Records**

*Retain 20 years.*

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.

**B11-19: Legal Issues Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**B11-20: Correspondence of the Director**

*Retain 10 years.*

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

**B11-21: Public Records and Fair Information Practices Act (FIPA) Requests**

*Retain 3 years after last activity.*

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.

**B11-22: Candidate Public Financing Request Records - formerly G1-2**

*Retain 6 years.*

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

**B11-23: Corporation Campaign Contributor Financial Filings**

*Retain 6 years.*

Documents filings of corporations that contribute funds to influence the vote on questions submitted to the people. Includes report of disbursements and outstanding liabilities.

## Office of the Inspector General

### B12: Office of the Inspector General

#### B12-01: Ward Commission Investigation Files

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Includes meeting notes, audiotapes, committee deliberations, transcripts, payroll records, cancelled checks, and payment vouchers.

#### B12-02: Confidential Legislative Files

*Retain 7 years from the end of the legislative session.*

Includes reviews and recommendations on legislative bills. Includes bill and correspondence.

#### B12-03: Confidential Investigative Case Files

*Retain 10 years after case closed.*

Files include investigative notes, subpoenaed material, testimony, interview transcripts, status reports, memoranda and correspondence.

#### B12-04: Confidential Management Case Files

*Retain 10 years after case closed.*

Files include analyst's notes, reports, subpoenaed material, interview transcripts, memoranda and correspondence.

#### D05-04: Valuation Data Workpapers

*Retain 2 years after final report.*

Analysis of data received from boards to produce valuation reports.

#### D05-05: Non-Valuated Data Workpapers

*Retain 1 year or until administrative use ceases.*

Analysis of data received from boards used to update records.

#### D05-06: Pension Fraud Investigation Case Files

*Retain 10 years after close.*

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.

#### D05-07: Reimbursement Letters

*Retain 20 years.*

This series documents letters to Boards notifying them of their pro-rated share of pension benefits due the State and Teachers' Retirement Systems.

#### D05-08: Approval Letters

*Retain 20 years.*

These are letters sent to boards with calculation approvals to determine benefits. This series includes: submission forms, worksheets, pro-ration letters and calculations.

#### D05-09: Appropriation Letters

*Retain 20 years.*

This series is used to set appropriation amounts for all systems. Annual orders to appropriate sum to pay benefits. Produced annually.

#### D05-10: Local Actuarial Valuation Reports

*Retain 50 years.*

This series documents the demographic study of the work force. These reports are required by M.G.L. c.32, §§ 22c, 22d.

#### D05-11: Commonwealth's Total Pension Obligation

*Retain 80 years.*

This series includes state and teachers' valuations and it is used to create Valuation Reports as required by M.G.L. c. 32 § 21c.

#### D05-12: Data Questionnaires

*Retain 5 years.*

This series is made up of related materials to prepare appropriation letters. This series is also used in the appropriation letter process.

## Public Employee Retirement Administration Commission

### D05: Public Employee Retirement Administration Commission

#### D05-01: Financial Statements

*Retain 5 years.*

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).

#### D05-02: Data Questionnaires

*Retain 5 years.*

Related materials to prepare appropriation letters; used in the appropriation process.

#### D05-03: Valuation Workpapers

*Retain 5 years.*

Back up documents used to produce valuations; which includes valuation reports.

**D05-13: Valuation Work Papers**

*Retain 5 years.*

This series includes the valuation runs, but is made up of the back –up documents used to produce valuations.

**D05-14: Valuation Data Work Papers**

*Retain 2 years after final report.*

Analysis of data received from board to produce valuation reports.

**D05-15: Non Valuated Data Work Papers**

*Retain 1 year.*

Analysis of data received from boards used to update records.

**D05-16: Disability Unit File**

*Retain 38 years.*

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.

**D05-17: Annual Statements from Retirement Boards**

*Retain 15 years.*

Boards must submit annual statements to PERAC. PERAC verifies systems books to annual statement during audit.

**D05-18: Audit Reports of Retirement Boards**

*Retain 3 years.*

Chapter 32 requires PERAC to audit all retirement systems once every three years.

**D05-19: Audit Work Papers**

*Retain 9 years.*

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.

**D05-20: Supplementary Schedules**

*Retain 9 years.*

This series is a listing of supplementary schedules of member accounts in the retirement systems. Retirement boards are annually required to file supplementary schedules.

**D05-21: Annual Statement of Earned Income**

*Retain 10 years.*

This series is a monitoring tool used to determine the income of retirees.

**D05-22: Investigatory Files**

*Retain 10 years.*

This series are materials documenting possible criminal violations according to M.G.L. c. 32, §§ 91, 92. This series may include 91a forms, copies of tax returns, affidavits and third party records and testimony.

**D05-23: Investigative Docket/Log**

*Retain 10 years.*

This series is used to record all acts of pension fraud pursuant to M.G.L. 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.

**D05-24: Financial Statements**

*Retain 5 years.*

PERAC 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.

**D05-25: year End Files**

*Retain 5 years.*

These files are used in preparation of annual report. This series includes: performance reports, appraisals, and income accruals.

**D05-26: Revoked Waivers**

*Retain 5 years.*

Investment waivers (for investment managers of retirement boards) that have been revoked/terminated by PERAC.

**D05-27: Manager Waiver Files**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Boards must obtain Waiver approval from each investment manager under the provisions of M.G.L. c. 32, § 23(2)(g).

**D05-28: Review of Investment Holdings**

*Retain 5 years.*

Review of system portfolio to assess compliance with law/regulation.

**D05-29: Legal Opinions**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

PERAC provides legal assistance to retirement boards in the form of written opinions. This series includes, general correspondence for individual named board.

**D05-30: Disability Remand Files**

*Retain 20 years.*

Applications for accidental disability and death, and ordinary disability not approved by PERAC and remanded to Board for further proceedings. C32, s.21.

**D05-31: Certificates**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

These certificates are used to establish the system and units as part of the retirement system.

**D05-32: Litigation/Administration Files**

*Retain 10 years.*

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.

**D05-33: Judicial Litigation Files**

*Retain 10 years.*

This series contains pleadings, 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.

**D05-34: Subpoenas**

*Retain 5 years.*

This series is for Worker's Compensation records and subpoenas for PERAC records.

**D05-35: Gulf War Files**

*Retain 50 years.*

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.

**D05-36: Acceptance Letters**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

This series is for the provisions of M.G.L. c. 254 of the Acts of 1990. This is also the Boards acceptance of §§ 90G 3/4 and 90J (over age 70).

**D05-37: Legislative Comments**

*Retain 3 years.*

Comments on proposed and pending legislation.

**D05-38: Department of Industrial Accidents Correspondence**

*Retain 3 years.*

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.

**D05-39: Medical Panel Appointment Case Files**

*Retain 7 years.*

PERAC is responsible for scheduling medical panel appointments and paying physicians. This series contains completed physicians reports and invoice warrants.

**D05-40: Disability Retirement Case Files**

*Retain 10 years.*

PERAC is responsible for approving all disability retirements granted by retirement boards.

**D05-41: Supplementary Regulations**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

PERAC approves supplementary regulations governing retirement system operations.

## Office of Consumer Affairs and Business Regulations

**B07: Department of Telecommunication Records**

*See the sub-schedules for specific retention information.*

**B07-01: Division Appellate Decisions**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**B07-02: Appellate Dockets-Support Material**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**B07-03: Rate Decisions**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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).

**B07-04: Rate Regulation Proceedings-Support Material**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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).

**B07-05: Rulemaking Proceedings-Support Materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**B07-06: Rulemaking Decisions**

*Retain 30 years.*

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.

**B07-07: Form 500 Annual**

*Retain 3 years after filing.*

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.

**B07-08: Form 500 Complaint Forms**

*Retain 3 years after filing.*

(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.

**B07-09: Forms 200, 300, 400**

*Retain 3 years after filing.*

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.

**B07-10: Initial Franchise Agreements**

*Retain 16 years from date of execution.*

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

**B07-11: Renewal Franchise Agreements**

*Retain 10 years from date of execution.*

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

**B07-12: Form 100**

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

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.

**B07-13: Form 394**

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

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.

**B07-14: Filing & Termination of Service Filing**

*Retain 3 years.*

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. (C.M.R. c. 207, § 10.00).

**B07-15: Rate Cards and Channel Line-ups**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Printed Rates and service offerings.

## Office of Consumer Affairs and Business Regulations

**L11: Division of Banks Records**

*See the sub-schedules for specific retention information.*

**L11-01: New Charters and Holding Company Acquisition Records**

*See the sub-schedules for specific retention information.*

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.

**L11-01 (a): New bank and credit union charters**

*Retain 4 years.*

**L11-01 (b): Holding company acquisitions and other related transactions**

*Retain 4 years.*

**L11-02: Annual Report Submissions**

*Retain 3 years.*

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.

**L11-03: Bank and Credit Union Structure Records**

See the sub-schedules for specific retention information.

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.

**L11-03 (a): Office closures, office relocations, and new branches**

*Retain 3 years.*

**L11-03 (b): By-law changes**

*Retain 3 years.*

**L11-03 (c): Mergers, acquisitions (not holding company) and asset purchases-liability assumptions**

*Retain 3 years.*

**L11-03 (d): Conversations from state to federal charter or from federal to state charter**

*Retain 4 years.*

**L11-03 (e): All other transactions**

*Retain 3 years.*

**L11-04: Bank and Credit Union Examination Records**

See the sub-schedules for specific retention information.

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 acknowledgments, and related correspondence.

**L11-04 (a): Bank examination work papers**

*Retain 3 years.*

**L11-04 (b): All other records**

*Retain 6 years.*

**L11-05: Special Examinations Records**

See the sub-schedules for specific retention information.

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.

**L11-05 (a): Reports**

*Retain 6 years.*

**L11-05 (b): Work papers**

*Retain 3 years.*

**L11-06: Licensing Records**

See the sub-schedules for specific retention information.

Summary logs or listings of current and former licenses as well as unsuccessful applications with status cited: 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.

**L11-06 (a): Summary logs or listings of current and former licenses**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L11-06 (b): Original licenses and substantive support materials**

*Retain 3 years from decision date.*

**L11-06 (c): Routine license renewal records**

*Retain 3 years.*

**L11-06 (d): Surrendered, withdrawn, non-renewed, exempt, or denied applications**

*Retain 3 years.*

**L11-07: Licensee Examination Records**

See the sub-schedules for specific retention information.

Documents the annual examination of Division of Banks licensed entities for compliance with regulations and statutes. Includes examiners work papers and final reports.

**L11-07 (a): Licensee examination reports**

*Retain 6 years.*

**L11-07 (b): Work papers**

*Retain 3 years.*

**L11-08: Banks and Credit Unions under Regulatory Order Records**

*Retain 6 years after administrative use ceases.*

Documents banks and credit unions whose status has been suspended due to dire circumstance or crisis.

**L11-09: Liquidation Records**

*Retain 10 years or until all significant issues of the receivership have been resolved.*

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.

**L11-10: Consumer Complaint Records**

See the sub-schedules for specific retention information.

Documents consumer complaints into regulated entities business practices. Includes complaints, hearing materials and transcripts, and related correspondence.

**L11-10 (a): Routinely disposed of complaints**

Retain 3 years.

**L11-10 (b): Complaints referred to other agencies**

Retain 6 months.

**L11-10 (c): All other records**

Retain 6 years after case closes.

**L11-11: Loan Appeal Board Case Files**

Retain 3 years.

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.

**L11-12: Research Reports and Work Papers**

Retain 6 years.

Analysis is performed in support of proposed legislation and regulations, policy initiatives and responses to legislative and executive branch inquiries.

**L11-13: Commissioner's Documents**

Retain permanently; state agency records eligible for transfer to Mass Archives

Files generated by and for the bank commissioner and deputy bank commissioners.

## Office of Consumer Affairs and Business Regulations

**L12: Division of Insurance**

See the sub-schedules for specific retention information.

**L12-01: Insurance Licensing and Filings Register**

Retain permanently; state agency records eligible for transfer to Mass Archives

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.

**L12-02: Insurance Company Licensing Records**

See the sub-schedules for specific retention information.

Documents the licensing of insurance companies such as HMO's or other entities identified by the Division of Insurance, 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, mended Articles of Organization and dissolution, corporate merger documents, and related correspondence.

**L12-02 (a): Routine facilitative processing materials**

Retain 1 year.

**L12-02 (b): Denied applications**

Retain 3 years.

**L12-02 (c): Insurance Company Licensing documentation**

Retain 6 years after current licensing period ends.

**L12-03: Insurance Company Powers of Attorney Records**

Retain 6 years after inactive.

Allows an insurance company to insure an applicant for registration of a motor vehicle. Includes powers of attorney and related business transactions and correspondence.

**L12-04: Surplus Lines Company Licensing Records**

See the sub-schedules for specific retention information.

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.

**L12-04 (a): Routine facilitative processing materials and affidavits**

Retain 1 year.

**L12-04 (b): Denied applications**

Retain 3 years.

**L12-04 (c): Insurance Company Licensing documentation**

Retain 6 years after current licensing period ends.

**L12-05: Risk Retention/Purchasing Group Registration Records**

See the sub-schedules for specific retention information.

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.

**L12-05 (a): Routine facilitative processing materials**

*Retain 1 year.*

**L12-05 (b): Denied, incomplete or withdrawn applications**

*Retain 3 years.*

**L12-05 (c): Licensing case files and all other records**

*Retain 6 years after current licensing period ends.*

**L12-06: Workers Compensation Self-Insurance Group Registration Records**

*See the sub-schedules for specific retention information.*

Documents the application to form a workers' compensation self-insurance group as required by M.G.L. c. 152, § 25e-u. Includes applications, support materials such as annual statements and related correspondence.

**L12-06 (a): Routine facilitative processing materials**

*Retain 1 year.*

**L12-06 (b): Denied, incomplete or withdrawn applications**

*Retain 3 years.*

**L12-06 (c): Licensing case files and all other records**

*Retain 6 years after current licensing period ends.*

**L12-07: Business Entity Insurance Licensing Records**

*See the sub-schedules for specific retention information.*

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: 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 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.

**L12-07 (a): Batched agent appointments and other documents**

*Retain 1 year.*

**L12-07 (b): Business entity agent renewals**

*Retain 3 years.*

**L12-07 (c): Duplicate license requests**

*Retain 1 month.*

**L12-08: Individual Insurance Licensing Records**

*See the sub-schedules for specific retention information.*

Batched individual appointments, faxes, individual name changes, individual name changes, and individual termination: 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, advisors, 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.

**L12-08 (a): Batched individual appointments and other documents**

*Retain 1 year.*

**L12-08 (b): Batched individual appointment renewals**

*Retain 3 years.*

**L12-08 (c): All individual appointment renewals**

*Retain 6 years.*

**L12-08 (d): Original broker applications, original producer application and original transitional applications**

*Retain 20 years.*

**L12-08 (e): Duplicate license requests**

*Retain 1 month.*

**L12-08 (f): Motor vehicle damage appraiser original applications**

*Retain 6 years.*

**L12-09: Special Risk Broker Licensing Records-Surplus Lines**

*Retain 20 years.*

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.

**L12-10: Insurance Policy Forms and Rate Filings**

*See the sub-schedules for specific retention information.*

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.

**L12-10 (a): Approved policy documentation**

*Retain 6 years after inactive.*

**L12-10 (b): Disapproved policy materials**

*Retain 3 years.*

**L12-11: Health Insurance Policy Forms, Rates, and Statistical Filings**

*See the sub-schedules for specific retention information.*

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.

**L12-11 (a): Approved policy forms, applications, rate, statutory and regulatory filings**

*Retain 6 years.*

**L12-11 (b): Rate and statutory, regulatory, and statistical filings reporting**

*Retain 3 years.*

**L12-11 (c): Disapproved or inactive policy form; rate; statutory, regulatory and statistical filing and reporting and supporting documentation**

*Retain 3 years.*

**L12-11 (d): Individual long-term care insurance form and rate filings**

*Retain 50 years.*

**L12-12: Group Marketing Plan Record**

*See the sub-schedules for specific retention information.*

Documents the approval of group marketing plans for automobile and homeowners insurance that allows for group discounts pursuant to M.G.L. c. 175 § 193R. Includes submissions and support materials, authorizations and certifications, and related correspondence.

**L12-12 (a): Approved filing documentation**

*Retain 6 years after inactive.*

**L12-12 (b): Disapproved plan materials**

*Retain 3 years.*

**L12-13: Workers Compensation Preferred Provider Arrangement (PPA) Records**

*See the sub-schedules for specific retention information.*

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 C.M.R. c. 211 § 112. Includes arrangements and support documentation, review materials, Commissioner's approvals, arrangement monitoring documentation, and related correspondence.

**L12-13 (a): Approved arrangements documentation**

*Retain 6 years after inactive.*

**L12-13 (b): Disapproved arrangement materials**

*Retain 3 years.*

**L12-14: Consumer Insurance Education Program Records**

*See the sub-schedules for specific retention information.*

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.

**L12-14 (a): Substantive planning documentation and summary presentation materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L12-14 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**L12-15: Insurance Company Market Conduct Records**

*See the sub-schedules for specific retention information.*

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 M.G.L. c. 175, § 4.

**L12-15 (a): Market conduct reports and materials from other states but impacting Massachusetts**

*Retain 6 years.*

**L12-15 (b): All other records**

*Retain until potential for licensing has elapsed plus 6 years or 10 years after inactive, whichever period is longer.*

**L12-16: Continuing Education Course Review Records**

*Retain 3 years (The licensing period).*

Documents approval by the Commissioner of continuing education courses to be taken by producers to maintain licensure.

**L12-17: Insurance Company Fiscal Review/Audit Records**

*Retain 6 years after review closed or until next review is completed: whichever period is longer.*

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.

**L12-18: Prohibited Persons Business Application Records**

*Retain 20 years.*

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.

**L12-19: Consumer Inquiries and Complaints Records**

*See the sub-schedules for specific retention information.*

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.

**L12-19 (a): Withdrawn, non-jurisdictional or incomplete inquiries and complaints**

*Retain 6 years.*

**L12-19 (b): Routinely disposed of complaints**

*Retain 6 years.*

**L12-19 (c): Commissioner's complaint files**

*Retain 6 years.*

**L12-19 (d): All other records**

*Retain 6 years after case closure.*

**L12-20: DOI Legal Process Records**

*Retain 6 years after inactive.*

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.

**L12-21: Insurance Investigation and Enforcement Case Files**

*See the sub-schedules for specific retention information.*

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.

**L12-21 (a): Landmark or policy-setting cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L12-21 (b): All other records**

*Retain 20 years after final settlement or action.*

**L12-22: Motor Vehicle Insurance Appeal Records**

*See the sub-schedules for specific retention information.*

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.

**L12-22 (a): Case files**

*Retain 90 days from final disposition.*

**L12-22 (b): Cases appealed to the Supreme Court**

*Retain 6 years from final disposition.*

**L12-22 (c): Case logs and decision summaries**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L12-23: DOI Administrative Law Case Files**

*See the sub-schedules for specific retention information.*

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.

**L12-23 (a): Routine court procedural administration records**

*Retain until no longer used or needed; permission not needed for destruction*

**L12-23 (b): Exhibits that will not be a factor in appeals**

*Retain the record for a specified time period; review full schedule for details*

**L12-23 (c): Decisions**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L12-23 (d): Landmark or newsworthy cases that set benchmarks or precedent**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L12-23 (e): Cases involving fiscal acquisition, merger, or reorganization**

*Retain 20 years and then subject to review by the Archives.*

**L12-23 (f): Rules and regulations cases**

*Retain 20 years.*

**L12-23 (g): Rate setting cases**

*Retain 20 years.*

**L12-23 (h): All other records**

*Retain 6 years after final action or appeal.*

**L12-23 (i): Hearing proceeding tapes**

*Retain 3 years.*

**L12-24: Insurance Company Restructuring Records**

*Retain 20 years and then subject to review by the Archives.*

Documents transactions relating to the restructuring or reorganization of insurance companies necessitating review and approval by DOI such as mergers, acquisitions, re-domestications, demutualizations, 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.

**B04-05 (d): Applications where Board granted Partial Credit**

*Retain 3 years from last activity.*

**B04-05 (e): Applications for Renewal**

*Retain original or electronic copy 6 years from cash date.*

**B04-05 (f): General Correspondence including Continuing Education Audit and Questionnaire Responses**

*Retain original or electronic copy one renewal cycle.*

**B04-05 (i): Plumbing Product Approval files**

*Retain 7 years from date approval expires.*

**B04-05 (j): Plumbing and Sheet Metal Permit Inspection files**

*Retain 7 years from date of final inspection.*

**B04-05A: Professional Licensure Complaint Files**

*See the sub-schedules for specific retention information.*

Documents the investigation, prosecution and adjudication of complaints relating to licenses or individuals or companies engaged in unlicensed practice. Includes investigative intake records, staff assignments, complaints, orders to show cause, pleadings, substantive support materials, final decisions, consent agreements, and related correspondence. May also include confidential patient, financial and highly personal records and documents relating to the monitoring of licensees placed on disciplinary status.

**B04-05A (a): Dismissed Complaints**

*Retain 3 years from the date complaint docketed.*

**B04-05A (b): Closed Staff Assignments and Investigative Intake Records**

*Retain 3 years from the date of opening.*

**B04-05A (c): Closed with Discipline Complaint files**

*Retain 15 years from date complaint is docketed.*

**B04-05A (d): Non-violation Inspection forms**

*Retain until no longer used or needed; permission not needed for destruction*

**B04-05A (f): Monitoring Records of Licensees on Disciplinary Status**

*Retain until no longer used or needed; permission not needed for destruction*

**B04-07: Student Records**

*See the sub-schedules for specific retention information.*

Documents information contained in a student record from a closed private occupational school.

**B04-07 (a): Attendance Records**

*Retain 7 years.*

**B04-07 (b): Documents Referring to Leaves of Absence**

*Retain 7 years.*

**B04-07 (c): Transcripts**

*Retain 60 years.*

**B04-07 (d): Progress Reports and Student Complaints**

*Retain 7 years.*

**B04-07 (e): Externship Records**

*Retain 7 years.*

**B04-07 (f): Certificates of Completion**

*Retain 60 years.*

**B04-07 (g): Documents Reflecting Payments**

*Retain 60 years.*

Payments may be made by student or on behalf of student.

**B04-07 (h): Loan Documents**

*Retain 7 years after graduation or separation from school.*

Loan documents including disclosure forms and disbursement schedules.

**B04-07 (i): Enrollment Agreements**

*Retain 7 years after graduation or separation from school.*

## Office of Consumer Affairs and Business Regulations

**B09: Weights and Measures**

*See the sub-schedules for specific retention information.*

**B09-01: Division of Standards Records**

*See the sub-schedules for specific retention information.*

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.

**B09-01 (a): Inspection Hawkers & Peddlers, Commodities Reweighting Recs, Tank Truck Calibration, Summary Record of Field Inspections, Field Inspections & Test, Field Fuel Delivery Inspections, Field Merchant Equipment, Petroleum Delivery Inspection Records**

*Retain 1 year.*

**B09-01 (b): Records Sealing Adjustments, Meter Test Records**

*Retain 3 years.*

**B09-01 (c): Taxi Inspections**

*Retain 5 years.*

## Office of the Attorney General

**B06: Attorney General**

*See the sub-schedules for specific retention information.*

**B06-01: Attorney General Review Records**

*Retain 3 years.*

Documents the Attorney General's review of certain matters and the decisions whether or not to approve, oppose, or take any further action. Includes: Outside Legal Services contracts submitted to the Attorney General for approval, consisting of copies of contracts, substantive support materials, and related correspondence; Petitions for Reinstatement filed on behalf of disciplined attorneys sent by the Board of Bar Overseers, consisting of copies of petitions, substantive support materials, and related correspondence; Offers in Final Settlement of Taxes sent by the Department of Revenue, Taxpayer Service Division, consisting of copies of proposed agreements, substantive support materials, and related correspondence; Class Action Fairness Act (CAFA) notices sent by defendants who propose federal class action settlements, consisting of copies of settlement agreements, substantive support materials, and related correspondence.

**B06-02: Special Assistant Attorney General (SAAG) Records**

*Retain 10 years from date appointment was vacated.*

Documents the appointment of non-AGO (private or agency) attorneys by the Attorney General to serve as Special Assistant Attorneys General.

**B06-03: Attorney General Conflict of Interest Disclosures**

*Retain for term of employment.*

Documents disclosures by state employees as required by M.G.L. c. 268A.

**B06-04: Attorney General Opinion Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**B06-05: Attorney General Initiative Petition Review Records**

*See the sub-schedules for specific retention information.*

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.

**B06-05 (a): Landmark or Noteworthy Opinions**

*Contact Massachusetts Archives to review materials to determine disposition*

**B06-05 (b): All Other Records**

*Retain 6 years.*

**B06-06: General Obligation Bond Records**

*See the sub-schedules for specific retention information.*

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

**B06-06 (a): Attorney General Summaries**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B06-06 (b): All Other Records**

*Retain 6 years after last activity.*

**B06-07: Attorney General Inauguration Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**B06-08: Open Meeting Law Investigation Records**

*See the sub-schedules for specific retention information.*

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.

**B06-08 (a): Final Determination Letters, Letter Rulings, and Advisory Opinions**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B06-08 (b): All Other Records**

*Retain 3 years.*

**B06-09: Public Records Referrals from Supervisor of Public Records**

*See the sub-schedules for specific retention information.*

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.

**B06-09 (a): Final Determination Letters**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B06-09 (b): All Other Records**

*Retain 3 years.*

**B06-10: Attorney General Litigation Files**

*See the sub-schedules for specific retention information.*

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. This record series includes pre-litigation cases.

**B06-10 (a): Unprosecuted Cases**

*Retain 6 years after final action.*

**B06-10 (b): Landmark, Policy Setting or Otherwise Noteworthy Cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B06-10 (c): Criminal Cases**

*Retain 35 years after final action.*

**B06-10 (d): Medicaid, Insurance, or Unemployment Fraud Cases**

*Retain 25 years after final action.*

**B06-10 (e): Litigation involving fatalities**

*Retain 25 years after final action.*

**B06-10 (f): Civil cases**

*Retain 20 years after final action.*

**B06-10 (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.*

**B06-10 (h): Cases involving collections due to the Commonwealth**

*Retain until final settlement or the regular retention period, whichever is longer.*

**B06-10 (i): Medical Records**

*Retain until no longer used or needed; permission not needed for destruction*

**B06-11: District Attorney Case Files**

*See the sub-schedules for specific retention information.*

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.

**B06-11 (a): Landmark, policy setting or otherwise noteworthy cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B06-11 (b): First degree murder cases**

*Retain 50 years after disposition or last entry.*

**B06-11 (c): Second degree murder; Manslaughter; Negligent homicide, and Sexual offenders**

*Retain 25 years after disposition.*

**B06-11 (d): Superior Court files**

*Retain 25 years after disposition.*

**B06-11 (e): District Court files**

*Retain 4 years.*

**B06-11 (f): Jury of Six Files, Excluding motor vehicle homicide**

*Retain 4 years after disposition.*

**B06-11 (g) Disposed non-conviction files**

*Retain 1 year after disposition.*

**B06-11 (h): Youthful offender cases**

*Retain as for adults.*

**B06-11 (i): Juvenile cases beside Youthful offender cases**

*Retain 4 years after case closure.*

**B06-11 (j): Investigatory materials**

*Retain 10 years after close of investigation.*

**B06-11 (k): Medical Records**

*Retain until no longer used or needed; permission not needed for destruction*

**B06-12: Civil and Criminal Investigation Files**

*See the sub-schedules for specific retention information.*

Documents the investigation of civil and criminal complaints submitted to the Attorney General. Includes complaints or requests for investigations, investigative notes and reports, substantive support materials, and related correspondence. Also includes confidential/proprietary records received in response to Civil Investigative Demands (CIDs) issued pursuant to statute M.G.L. c. 12, § 5N, M.G.L. c. 93, § 8, and M.G.L. c. 93A, § 6.

**B06-12 (a): Investigation files**

*Retain 6 years after closure/final activity/final action.*

**B06-12 (b): Requests for which no investigation is undertaken**

*Retain 3 years.*

**B06-12 (c): Records received in response to CIDs**

*Retain until no longer used or needed; permission not needed for destruction*

**B06-13: Consumer Complaint Investigations**

*See the sub-schedules for specific retention information.*

Documents the review of consumer initiated complaints relating to business practices against businesses and entities dealing in goods or services, including merchants, insurance companies, health care providers, financial institutions, and their employees. Includes complaints, substantive support materials, and related correspondence.

**B06-13 (a): Complaint files**

*Retain 6 years.*

**B06-13 (b): Complaints for which no further action is taken**

*Retain 3 years.*

**B06-14: Non-Profit Organization and Public Charities Filings Records**

*See the sub-schedules for specific retention information.*

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, and related correspondence.

**B06-14 (a): Landmark, policy setting or otherwise noteworthy cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B06-14 (b): All other records**

*Retain 10 years.*

**B06-15: Non-Profit Organizations and Public Charities Investigation and Litigation Files**

*See the sub-schedules for specific retention information.*

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.

**B06-15 (a): Landmark, policy setting or otherwise noteworthy cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B06-15 (b): Litigation files**

*Retain 20 years after final action.*

**B06-15 (c): Investigation files**

*Retain 6 years after final action.*

**B06-16: Insurance Rate Hearings Records**

*Retain 20 years.*

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

**B06-17: Contract Bid Award Investigation Records**

*Retain 20 years.*

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

**B06-18: Victim and Community Service Records**

*See the sub-schedules for specific retention information.*

Documents assistance programs at the Attorney General's Office such as Victim Compensation, Victim Witness Assistance, and community-based programs such as the Safe Neighborhood Initiative. Victim Compensation records include claim information such as crime-related medical bills, lost wages information, and police reports, related correspondence, and other substantive support materials. Victim Witness Assistance records include case notes, resource information, correspondence, and other substantive support materials related to victims and witnesses on Attorney General cases. Community-based program records include investigative and research materials, resource information, related correspondence, and other substantive support materials.

**B06-18 (a): Grant or program summary information**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B06-18 (b): Victim Compensation files**

*Retain 50 years.*

**B06-18 (c): Victim Witness Files**

*Retain for the period of time of the associated litigation case.*

**B06-18 (d): All other records**

*Retain 3 years.*

**B06-19: Fugitive Renditions Records**

*See the sub-schedules for specific retention information.*

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

**B06-19 (a): Summary logs**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B06-19 (b): All other records**

*Retain 50 years.*

**B06-20: Usury Notices**

*Retain 10 years.*

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.

**B06-21: Notices and Reports sent to Attorney General**

*See the sub-schedules for specific retention information.*

Documents the receipt of copies of notices or reports sent to the Attorney General as required by statute. Includes notices, reports, and other related information and correspondence.

Examples: "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.

**B06-21 (a): Notices and Reports**

*Retain 1 year.*

**B06-21 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**B06-22: National Association of Attorneys General (NAAG) Amicus Briefs and Sign-Ons**

*See the sub-schedules for specific retention information.*

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.

**B06-22 (a): Final copies of amicus briefs**

*Retain until no longer used or needed; permission not needed for destruction*

**B06-22 (b): All other records**

*Retain 3 years.*

**B06-23: By-Law and Charter Submissions**

*See the sub-schedules for specific retention information.*

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.

**B06-23 (a): Approval and Decision letters**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B06-23 (b): All other records**

*Retain 20 years.*

**B06-24: City Zoning Ordinances**

*Retain 3 years.*

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

**B06-25: Records provided to Attorney General for Review**

*See the sub-schedules for specific retention information.*

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.

**B06-25 (a): Records provided by other agencies, persons, or entities**

*Retain until no longer used or needed; permission not needed for destruction*

**B06-25 (b): Results of AG review and substantive support materials**

*Retain according to appropriate records series by subject matter.*

**B06-25 (c): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**B06-26: Data Breach Records**

*Retain 6 years.*

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.

**B06-27: HomeCorps Initiative Records**

*See the sub-schedules for specific retention information.*

Documents the Attorney General's implementation of the HomeCorps Initiative, which provides assistance to distressed Massachusetts homeowners/borrowers facing foreclosure. Includes: administrative and organizational materials; homeowner complaints, authorization forms, and financial and/or other documents provided by homeowners; financial and/or other documents provided by banks, mortgage servicers, and other agencies, persons, or entities; copies of

notices filed with the Attorney General as required by statute, including M.G.L. c. 244, § 35B; Attorney General intake interview sheets, notes, memoranda, and correspondence; and other related paper and electronic records.

**B06-27 (a): Grant or program summary information**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**B06-27 (b): Homeowner files**

*Retain 6 years after closure/final activity/final action.*

**B06-27 (c): Copies of notices to the AG**

*Retain 6 years.*

**B06-27 (d): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

# Office of the Secretary of the Commonwealth

## Address Confidentiality Program

### G13: Address Confidentiality Program

See the sub-schedules for specific retention information.

#### G13-01: Program Participant Applications

See the sub-schedules for specific retention information.

Includes current, canceled/withdrawn, denied Program Participant Applications, supporting materials and correspondence.

##### G13-01 (a): Paper records

*Retain 1 year after imaging.*

##### G13-01 (b): Imaged records

*Retain 5 years from canceled/withdrawal/denial.*

#### G13-02: Miscellaneous Records

*Retain 1 year.*

Intakes; call logs; phone messages; logs of checks; registered and legal mail.

#### G13-03: Application Assistant Files

See the sub-schedules for specific retention information.

##### G13-03 (a): Paper records

*Retain until imaged.*

##### G13-03 (b): Imaged records

*Retain 1 year from cancellation/expiration.*

#### G13-04: Database of Application Assistants

*Retain 25 years. Information pertaining to a canceled or expired Application Assistant is removed 1 year from cancellation/expiration.*

#### G13-05: Training Calendars

*Retain 1 year.*

## Archives Division

### G11: Library/Archives

See the sub-schedules for specific retention information.

#### G11-01: Library and Archives Accession Log

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents the acceptance of materials into libraries, archives, or special collections.

#### G11-02: Archives and Records Center Vault Records

*Retain 3 years.*

Documents the monitoring of records storage areas for security purposes. Includes security logs and environmental data sheets.

#### G11-03: Library and Archives Reference Requests

See the sub-schedules for specific retention information.

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.

#### G11-03 (a): Archival collections request forms

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### G11-03 (b): Payment information

*Retain 3 years.*

#### G11-03 (c): All other records

*Retain until no longer used or needed; permission not needed for destruction*

#### G11-04: Library and Archives Call Slips

*Retain until no longer used or needed; permission not needed for destruction*

Documents in-house movement of materials from shelves.

#### G11-05: Archives Researcher Registers

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents the registration of researchers to the Massachusetts Archives or other agency facility for identification, security and statistical purposes.

## Corporations Division

### G06: Corporations and Business

See the sub-schedules for specific retention information.

#### G06-01: Corporations Service of Process Records

*Retain 3 years.*

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.

#### G06-02: Corporations and Businesses Regulation Records

*Retain 85 years after microfilming and public hearing.*

Documents the registration of corporations, foreign corporations, limited partnerships, trusts, and public charities. Includes applications, articles of organization and amendment, annual reports, change of 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.

#### G06-03: Universal Commercial Code Filings

See the sub-schedules for specific retention information.

Documents the filing with the Secretary's office of Universal Commercial Codes. Includes amendments and continuations.

##### G06-03 (a): Paper

*Retain paper copy 1 year after microfiche and verification.*

##### G06-03 (b): Microfilm

*Master: 6 years from date of filing.*

#### G06-04: Trademark Registration Filings

*Retain 20 years and subject to review by the Archives.*

Documents the registration of trademarks with the state. Includes applications, support documentation, and related correspondence.

## Corporations Division

### G12: Corporations

See the sub-schedules for specific retention information.

#### G12-01: Annual Reports of Corporations AKA Mass Conditions (Filed Pursuant to M.G.L. c. 156A, 156B, and 181)

*See the sub-schedules for specific retention information.*

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.

##### G12-01 (a): Paper copy

*Retain 6 months after microfilming and verification.*

##### G12-01 (b): Microfilm master

*Retain 10 years.*

##### G12-01 (c): Microfilm duplicate

*Retain 10 years.*

#### G12-02: Annual Reports of Non-Profit Corporations (Filed Pursuant to M.G.L. c. 180)

See the sub-schedules for specific retention information.

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.

##### G12-02 (a): Paper copy

*Retain 6 months after microfilming and verification.*

##### G12-02 (b): Microfilm master

*Retain 10 years from filing.*

##### G12-02 (c): Microfilm duplicate

*Retain 10 years from filing.*

#### G12-03: Uniform Commercial Code (UCC) Financing Statements (including amendments and continuations)

See the sub-schedules for specific retention information.

Includes name and address of debtor and secured party, a description of collateral, and signatures of debtor and secured party.

##### G12-03 (a): Filed pursuant to M.G.L. c. 106: Paper copy

*Retain 6 years from filing.*

##### G12-03 (b): Filed pursuant to M.G.L. c. 107: Microfilm master

*Retain 6 years from filing.*

**G12-03 (c): Filed pursuant to M.G.L. c. 108: Microfilm duplicate**

*Retain 6 years from filing.*

**G12-03 (d): Filed pursuant to M.G.L. c. 109: Microfilm second duplicate**

*Retain 6 years from filing.*

**G12-04: Termination Statements**

*See the sub-schedules for specific retention information.*

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.

**G12-04 (a): Filed pursuant to M.G.L. c. 106: Paper copy**

*Retain 1 year from filing.*

**G12-04 (b): Filed pursuant to M.G.L. c. 107: Microfilm master**

*Retain 1 year from filing.*

**G12-04 (c): Filed pursuant to M.G.L. c. 108: Microfilm duplicate**

*Retain 1 year from filing.*

**G12-05: Certificates of Organization for Limited Liability Companies Filed Pursuant to M.G.L. c. 156C**

*See the sub-schedules for specific retention information.*

**G12-05 (a): Paper copy**

*Retain 85 years after microfilming and public hearing.*

**G12-05 (b): Microfilm master**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**G12-05 (c): Microfilm duplicate**

*Retain until no longer used or needed; permission not needed for destruction*

**G12-06: Certificates of Organization for Limited Liability Partnerships Filed Pursuant to M.G.L. c. 108A**

*See the sub-schedules for specific retention information.*

**G12-06 (a): Paper copy**

*Retain 85 years after microfilming and public hearing.*

**G12-06 (b): Microfilm master**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**G12-06 (c): Microfilm duplicate**

*Retain until no longer used or needed; permission not needed for destruction*

**G12-07: Annual Reports for Limited Liability Companies and Limited Liability Partnerships Filed**

*See the sub-schedules for specific retention information.*

**G12-07 (a): Paper copy**

*Retain 6 months after microfilming and verification.*

**G12-07 (b): Microfilm master**

*Retain 10 years.*

**G12-07 (c): Microfilm duplicate copy**

*Retain 10 years.*

## **Elections Division**

**G01: Election Candidates**

*See the sub-schedules for specific retention information.*

**G01-03: State Primary and Election Nominations**

*See the sub-schedules for specific retention information.*

Certificates of nomination, nomination papers, objections thereto and withdrawals, when files, shall under proper regulations, be open to public inspection, and the State Secretary and the city and town clerks shall preserve the same in the offices for one year. Documents nomination of persons.

**G01-03 (a): Form E-1 State Primary Nomination Papers**

*Retain 1 year from date of filing.*

**G01-03 (b): Form E-16 State Election Nomination Papers**

*Retain 1 year from date of filing.*

**G01-03 (c): Form E-2C State Committee Nomination Papers**

*Retain 1 year from date of filing.*

**G01-03 (d): Form E-2B Ward and Town Committee Nomination Papers**

*Retain 1 year from date of filing.*

**G01-04: Federal Candidate Financial Reports**

*Retain 1 year.*

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.

## **G03: Election Voting**

*See the sub-schedules for specific retention information.*

### **G03-01: Electoral College Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

### **G03-02: Election Districts Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

### **G03-03: Voting Machine Certification Records**

*Retain 3 years after decertification.*

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.

### **G03-04: Voter Registration Records**

*Retain 3 years after superseded.*

Documents the registration of voters. Includes registration forms and listings.

### **G03-05: Polling Place Registrations**

*Retain 3 years.*

Documents registered voters by polling place.

### **G03-06: Election Returns of Town Officers**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents annual reports from Town Clerks of Elections of Town Officers, including notices of resignations and interim appointments.

### **G03-07: Election Ballots and Instructions Records**

*See the sub-schedules for specific retention information.*

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.

#### **G03-07 (a): Sampling of ballots, instructions, voting machine specifications and voter information pamphlets**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### **G03-07 (b): Cast Ballots**

*Retain 30 days after finalization of ballot count.*

### **G03-07 (c): Unused Ballots**

*Retain 30 days after finalization of ballot count.*

### **G03-07 (d): All other records**

*Retain 3 years after finalization of the ballot count.*

### **G03-08: Election Initiative, Petitions, and Referendums Records**

*See the sub-schedules for specific retention information.*

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 opinions as to the appropriateness of the issues for vote, and related correspondence.

#### **G03-08 (a): Petitions as certified whether approved by voters or not**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### **G03-08 (b): Non-qualified petitions**

*Retain 3 years.*

#### **G03-08 (c): Signature sheets**

*Retain 30 days after election is finalized.*

#### **G03-08 (d): Alcoholic beverage license petitions**

*Retain 3 years.*

### **G03-09: Vote Returns Certification Records**

*See the sub-schedules for specific retention information.*

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.

#### **G03-09 (a): Certification of totals**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### **G03-09 (b): All other records**

*Retain 1 year.*

### **G03-10: Election Reviews and Challenges Records**

*Contact Massachusetts Archives to review materials to determine disposition*

Documents the review of elections where results may have been questioned.

### **G03-11: Access to the Ballot Case Files**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**G03-12: Receipts for Nomination Papers**

*Retain until applicable election results are certified.*

Election Division's copy of receipts provided to candidates when he or she submits nomination papers.

**G03-13: Initiative Petition Signature Sheets**

*Retain until the close of the legislative year. Elections Division may transfer to the House Clerk after qualification.*

Signature sheets for petitions that qualified for consideration by the legislature.

**G03-14: Initiative Petitions for Public Policy Questions**

*Retain until applicable election results are certified.*

These constitute instructions to a member of the General Court from his or her constituency, and do not go to the House Clerk, as they affect only one representational district.

**G03-15: Non-Qualifying initiative Petition Signature Sheets**

*Retain until applicable election results are certified.*

Signature sheets for petition that does not qualify for consideration.

## Legislative Office and Policy

**G05: Legislation and Policy**

See the sub-schedules for specific retention information.

**G05-01: Rules and Regulations Filings**

See the sub-schedules for specific retention information.

Documents the official filing of state agency rules and regulations. Includes submissions, public hearing documentation, and related correspondence.

**G05-01 (a): With Secretary of State's Office**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**G05-01 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**G05-02: Acts and Resolves Filings**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents the official filing of House and Senate Acts and Resolves with the Secretary's office. Includes engrossed copies and accompanying support materials.

**G05-03: Request for Opinions**

*Keep until the end of the current administration.*

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.

**G05-04: Secretary of State's Responses**

*Keep until the end of the current administration.*

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.

**G05-05: Legislation Files-Passed Legislation (Record Copy)**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**G05-06: Legislation Files-Unpassed**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**G05-07: Legislative Liaison Correspondence**

*Retain 3 years.*

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.

**G05-08: Reference Subject Files**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**G05-09: Legislation Status Report**

*Retain 3 years.*

This is a monthly report tracking progress of bills through the legislative process. This series is arranged chronologically.

## Lobbyist Division

### G02: Lobbyists

See the sub-schedules for specific retention information.

#### G02-01: Lobbyists' Employers Financial Disclosure Filings

*Retain 1 year.*

Documents the semi-annual filing of financial disclosure reports with the Secretary by employers of lobbyists to effect legislative change.

#### G02-04: Lobbyist/Organization Registration and Financial Disclosure Filings

*Retain 1 year.*

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.

#### G02-05: Lobbyist/Organization Filings Monitoring Records

*Retain 1 year.*

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.

#### G02-06: Lobbyists and Employers Reports

See the sub-schedules for specific retention information.

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.

##### G02-06 (a): Year-end reports

*Retain permanently; state agency records eligible for transfer to Mass Archives*

##### G02-06 (b): Interim reports

*Retain until year-end report is published.*

## Massachusetts Historical Commission

### G10: Historic/Property

See the sub-schedules for specific retention information.

#### G10-01: Property Appraisers Certification Records

*Retain 3 years.*

Documents the registration of property appraisers.

#### G10-02: Historic Preservation Information Source Files

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents the development of preservation planning and resources in the community. Includes field reports, photographs, inventory forms, pre-registry inquiries, and related correspondence.

#### G10-03: Historic Preservation Restrictions Agreement Records

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

#### G10-04: Environmental Review and Compliance Records

*Retain 3 years in office, then 42 years in the State Records Center.*

Documents Massachusetts Historical Commission's review of public and private projects with state or federal funding, and their effects on historic and archaeological properties.

#### G10-05: National Register of Historic Places Compliance Records

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

#### G10-06: Historic Preservation Certification Records

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

#### G10-07: Archeology Records

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents state archeological programs to find and protect archeological remains.

# Public Records Division

## G04: Commissions and Appointments

See the sub-schedules for specific retention information.

### G04-01: Commissions and Boards Appointment Log Books Records

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Provides a summary listing of appointments to boards and commissions and any changes such as resignations or interim/recess appointments.

### G04-02: Boards, Authorities, Councils, Commission Appointment Records

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

### G04-03: Appointment Qualification Signature Books

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

### G04-04: Appointment Performance Bond Filings

*Retain 6 years after expiration.*

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.

### G04-05: Appointment Qualification Certification Records

See the sub-schedules for specific retention information.

Documents completion of the election/appointment qualification process by an 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. Also includes additional correspondence such as subsequent oath reminders, congratulatory letters and supporting documents, such as resumes. 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.

#### G04-05 (a): Notifications, Oaths, and Voids

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### G04-05 (b): Additional correspondence and supporting documentation

*Retain 3 years.*

### G04-06: Non-Residents and Resident Clergyman and Solemnization of Marriage Records

*Retain 1 year.*

Documents the appointment of non-resident and resident clergymen and the one-time solemnization of marriages.

### G04-07: City and Town Acceptance of General Laws Records

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents the acceptance or rejection of state legislation by cities and towns. Includes acceptances, rejections, and related correspondence.

### G04-08: City and Town Appointment Notifications

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents city and town appointment and resignation notifications and other notifications filed with the Secretary that do not require appointment qualification certification filings.

### G04-09: Notary Public Apostille Verification Records

*Retain 1 year.*

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).

### G04-10: Notary Public Validation of Acts Certification Records

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

### G04-11: Form O Notary Public Filing - Backup tapes

*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.*

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.

### G04-12: Notary Public Re-Registration (Name Change)

*Retain permanently; state agency records eligible for transfer to Mass Archives*

These documents are filed alphabetically by surname before the name change.

**G04-13: Notary Public and Justice of the Peace Applications**

*Retain until no longer used or needed; permission not needed for destruction*

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

## Registry of Deeds

**G08: Deeds**

*See the sub-schedules for specific retention information.*

**G08-01: Deed Registration Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents the registration of deeds to commonwealth land. Includes applications, lien histories, easements and right of ways, and related correspondence.

## Securities Division

**G07: Securities**

*See the sub-schedules for specific retention information.*

**G07-01: Registration, Exemption, and Notice Filing Register**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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 M.G.L. 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 C.M.R. c. 950 § 14.401, and all denial, suspension, or revocation orders which have been entered under this chapter.

**G07-02: Broker-Dealer Registration and Exclusion Notice Filings**

*Retain 3 years after current registration or exclusion period ends.*

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 C.M.R. c. 950 § 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.

**G07-03: Investment Adviser Registration and Federal Covered Advisor Notice Filings**

*Retain 3 years after current registration or notice filing period ends.*

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.

**G07-04: Broker-Dealer Agent and Investment Adviser Representative Registration**

*Retain 3 years after current registration ends.*

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.

**G07-05: Securities Registration and Exemption Filings**

*See the sub-schedules for specific retention information.*

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.

**G07-05 (a): Documents duplicated on EDGAR Database**

*Retain until no longer used or needed; permission not needed for destruction*

**G07-05 (b): All other records**

*Retain 3 years after final determination.*

**G07-06: Investment Company Notice Filings**

*Retain until data is verified on database.*

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.

**G07-07: Issuers Consent to Service of Process Filings**

*Retain until data is verified on database.*

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.

**G07-08: Sales and Advertising Literature Filings**

*Retain until review is completed.*

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 M.G.L. c. 110A, § 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.

**G07-09: Interpretative Opinion Records**

*See the sub-schedules for specific retention information.*

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.

**G07-09 (a): Final Products and substantive support materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**G07-09 (b): All other records**

*Retain 3 years.*

**G07-10: Inquiries and Complaints Records**

*See the sub-schedules for specific retention information.*

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.

**G07-10 (a): Withdrawn, non-jurisdictional or incomplete inquiries and complaints**

*Retain 1 year.*

**G07-10 (b): All other records**

*Retain 3 years.*

**G07-11: Investigation and Enforcement Records**

*See the sub-schedules for specific retention information.*

Documents the investigation of public or private firms, agents, or persons and any subsequent enforcement of violations of the Uniform Securities Act M.G.L. 110A, 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.

**G07-11 (a): Landmark and policy setting cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**G07-11 (b): All other records**

*Retain 6 years after final settlement or action.*

**G07-12: Administrative Hearing Enforcement Action Case Files**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**G07-13: Investor Education Program Records**

*See the sub-schedules for specific retention information.*

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.

**G07-13 (a): Substantive planning documentation and summary presentation materials**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**G07-13 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

## State Matters

**G09: State Matters**

*See the sub-schedules for specific retention information.*

**G09-01: State Seal and Other Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents the Secretary's keeping of the State Seal including any determinations or complaints about its use as regulated by M.G.L. c. 2, § 5. Includes complaints, determinations, and related correspondence.

**G09-02: Abolished County Records**

*Retain until no longer used or needed; permission not needed for destruction*

Consists of any records left over from counties that have been abolished.

**G09-03: State Citations and Awards Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents awards by the state to the public for achievement or merit.

## State Records Center

### G11: Library/Archives

See the sub-schedules for specific retention information.

### G11-11: Records Request Sheets

Retain 5 years from creation.

Used by state agencies to request information stored within the State Records Center.

### G11-12: Assessment files

Retain 5 years.

Consists of information that assists the State Record Center in managing the inventory of records.

### D06-03 (c): Team discussion on fraud risk forms

Retain 6 years after final resolution.

Includes documentation of team discussion of fraud risk forms, and all other records pertaining to 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.

### D06-04: Certifications, Training and Continuing Education Records

See the sub-schedules for specific retention information.

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.

### D06-04 (a): Filed separate from personnel file

Retain 10 years.

### D06-04 (b): Filed in personnel file

Retain as long as file is kept.

### D06-05: Records of Non-Audit Services Performed by Audit Operations

Retain 6 years from conclusion of non-audit service performed.

Documents the performance of non-audit services performed by audit operations. Includes, planning documents, written communications, and all other related correspondence and records.

### D06-06: External Peer Review Records

See the sub-schedules for specific retention information.

All planning documents and communications with external peer review entity. Documents the findings of an external peer review evaluating the sufficiency of, and the OSA's adherence to, Audit Operations system of quality control.

### D06-06 (a): Planning document and communications with external entity

Retain 6 years.

### D06-06 (b): Written results report

Retain permanently; state agency records eligible for transfer to Mass Archives

Written reports communicating results of the peer review. Documents the findings of an external peer review evaluating the sufficiency of, and the OSA's adherence to, Audit Operations system of quality control.

## Office of the State Auditor

### D06: Public Employee Retirement Administration Commission

See the sub-schedules for specific retention information.

### D06-01: Audit Work Papers

Retain 6 years.

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.

### D06-02: Final Audit Reports

Retain permanently; state agency records eligible for transfer to Mass Archives

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.

### D06-03: Audits Detecting Fraud and Illegality

See the sub-schedules for specific retention information.

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.

#### D06-03 (a): Letters referring cases to the AGO, US Attorney's Office or District Attorney

Retain permanently; state agency records eligible for transfer to Mass Archives

#### D06-03 (b): Letters reporting unemployment, pension, Medicaid, or insurance fraud

Retain 25 years.

**D06-07: Bureau of Special Investigation Records (BSI)**

*See the sub-schedules for specific retention information.*

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.

**D06-07 (a): Investigations with no findings of probable cause**

*Retain 6 years after case closure.*

**D06-07 (b): Investigations referred to civil or criminal action**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**D06-07 (c): Letters referring cases to AGO, US Attorney General or District Attorney**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**D06-07 (d): Other records not specified**

*Retain 6 years.*

**D06-08: Division of Local Mandate Records**

*See the sub-schedules for specific retention information.*

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.

**D06-08 (a): Petitions for opinions and requests for cost analysis**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**D06-08 (b): M.G.L. c. 11 § 6B Mandate Determinations**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**D06-08 (c): M.G.L. c. 126 Municipal Impact Studies**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**D06-08 (d): All final opinion letters**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**D06-08 (e): Work papers and all other records**

*Retain 6 years.*

**Office of the State Treasurer and Receiver****L01: Uniform Commercial Code Financial Statements**

*See the sub-schedules for specific retention information.*

Documents reports for regulation purposes.

**L01-01: Uniform Commercial Code Financial Statements**

*See the sub-schedules for specific retention information.*

Documents reports for regulation purposes.

**L01-01 (a): Official copy**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L01-01 (b): All other records**

*Retain 6 years.*

**L01-02: Tax Policy and Analysis Reports**

*See the sub-schedules for specific retention information.*

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.

**L01-02 (a): Final reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L01-02 (b): Report data and notes**

*Retain until no longer used or needed; permission not needed for destruction*

**L01-03: Tax Issues and Policy Proposal Records**

*Retain until no longer used or needed; permission not needed for destruction*

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.

**L02: Tax Customer Service records**

*See the sub-schedules for specific retention information.*

**L02-01: Taxpayer Advocate Case Files**

*Retain 6 years after final case activity.*

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.

**L02-02: Taxpayer Customer Service Records**

*Retain 3 years.*

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.

**L02-03: DOR Problem Resolution Case Files**

*Retain 6 years after final activity.*

Documents the handling of taxpayer inquiries, disputes, and complaints. Includes intake documents, background support, rate and calculation sheets, corrections sheets, and related correspondence.

**L02-04: Tax Practitioner Electronic Filing Authorizations**

*Retain 3 years.*

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.

**L03: Tax Filings records**

*See the sub-schedules for specific retention information.*

**L03-01: Tax Return Filings**

*See the sub-schedules for specific retention information.*

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.

**L03-01 (a): Intake tax filing source documents scanned into MASSTAX system**

*Retain until verified as captured onto MASSTAX system.*

**L03-01 (b): Electronic filings**

*Retain until verified as captured onto MASSTAX system.*

**L03-01 (c): Hardcopy records that have not been scanned or not fully scanned (partials)**

*Retain 6 years.*

**L03-01 (d): All other records**

*Retain 6 years.*

**L03-02: W4s**

*Discard hardcopy after information is captured on MASSTAX System.*

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.

**L03-03: Taxpayer Estimated Tax Payment Forms**

*Discard hardcopy after information is captured on MASSTAX System.*

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.

**L03-04: Employer Wage Reports**

*Retain hardcopy until captured on MASSTAX System.*

Documents employers reporting of employee wages to DOR. Includes Employer's quarterly Report of Wages Paid (WR-1).

**L03-05: Estate and Inheritance Tax Case Files**

*Retain 10 years.*

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.

**L03-06: Taxpayer Payment Voucher Slips**

*Discard hardcopy after information is captured on MASSTAX System.*

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).

**L03-07: Business Tax Status Registrations**

*See the sub-schedules for specific retention information.*

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).

**L03-07 (a): Hardcopy**

*Retain hardcopy until information is captured onto MASSTAX System.*

**L03-07 (b): Hardcopy that predates MASSTAX system**

*Hardcopy that predates MASSTAX may be discarded due to its obsolete nature.*

**L04-L05: Tax Collection records**

*See the sub-schedules for specific retention information.*

**L04-01: Taxpayer Appeal Case Files**

*Retain 10 years after final settlement or determination.*

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.

**L05-01: Profession, Trade, or Business License Listings**

*Retain 2 years.*

Consists of annual lists sent to DOR by Commonwealth agencies of all professional, trade, and business licenses issued or renewed during the preceding year.

**L05-02: Taxes in Litigation Certification Records**

*Retain 6 years.*

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.

**L05-03: Potential Taxpayer Locator Records**

*Retain 1 year.*

Documents attempts to identify and locate taxpayers not currently registered on the MASSTAX system. Includes lists, background support materials, and related correspondence.

**L05-04: Promoter's Business Rental Reports**

*Retain 2 years.*

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.

**L05-05: Bankruptcy Claim Records**

*Retain 6 years after closed, dismissed, or when no further action can be taken by administrative (non-litigation) means.*

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.

**L05-06: Tax Litigation Case Files**

*See the sub-schedules for specific retention information.*

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.

**L05-06 (a): Letters referring cases to the Attorney General's Office**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L05-06 (b): Landmark or policy setting cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L05-06 (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.*

**L05-06 (d): All other records**

*Retain 10 years after case closing and all appeals are exhausted unless a longer period is required by legal counsel.*

**L05-07: Appellate Tax Board Appeals Records**

*See the sub-schedules for specific retention information.*

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.

**L05-07 (a): Appeal decision books**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L05-07 (b): Findings of Fact and Report books**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L05-07 (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.*

**L05-07 (d): Dismissed and otherwise withdrawn appeals**

*Retain 3 years.*

**L05-07 (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.*

**L05-08: Tax Collection Case Files**

*See the sub-schedules for specific retention information.*

Documents the Commissioner's attempts to collect unpaid taxes due to non-filing or other circumstance as allowed for in M.G.L. c. 62C, § 46 and other statutes. Includes taxpayer notifications, levy and seizure documentation, payment agreements, financial worksheets, staff case worker supplemental files, and related correspondence.

**L05-08 (a): Tax lien documentation**

*Retain 10 years after date of assessment or 6 years after final action; whichever period is longer.*

**L05-08 (b): All other records**

*Retain 6 years from declaration of uncollectible, payment, or other final settlement.*

**L05-09: Tax Warrant Listings**

*Retain 6 years.*

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.

**L05-10: Uncollectible Tax Records**

*Retain 6 years.*

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.

**L05-11: Tax Liability Settlement Agreement Records**

*Retain 6 years from final settlement, or 20 years, whichever period is shorter.*

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.

**L05-12: Tax Revenue Accounting Records**

*See the sub-schedules for specific retention information.*

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.

**L05-12 (a): Account general ledger (year-to-date) and monthly Blue Book revenue summary reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L05-12 (b): All other records**

*Retain 10 years.*

**L06: Tax Investigation and Research records**

*See the sub-schedules for specific retention information.*

**L06-01: Tax History Inquiry Records**

*Retain 6 years.*

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.

**L06-02: Tax Information Transmittal Records**

*Retain 6 years.*

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.

**L06-03: Taxpayer Audit Case Files**

*Retain 6 years after final resolution or determination.*

Documents audits of taxpayers. Includes copies of tax returns, bank statements, hearing notes, audit reports and responses, and related correspondence.

**L06-04: State/Federal Tax Information Exchange Records**

*See the sub-schedules for specific retention information.*

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.

**L06-04 (a): Agreements and understandings**

*Retain 6 years after expiration.*

**L06-04 (b): All other records**

*Retain 6 years.*

**L06-05: Tax History Research Records**

*Retain 6 years.*

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.

**L06-06: Special Tax Research Records**

*Retain 6 years.*

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.

**L06-07: Tax Criminal Investigation Records**

*Retain 6 years after closure.*

Documents investigations into tax system abuse. Includes tax returns and submissions, investigatory documentation, audit reports, and related correspondence.

**L06-08: Employee Tax History Records**

*Retain 6 years.*

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.

**L07: Department of Revenue - Bureau of Accounts**

*See the sub-schedules for specific retention information.*

**L07-01: County Budget Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**L07-02: City Town Debt Sale Records**

*Retain 3 years.*

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.

**L07-03: Municipal Schedule A Report Records**

*Retain 3 years.*

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.

**L07-04: Municipal Cash Reconciliation Report Records**

*Retain 3 years.*

Documents the year-end reconciliation of cash for all municipal funds. Report is submitted by communities to DOR for monitoring and analysis purposes.

**L07-05: Municipal Tax Rate Certification Records (Recap Sheets)**

*Retain 3 years.*

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.

**L07-06: Municipal Audit Report Records**

*Retain 3 years.*

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.

**L07-07: County Financial Reports**

*Retain 3 years.*

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.

**L07-08: Municipal Proposition 2 1/2 Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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 (M.G.L. c. 59, § 21C) L Revenue and Taxation 224 which places a limit and other restrictions on the amount of property taxes a community can levy each year. Used for monitoring and analysis.

**L07-09: State House Note Certificate Records**

*Retain 3 years.*

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.

**L07-10: Municipal Compensating Balance Report Records**

*Retain 3 years.*

Documents compensatory payments to a bank for treasury services rendered regarding the deposit, investment, and disbursal of monies collected by the municipality. Submitted by the municipality, it is used by the DOR Bureau of Accounts for monitoring and analysis purposes.

**L07-11: County Government Finance Review Board Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents the activities of the board that oversees county fiscal matters. Includes agendas, minutes, and related support materials and correspondence.

**L07-12: Municipal Balance Sheet Reports**

*Retain 3 years.*

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.

**L08: Department of Revenue - Local Assessment**

*See the sub-schedules for specific retention information.*

**L08-01: Tax Exemption Reimbursement Request Records**

*Retain 3 years.*

Documents local government requests for reimbursement from the state for property tax exemptions granted to veterans, surviving spouses, blind persons, and the elderly.

**L08-02: Municipal Budget Schedules (Cherry Sheets)**

*Retain 3 years.*

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 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).

#### **L08-03: Education Reform Waiver Records**

*Retain 3 years.*

Documents local government applications for waivers of the requirements imposed by the Education Reform Act of 1993.

#### **L08-04: Municipal Emergency Aid Records**

*Retain 5 years.*

Documents the application for emergency aid from the state.

#### **L08-05: State Owned Land (SOL) Valuation Records**

*See the sub-schedules for specific retention information.*

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.

##### **L08-05 (a): Parcel eligibility listings, quinquennial valuation summaries, flood control land documentation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

##### **L08-05 (b): Site appraisal and review records**

*Retain until no longer used or needed; permission not needed for destruction*

##### **L08-05 (c): All other records**

*Retain 5 years.*

#### **L08-06: Unassigned Assets and Property Reports**

*Retain until disposition determination has been made plus 6 years.*

Documents information relating to abandoned property, undistributed funds, unidentified collections, or otherwise undesignated assets and property held by the agency.

#### **L08-07: Municipal Land Valuation Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

#### **L08-08: Property Valuation Certification Records**

*Retain 3 years.*

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.

#### **L08-09: Tax Abatement Authority Requests Records**

*Retain 3 years.*

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.

#### **L08-10: Land of Low Value (Affidavit to Foreclose) Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

#### **L08-11: Property Valuation Compliance Program Records**

*Retain 6 years.*

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.

**L08-12: Equalized Property Valuations (EQVs)**

See the sub-schedules for specific retention information.

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.

**L08-12 (a): Biennial reports**

Send copies to the State House Library.

**L08-12 (b): All other records**

Retain 4 years.

**L08-13: Utility Valuation Certification Records**

See the sub-schedules for specific retention information.

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.

**L08-13 (a): Utility Valuation Reports**

Retain permanently; state agency records eligible for transfer to Mass Archives

**L08-13 (b): All other records**

Retain 3 years.

**L08-14: Farmland Valuation Advisory Commission Records (FVAC)**

Retain permanently; state agency records eligible for transfer to Mass Archives

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.

**L08-15: Omitted and Revised Assessments and Rollback Tax Records**

Retain 1 year.

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.

**L08-16: Owners Unknown Assessment Records**

Retain permanently; state agency records eligible for transfer to Mass Archives

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.

**L08-17: Assessor Training Records**

See the sub-schedules for specific retention information.

Documents the training of local assessors as required by DOR regulations. Includes applications, test results, and summary list of certified assessors.

**L08-17 (a): Summary list of certified assessors**

Retain permanently; state agency records eligible for transfer to Mass Archives

**L08-17 (b): All other records**

Retain for the potential licensing period plus 3 years.

**L09: Child Support records**

See the sub-schedules for specific retention information.

**L09-01: Child Support Enforcement Case Files**

See the sub-schedules for specific retention information.

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.

**L09-01 (a): Hardcopy intake source documents scanned into COMETS IM system**

Retain until verified as captured onto COMETS IM system.

**L09-01 (b): Hardcopy intake source documents that have not been scanned**

Retain 3 years after close of case.

**L09-02: Child Support Unassigned Assets and Property Records**

Retain 10 years.

Documents information relating to abandoned property, undistributed funds, unidentified collections, or other undesignated assets in Child Support accounts.

**L09-03: DOR Child Support Problem Resolution Case Files**

Retain 6 years after final activity.

Documents the review and enforcement of child support payment provisions. Includes inquiries, wage attachments, worksheets, support, and related correspondence.

**L09-04: Child Support Account System Monitoring and Control Reports**

*Retain 3 years or until administrative use ceases, whichever period is longer.*

Documents information relating to the processing and monitoring of Child Support accounts.

These reports are computer generated.

**L10: Underground Tank records**

*See the sub-schedules for specific retention information.*

**L10-01: Municipal Underground Storage Tank Reimbursement Program Records**

*Retain 6 years after final claim activity.*

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.

**L10-02: Claim Records**

*Retain 6 years after final claim activity.*

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.

**L10-03: Underground Storage Tank Fees Records**

*Retain 6 years after final claim activity.*

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.

**L13: Treasurers Office**

*See the sub-schedules for specific retention information.*

**L13-01: Treasurer Accounting Systems Records**

*See the sub-schedules for specific retention information.*

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.

**L13-01 (a): Account Establishment records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-01 (b): Treasurer General Ledgers**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-01 (c): All other records**

*Retain 6 years.*

**L13-02: Treasurer Cash Management Records**

*See the sub-schedules for specific retention information.*

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.

**L13-02 (a): Cancelled checks and warrants registers**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-02 (b): Cancelled checks and warrants**

*Retain 15 years.*

**L13-02 (c): All other records**

*Retain 6 years.*

**L13-03: Cash Forecasting and Positioning Records**

*See the sub-schedules for specific retention information.*

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.

**L13-03 (a): Primary documents**

*Retain 6 years.*

**L13-03 (b): Work papers and facilitative transactions such as wire transfers and confirmations**

*Retain 3 years.*

**L13-04: State Depository Agreement Records**

*Retain 6 years after withdrawal from program.*

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.

**L13-05: Treasurer Investment Records**

*See the sub-schedules for specific retention information.*

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.

**L13-05 (a): Summary reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-05 (b): All other records**

*Retain 10 years.*

**L13-06: Treasurer Land and Deed Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**L13-07: Public Protection Performance Bond Filings**

*Retain 6 years after bond becomes inactive.*

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.

**L13-08: Public Official Performance Bond Filings**

*See the sub-schedules for specific retention information.*

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.

**L13-08 (a): Official Bond Registers or other summaries**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-08 (b): All other records**

*Retain 6 years after expiration.*

**L13-09: Deferred Compensation Plan Records**

*See the sub-schedules for specific retention information.*

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.

**L13-09 (a): Contract plan establishment and approval**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**L13-09 (b): All other records**

*Retain 6 years after contract expires and all claims under the contract have been finalized.*

**L13-10: Games Establishment, Development, and Review Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Provides a record of the development of games. Includes planning documentation, notes, legal considerations, and related correspondence.

**L13-11: Games Administration Records**

*Retain 6 years.*

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.

**L13-12: Lottery Sales Agent Licensing Records**

*Retain 6 years after licensing potential expires.*

Documents the licensing of persons to sell lottery tickets. Includes applications, support materials, background checks, and related correspondence.

**L13-13: Charitable Gaming Licensing Records**

*Retain 6 years after licensing potential expires.*

Documents the licensing of persons to run games of chance, such as bingo, in order to benefit a nonprofit charity. Includes applications, support materials, background checks, and related correspondence.

**L13-14: Lottery Claim Records**

*Retain 6 years.*

Documents routine and/or disputed claims for prize winnings. Includes claims, background materials, [claim validation form] decision support materials, and related correspondence.

**L13-15: Lottery Liens, Levies, and Orders Records**

*Retain 6 years after inactive.*

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.

**L13-16: Lottery Investigation and Enforcement Records**

*See the sub-schedules for specific retention information.*

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.

**L13-16 (a): Landmark, noteworthy, or policy setting cases**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-16 (b): All other records**

*Retain 6 years after final settlement or action.*

**L13-17: Lottery Administrative Hearing Case Files.**

*Retain 6 years after close.*

Documents Hearings and appeals for any and all aspects falling under delegated powers.

Typically claims, agent licensing, agent fiscal solvency.

**L13-18: Abandoned Property Program Records**

*See the sub-schedules for specific retention information.*

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.

**L13-18 (a): Unclaimed Property reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-18 (b): Abandoned Property Claims - Successful**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-18 (c): Abandoned Property Claims - Denied**

*Retain 6 years after final claim activity.*

**L13-18 (d): Unclaimed tangible property and securities**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-19: Estate Public Administration Records**

*See the sub-schedules for specific retention information.*

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.

**L13-19 (a): All probate documents received by the Treasurer from AG**

*Retain 7 years from the date estate was closed, or if closed at date of transfer, 7 years after date of transfer.*

**L13-19 (b): Probate documents received by the Treasurer for estates administered by public administrator**

*Retain 7 years from date the estate is closed.*

**L13-19 (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**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-20: Treasurer Registered and Bearer Bond Program Records**

*See the sub-schedules for specific retention information.*

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.

**L13-20 (a): Bond establishment documentation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-20 (b): Comprehensive Annual Financial Report (CAFR)**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-20 (c): Central Registry of bonds issued and redeemed**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-20 (d): Report of Bond Indebtedness**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-20 (e): Debt-service fund handling, investment, and reportment documentation**

*Retain 6 years after all bonds issued under a particular bond title and payment duration reach defeasance.*

**L13-20 (f): Individual bond issuance debt-service histories**

*Retain 6 years after defeasance.*

**L13-20 (g): Facilitative transactions and work papers**

*Retain 3 years.*

**L13-21: Obligation Bonds and Notes Program Records**

*See the sub-schedules for specific retention information.*

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.

**L13-21 (a): Summary listing or register of bonds and notes issuances**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-21 (b): Bond establishment documentation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-21 (c): Comprehensive Annual Financial report (CAFR)**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-21 (d): Debt-service fund handling, investment, and reporting documentation**

*Retain 6 years after all bonds issued under a particular bond title and payment duration reach defeasance.*

**L13-21 (e): All other records**

*Retain 6 years after final payment or settlement.*

**L13-22: Water Pollution Abatement Bond Program Records**

*See the sub-schedules for specific retention information.*

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.

**L13-22 (a): Program establishment, development, and review documentation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-22 (b): Comprehensive Annual Financial Report (CAFR)**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-22 (c): Loan documentation**

*Retain 6 years after final loan payment or activity. Typical loans are paid out over a 30-year period.*

**L13-22 (d): Denied loan application materials**

*Retain 3 years after process is closed.*

**L13-23: Veterans Bonus Program Records**

*See the sub-schedules for specific retention information.*

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. Official bonus record held permanently by the Adjutant General's office of Military Affairs.

**L13-23 (a): Summary records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-23 (b): Denied applicants**

*Retain 3 years.*

**L13-23 (c): All other records**

*Retain 7 years after application process ends.*

**L13-24: Arts and Humanities Grant Program Records**

*See the sub-schedules for specific retention information.*

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.

**L13-24 (a): Summary records and establishment documentation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-24 (b): Denied applicants**

*Retain 3 years.*

**L13-24 (c): All other records**

*Retain 6 years after application process ends.*

**L13-25: Treasurer's Savings Bond Program Records**

*See the sub-schedules for specific retention information.*

Documents the program to provide savings bonds to state employees.

**L13-25 (a): Program summary records and establishment documentation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L13-25 (b): All other records**

*Retain 6 years.*

**L14: State Board of Retirement records**

*See the sub-schedules for specific retention information.*

**L14-01: Retirement Fiscal System Records**

*See the sub-schedules for specific retention information.*

Documents the administration and management of the Retirement financial system for state employees.

**L14-01 (a): General Ledger and other summary reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L14-01 (b): All other reports**

*Retain 6 years.*

**L14-02: Retirement Administration Records**

*See the sub-schedules for specific retention information.*

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.

**L14-02 (a): Official records with the Board of Retirement, when filed as group**

*Retain 20 years.*

**L14-02 (b): Official records with the Board of Retirement**

*Retain as for benefits case files.*

**L14-03: Beneficiary Verification Forms**

*Retain 5 years.*

State Board of Retirement Verification Form, issued no less frequently than once every two years to all benefit recipients pursuant to 840 CMR 15.01. The Benefit Verification Form documents the eligibility of retired members or their named beneficiaries to continue receiving a retirement allowance or survivor's allowance. In the Benefit Verification Form, the benefit recipient is required to attest to his/her name address, certification that he/she is currently living, etc.

**L14-04: Pension Fraud Investigation Case Files**

*Retain 10 years after close.*

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.

**L14-05: Retirement System Account Audit and Monitoring Records**

*Retain 6 years.*

Documents the monitoring of state retirement accounts to ensure quality fiscal practices. Includes system audits, reports, notes, and related correspondence as required by PERA.

**L14-06: Employee Retirement, Disability, and Benefits Case Files**

*Retain 6 years after final payment or 75 years from date of retirement.*

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.

**L14-07: Retirement Pension Reserves Investment Management Records**

*See the sub-schedules for specific retention information.*

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.

**L14-07 (a): Summary reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**L14-07 (b): All other records**

*Retain 6 years after close of contract.*

**L14-08: Employee Group Insurance Files**

*Retain 6 years after final payment or 75 years, whichever period is shorter.*

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.

**L14-09: Approval Letters**

*Retain 20 years.*

These are letters sent to boards with calculation approvals to determine benefits. This series includes: submission forms, worksheets, pro-ration letters and calculations.

**L14-10: Appropriation Letters**

*Retain 50 years.*

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.

**L14-11: Reimbursement Letters**

*Retain 20 years.*

This series documents letters to boards notifying them of their pro-rated share of pension benefits due the State and Teachers' Retirement Systems.

**L14-12: Local Actuarial Valuation Reports**

*Retain 50 years.*

This series documents the demographic study of the work force. These reports are required by c.32, s 22c, 22d.

**L14-13: Commonwealth's Total Pension Obligation**

*Retain 80 years.*

This series includes state and teachers' valuations and it is used to create Valuation Reports as required by C32 s. 21c.

**L14-14: Data Questionnaires**

*Retain 5 years.*

This series is made up of related materials to prepare appropriation letters. This series is also used in the appropriation letter process.

**L14-15: Valuation Work Papers**

*Retain 5 years.*

This series includes the valuation runs, but is made up of the back –up documents used to produce valuations.

**L14-16: Valuation Data Work Papers**

*Retain 2 years after final report.*

Analysis of data received from board to produce valuation reports.

**L14-17: Non Valuated Data Work Papers**

*Retain 1 year.*

Analysis of data received from boards used to update records.

**L14-18: PRIM Election Ballots**

*Retain 90 days after election certification.*

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.

**L14-19: Disability Unit File**

*Retain 38 years.*

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.

**L14-20: Annual Statements from Retirement Boards**

*Retain 15 years.*

Boards must submit annual statements to PERA. PERA verifies systems books to annual statement during audit.

**L14-21: Audit Reports of Retirement Boards**

*Retain 3 years.*

Chapter 32 requires PERA to audit all retirement systems once every three years.

**L14-22: Audit Work Papers**

*Retain 9 years.*

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.

**L14-23: Supplementary Schedules**

*Retain 9 years.*

This series is a listing of supplementary schedules of member accounts in the retirement systems. Retirement boards are annually required to file supplementary schedules.

**L14-24: Annual Statement of Earned Income**

*Retain 10 years.*

This series is a monitoring tool used to determine the income of retirees.

**L14-25: Investigatory Files**

*Retain 10 years.*

This series are materials documenting possible criminal violations according to c 32, § 91, 92.

This series may include 91a forms, copies of tax returns, affidavits and third party records and testimony.

**L14-26: Investigative Docket/Log**

*Retain 10 years.*

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.

**L14-27: Financial Statements**

*Retain 5 years.*

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.

**L14-28: year End Files**

*Retain 5 years.*

These files are used in preparation of annual report. This series includes: performance reports, appraisals, and income accruals.

**L14-29: Revoked Waivers**

*Retain 5 years.*

Investment waivers (for investment managers of retirement boards) that have been revoked/terminated by PERA.

**L14-30: Manager Waiver Files**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Boards must obtain Waiver approval from each investment manager under the provisions of M.G.L. c. 32, § 23 (2) (g).

**L14-31: Review of Investment Holdings**

*Retain 5 years.*

Review of system portfolio to assess compliance with law/regulation.

**L14-32: Legal Opinions**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

PERA provides legal assistance to retirement boards in the form of written opinions. This series includes general correspondence for individual named board.

**L14-33: Disability Remand Files**

*Retain 20 years.*

Applications for accidental disability and death, and ordinary disability not approved by PERA and remanded to Board for further proceedings. c. 32, § 21.

**L14-34: Certificates**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

These certificates are used to establish the system and units as part of the retirement system.

**L14-35: Litigation/Administration Files**

*Retain 10 years.*

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.

**L14-36: Judicial Litigation Files**

*Retain 10 years.*

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.

**L14-37: Subpoenas**

*Retain 5 years.*

This series is for Worker's Compensation records and subpoenas for PERA records.

**L14-38: Gulf War Files**

*Retain 50 years.*

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 §§ 22 (4) (a) and (7).

**L14-39: Acceptance Letters**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

This series is for the provisions of M.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).

**L14-40: Legislative Comments**

*Retain 3 years.*

Comments on proposed and pending legislation.

**L14-41: Department of Industrial Accidents Correspondence**

*Retain 3 years.*

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.

**L14-42: Medical Panel Appointment Case Files**

*Retain 7 years.*

PERA is responsible for scheduling medical panel appointments and paying physicians. This series contains completed physicians reports and invoice warrants.

**L14-43: Disability Retirement Case Files**

*Retain 10 years.*

PERA is responsible for approving all disability retirements granted by retirement boards.

**L14-44: Supplementary Regulations**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

PERA approves supplementary regulations governing retirement system operations.

**L15: Alcohol Beverage Control Board records**

*See the sub-schedules for specific retention information.*

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.

**L15-01 (a): Retail Licensing Case Files**

*Retain 7 years after business closes.*

**L15-01 (b): Price Filing compliance Files**

*Retain 1 year.*

**L15-01 (c): Wholesale Price Filing Compliance Files**

*Retain 1 year.*

**L15-01 (d): Credit Delinquents Lists**

*Retain 1 year.*

**L15-01 (e): Producer Wholesaler Licensing Files**

*Retain 2 years.*

**L15-01 (f): Corporate Certification Files**

*Retain 2 years.*

**L15-01 (g): Indices**

*Destroyed after entering into database, or 2 years from last entry*

## Public Safety Agencies

**J01: Administration**

*See the sub-schedules for specific retention information.*

**J01-01: Uniform National Crime Reports**

*Retain 3 years.*

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.

**J01-02: Crime Reports**

*See the sub-schedules for specific retention information.*

Documents reports of crimes as sent to State Crime Office.

**J01-02 (a): Murder reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J01-02 (b): All other reports**

*Retain 10 years.*

**J01-03: Special Events and Activities Records**

*See the sub-schedules for specific retention information.*

Documents the agency's role in the carrying 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.

**J01-03 (a): Summary reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J01-03 (b): All other records**

*Retain 3 years or until administrative use ceases, whichever period is longer.*

**J01-04: Emergency Planning and Response Records**

*See the sub-schedules for specific retention information.*

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.

**J01-04 (a): Summary reports and substantive correspondence**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J01-04 (b): All other records**

*Retain 6 years.*

**J01-05: Criminal History Files**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Includes information collected on subjects such as arrests, detentions, convictions, acquittals, indictments, corrections history, fingerprints, photographs, and related correspondence.

**J01-06: Sexually Dangerous Person Case Files**

*Retain 35 years.*

Documents petitions for release of sexually dangerous persons. Includes pleadings, legal research, psychiatric records, investigator materials, and correspondence.

**J02: Licensing and Regulation**

*See the sub-schedules for specific retention information.*

**J02-01: Special Licenses and Permits Records**

*Retain until expiration of license.*

Documents special licenses and permits such as firearms license to sell and carry, permits and registrations, private detective licenses, gunsmith licenses.

**J03: State Police records**

*See the sub-schedules for specific retention information.*

**J03-01: Death Investigations and Reports Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents investigations into sudden or unexplained deaths. Includes death reports, investigation work product, and related correspondence.

**J03-02: Criminal Investigation Case Files**

*See the sub-schedules for specific retention information.*

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.

**J03-02 (a): Any cases involving noteworthy persons or which set precedent**

*Contact Massachusetts Archives to review materials to determine disposition*

**J03-02 (b): Death cases such as homicides, suicides and sudden or unattended deaths**

*Retain 50 years after case is closed.*

**J03-02 (c): Attorney General's prosecuted files**

*Retain 35 years after case is closed.*

**J03-02 (d): Attorney General not prosecuted**

*Retain 25 years after case closed.*

**J03-02 (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.*

**J03-02 (f): Felonies**

*Retain 10 years after case is closed.*

**J03-02 (g): All other cases**

*Retain 6 years after case is closed.*

**J03-03: Special Investigation Records**

*See the sub-schedules for specific retention information.*

Documents the investigation of jurors, missing persons, businesses, and other situations that criminal activity may be present.

**J03-03 (a): Any cases involving noteworthy persons or which set precedent**

*Contact Massachusetts Archives to review materials to determine disposition*

**J03-03 (b): All other records**

*Retain 6 years after case is closed.*

**J03-04: Criminal Activity Surveillance Records**

*Retain 3 years or until administrative use ceases, whichever period is longer.*

Documents the monitoring of sources and locations of potential criminal activity. Includes background materials and notes, reports, tapes, photographs, and related correspondence.

**J03-05: Incident and Complaint Investigation Records**

*Retain 3 years.*

Documents responses to incidents that did not require formal charges.

**J03-06: Automated Resource Locator (ARL) Data**

*Retain until no longer used or needed; permission not needed for destruction*

**J03-07: Body Worn Camera (BWC) and Cruiser Mounted Camera (CWC) Footage**

*See the sub-schedules for specific retention information.*

All Body Worn Camera and Cruiser Mounted Camera footage captured by Department cameras. Any BWC/CWC footage that resulted in an investigation that is still open/pending shall not be deleted/destroyed. Similarly, no BWC/CMC footage or recordings shall be destroyed until all known appeals and/or related litigation is exhausted and closed.

**J03-07 (a): Death Investigation**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J03-07 (b): Motor Vehicle Accidents Resulting in Death**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J03-07 (c): Sexual Assault/Abused Person**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J03-07 (d): Use of Force**

*Retain 10 years.*

**J03-07 (e): Felony**

*Retain 10 years.*

**J03-07 (f): Misdemeanor**

*Retain 6 years.*

**J03-07 (g): Motor Vehicle Accident with Personal Injury**

*Retain 3 years.*

**J03-07 (h): Investigate Person - member responding to call**

*Retain 3 years.*

**J03-07 (i): Investigate Premise - member responding to call**

*Retain 3 years.*

**J03-07 (j): Significant Event - Public Safety**

*Retain 3 years.*

**J03-07 (k): Traffic Stop**

*Retain 3 years.*

**J03-07 (l): Member initiated encounter/Field Interview Observation (FIO)**

*Retain 3 years.*

**J03-07 (m): Motor Vehicle Accident with Property Damage only**

*Retain 1 year.*

**J03-07 (n): No Report – Dispatch / On Site**

*Retain 1 year.*

**J03-07 (o): Civilian Transport without arrest**

*Retain 1 year.*

**J03-07 (p): Test/Training**

*Retain 1 year.*

## **J04: State Police Shift records**

See the sub-schedules for specific retention information.

### **J04-01: Missing Persons Reports Records**

*Retain while active plus 6 years.*

Documents reports of missing persons.

### **J04-02: Evidence and Property Control Records**

See the sub-schedules for specific retention information.

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.

#### **J04-02 (a): Murder and rape evidence**

*Retain 50 years.*

#### **J04-02 (b): All other evidence**

*Retain 6 years after case and appeals closed.*

#### **J04-02 (c): Found or confiscated property**

*Retain 1 year.*

### **J04-03: Crime Scene Documentation Records**

See the sub-schedules for specific retention information.

Documents the recording of crime scenes through photography and fingerprint taking.

#### **J04-03 (a): Noteworthy cases**

*Contact Massachusetts Archives to review materials to determine disposition*

#### **J04-03 (b): Murder and rape evidence**

*Retain 50 years.*

#### **J04-03 (c): All other evidence**

*Retain 6 years after case closed.*

### **J04-04: Dispatch and Communications Recordings**

*Retain 1 year.*

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.

### **J04-06: Shift Administration Records**

*Retain 3 years.*

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.

### **J04-07: Lost and Recovered Property Records**

*Retain 1 year.*

Documents property where the owner cannot be determined.

### **J04-08: Firearm/Gunshot Wound Reports**

*Retain 50 years.*

Documents any incidents involving weapons that resulted in wounds. Includes reports and related correspondence and notes.

### **J04-09: Arrest Records**

See the sub-schedules for specific retention information.

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.

#### **J04-09 (a): Official posting of adult records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

#### **J04-09 (b): Official posting of juvenile records**

*Retain 35 years.*

#### **J04-09 (c): Sexual assault records**

*Retain 15 years after final appeal.*

#### **J04-09 (d): All other records**

*Retain 10 years after final case activity or appeal.*

### **J04-10: Cell Monitoring Records**

*Retain 3 years.*

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.

### **J04-12: Officers Daily Journal**

*Retain until all required reports and narratives are completed and filed.*

Documents notes taken by individual officers in the course of routine shift assignments.

### **J04-13: Protective Custody Records**

*Retain 3 years.*

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.

### **J04-14: Detainee Property Records**

*Retain 3 years after release.*

Documents a detainee's personal possessions placed in safekeeping.

**J04-15: Use of Force Reports**

*Retain 10 years.*

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.

**J04-16: Ramp Permits**

*Retain 2 years.*

Documents vehicle information used to record ramp stickers from various airlines and tenants at Logan airport. These files are used for reference purposes.

**J04-17: Airwing Video**

*Retain 1 year.*

All video generated by Department of State Police aircraft.

**J04-18: Daily Administrative Journal**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents all incidents, investigations, and activities of each shift.

**J05: State Laboratory records**

*See the sub-schedules for specific retention information.*

**J05-01: Laboratory Quality Assurance Records**

*Retain 3 years.*

Documents crime laboratory quality control monitoring and reporting.

**J05-02: Crime Lab Case Records**

*See the sub-schedules for specific retention information.*

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.

**J05-02 (a): Criminal activity testing**

*Retain 15 years or 6 years after case closed and appeals exhausted.*

**J05-02 (b): Non-criminal activity testing**

*Retain 1 year after analysis.*

**J05-03: Forensic Lab Reports**

*Retain 15 years.*

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.

**J05-04: Medical Examiners Autopsy Case Files**

*See the sub-schedules for specific retention information.*

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.

**J05-04 (a): Medical Examiner's copy**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J05-04 (b): District Attorney's copy**

*Retain 50 years.*

**J06: Department of Fire Services**

*See the sub-schedules for specific retention information.*

**J06-01: Massachusetts Fire Incident Reports**

*Retain 7 years.*

Documents reports from Fire Chiefs to State Fire Marshal regarding all fires with a dollar loss or human casualty as required by M.G.L. c. 148, § 2.

**J06-02: Massachusetts Burn Injury Reports**

*Retain 7 years.*

Documents reports by treating Physicians of burns involving 5% or more of the body surface as required by M.G.L. c. 112, § 12A.

**J06-03: Massachusetts Property Insurance Loss Reports**

*Retain 7 years.*

Documents reports by insurance companies regarding claims of \$1,000 or more for structure as required by M.G.L. c. 148, § 32.

**J06-04: Massachusetts Burned/Recovered Motor Vehicle Reports**

*Retain 7 years.*

Documents the compilation of reports pursuant to M.G.L. c. 266, § 29B.

**J06-05: Fire Services Statistical Reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents the compilation of reports and data received by the Department of Fire Services.

**J06-06: Fuel Tank Facility Permit Records**

*Retain for the life of the tank plus 6 years.*

Documents the application for permits for underground storage tanks, above ground storage tanks, marine fueling facilities, and self-service gas stations.

**J06-06: Self Service Gas Station Records**

*Retain 10 years.*

Documents relative to the approval of self-service gas stations to include site plans, permits, licenses and related documents.

**J06-07: Above Ground Storage Tank Records**

*Retain for the life of the tank plus 6 years.*

Documents relative to the above ground storage tanks to include application, approval and related documents

**J06-08: Marine Fueling Facilities Records**

*Retain 10 years.*

Documents relative to marine fueling to include permits, licenses and related documents.

**J06-09: Professional Certification and Licensing Records**

*See the sub-schedules for specific retention information.*

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, pyrotechnic, on-demand mobile refueling, commercial cooking exhaust operations, fire suppression system testing, and maintenance activities. Includes applications, test scores, supporting documents, renewal documents, and background checks.

**J06-07 (b): All other records**

*Retain 10 years after inactive.*

**J06-09 (a): Initial application and supporting documentation**

*Retain 10 years after date of initial application.*

**J06-09 (b): Exams and testing materials**

*Retain 3 years.*

**J06-09 (c): Renewal documents and supporting documentation**

*Retain 10 years after date of license or certificate renewal.*

**J06-09 (d): Background checks**

*Retain 3 years after completion of background check.*

**J06-10: Fire Marshal Inspection Records**

*See the sub-schedules for specific retention information.*

Documents regulatory and statutory inspections of facilities, equipment or individuals certified, permitted, or licensed by the State Fire Marshal.

**J06-08 (a): If civil, administrative or criminal action is taken**

*Retain 10 years after case is closed.*

**J06-08 (b): If no civil, administrative or criminal action is taken**

*Retain 3 years after last activity.*

**J06-10 (a): Fire inspection - Innholder licenses**

*Retain 5 years.*

**J06-10 (b): Portable firing trailer inspection and electronic firing panel records**

*Retain 5 years.*

**J06-10 (c): Cargo and transfer tank inspection records**

*Retain 5 years.*

**J06-11: Fire Code Investigation Records**

*See the sub-schedules for specific retention information.*

Documents investigations conducted by civilian compliance officers relating to alleged or actual fire code violations.

**J06-09 (b): All other records**

*Retain 3 years after case is closed.*

**J06-11 (a): Cases involving noteworthy persons or a death**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J06-11 (b): Investigations resulting in administrative action (to include citations, license revocation or suspension)**

*Retain 6 years after date of last administrative action.*

**J06-11 (c): Investigations not resulting in administrative action**

*Retain 3 years after investigation.*

**J06-12: Code Compliance and Enforcement Desk Call Log**

*Retain 5 years.*

Documents relative to inquiries received by Code Compliance and Enforcement Unit.

**J06-12: State Fire Station Administration Records**

*See the sub-schedules for specific retention information.*

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.

**J06-12 (a): Shift logs and reports**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J06-12 (b): All other records**

*Retain 3 years.*

**J06-13: Automatic Sprinkler Appeals Board Records**

*Retain 3 years.*

Documents appeals filed with the Automatic Sprinkler Appeals Board to include applications, hearing notices, exhibit lists, hearing lists, hearing records and case decisions pursuant to M.G.L. c. 6, § 201.

**J06-14: Fire Prevention Regulations Appeals Board Records**

*Retain 3 years.*

Documents appeals filed with the Fire Prevention Regulations Appeals Board to include applications, hearing notices, exhibit lists, hearing records and case decisions pursuant to M.G.L. c. 22D, § 5.

**J06-15: Firefighting Academy Course and Curriculum Records**

*See the sub-schedules for specific retention information.*

Documents the training of Massachusetts and out-of-state firefighters. Includes course description, course curriculum, session rosters, and related course documentation.

**J06-15 (a): Record of scheduled sessions and course descriptions**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J06-15 (b): Instructor training manuals, lesson plans, syllabi and grading rubrics**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J06-15 (c): Curriculum development records to include course planning documents**

*Retain 10 years.*

**J06-15 (d): All other course or session documents**

*Retain 3 years after program end date.*

**J06-16: Firefighting Academy Student Records**

*See the sub-schedules for specific retention information.*

Documents the application, admission, training histories of recruit and in-service students, medical and injury reports, testing, evaluation and certification records, and related documents.

**J06-16 (a): Student application, admission and course registration records**

*Retain 75 years from date of application, admission and/or registration.*

**J06-16 (b): Training histories of recruit and in-service students**

*Retain 75 years from date of course completion.*

**J06-16 (c): Medical and injury reports of recruit and in-service students**

*Retain 75 years from date of injury.*

**J06-16 (d): Testing and evaluation records of recruit and in-service students**

*Retain until six months after separation from program.*

**J06-16 (e): Recruit and in-service student certification records**

*Retain 75 years from date of certification.*

**J06-16 (f): All other student records**

*Retain 3 years after program end date.*

**J06-17: Massachusetts Hazardous Materials Response Incident Files**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents responses by the Massachusetts Hazardous Materials Response Team to include incident information, costing information, personnel information, information regarding the responsible party and all related documents.

**J06-18: Hazardous Waste Mitigation Cost Recovery Records**

*Retain 6 years after costs recovered or written off.*

Documents DFS invoicing to recover costs incurred by the State in the mitigation of hazardous materials. Includes invoices, site specific reports and related correspondence.

**J06-19: Department of Fire Services Special Operations Incident Response Records**

*Retain 6 years after incident termination.*

Documents Department of Fire Services Special Operations costing for incidents to include personnel costs, vehicle costs, site specific costs and other related correspondence.

**J06-20: Department of Fire Services Special Operations Incident Response Records**

*See sub-schedules for specific retention periods.*

Documents video footage captured by unmanned aircraft systems (UAS or drones) utilized by the Department of Fire Services (DFS) in support of local fire departments. The footage may include scenes of fires, accidents, hazardous material incidents, search and rescue operations, training exercises, and other emergency response. Any UAS or drone video captured in support of law enforcement that resulted in an investigation that is still open/pending shall not be deleted/destroyed. Similarly, no UAS or drone video shall be destroyed until all known appeals and/or related litigation is exhausted and closed.

**J06-20 (a): Video captured which relates to or resulted in an investigation, enforcement or official action which has been closed.**

*Retain 6 years.*

**J06-20 (b): Video collected as part of a training exercise, equipment demonstration, equipment testing, aerial survey or in support of situational awareness or other general operational footage with a non-investigative purpose.**

*Retain 1 year.*

**J06-20 (c): Video deemed to have historical significance.**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J07: Corrections - Inmate records**

*See the sub-schedules for specific retention information.*

**J07-01: Inmate Commitments/Discharges Logs and Indexes**

*25 years upon final release.*

Documents the posting of inmate commitments and discharges for the institution. Includes commitment and/or discharge logs or registers, and register index cards.

**J07-02: Inmate Booking Records**

*25 years upon final release (life of the six-part folder)*

Documents the official booking and registration of an individual inmate. Includes initial booking sheets, and fingerprint cards.

**J07-02 (a): Fingerprint cards and photographs**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J07-02 (b): All other records**

*Retain until no longer used or needed; permission not needed for destruction*

**J07-03: Inmate and Detainee Personal Property Records**

*Retain 3 years after final release.*

Documents inmate and detainee personal property received in, sent out, stored, or in the possession of. Includes property sheets, changes, and related correspondence.

**J07-04: Inmate Account Records**

*Retain 3 years.*

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.

**J07-05: Inmate Six-Part Folder and Detainee Records**

*See the sub-schedules for specific retention information.*

Documents the history of individual detainees (non-criminally sentenced individuals) and inmates within a given facility.

**J07-05 (a): State prison records**

*Retain 25 years after final release.*

Folders include: Sentencing, Criminal Justice Information Service (CJIS), Classification, Correspondence, Disciplinary, and Activities.

**J07-05 (b): House of Correction records**

*Retain 25 years after release.*

**J07-05 (c): Detainee records**

*Retain 3 years after final release.*

Non-criminally sentenced individuals.

**J07-05 (d): Civil Commitments**

*Retain 5 years after release.*

**J07-06: Inmate Central Record**

*Retain 25 years upon final release.*

Provides a secondary record of individual inmates as retained by the Central Records Office of the Department of Corrections. The creation of the Central Record ceased in 2007.

**J07-07: Inmate Medical Records**

*Retain 20 years from close of file.*

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.

**J07-08: Inmate Program Records**

*See the sub-schedules for specific retention information.*

Documents institutional programs for inmates such as the Correctional Recovery Academy (CRA) and other substance abuse and recidivism reduction programs, 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.

**J07-08 (a): Program routine administration records including volunteer files**

*Retain 3 years.*

**J07-08 (b): Inmate GED scores**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J07-08 (c): All other records**

*Retain 5 years after inmate final release.*

**J07-09: Inmate Earned Good-Time Rosters (129-D)**

*Retain seven years from creation of document.*

Documents support for inmate good-time determinations.

**J07-10: Inmate Industrial and Institutional Work Records**

*Retain until no longer used or needed; permission not needed for destruction*

Documents inmate participation in work for compensation programs. Includes acceptance documentation, job assignments, work status reports, hours, and related correspondence.

**J07-11: Inmate Furlough/Work Release Files**

*Retain 10 years after final release.*

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.

**J07-12: Inmate Parole Records**

*Retain 25 years after release.*

Documents the release on parole of an inmate from the institution. Includes Parole Board decisions and discussions, release documentation, and related correspondence.

**J07-13: Inmate Pardons and Commutations Records**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

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.

**J07-14: Inmate Drug Testing**

*Retain 3 years.*

Documents testing of inmates for use of contraband substances.

**J07-15: Awaiting Action Unit (AAU) Records**

*See the sub-schedules for specific retention information.*

Documents the special temporary housing of individuals under protective, sanctioned, or other type of custody.

**J07-15 (a): Weekly/Monthly AAU status review reports**

*Retain 3 years.*

**J07-15 (b): Daily AAU sheets**

*Retain 10 years.*

**J07-16: Inmate Restraint, Seclusion, and Monitoring Records**

*Retain 10 years when filed separately from "Inmate Institutional Case File (J08-05)."*

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.

**J07-17: Inmate Disciplinary Records**

*See the sub-schedules for specific retention information.*

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.

**J07-17 (a): Filed separately from Inmate Institutional Case File (non-guilty findings)**

*Retain 10 years.*

**J07-17 (b): Hearing tapes**

*Retain 3 years.*

**J07-18: Inmate Surveillance Records**

*See the sub-schedules for specific retention information.*

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.

**J07-18 (a): Materials maintained as evidence in disciplinary action, use of force**

*incident or civil/criminal litigation*

*Retain 10 years.*

**J07-18 (b): All other materials**

*Retain until no longer used or needed; permission not needed for destruction*

**J07-19: Inmate Investigation Records**

*Retain 10 years.*

Documents investigations of inmates for misconduct or illegal activities. Includes incident or shift reports, dictatapes and other media, investigation notes and reports, and related correspondence.

**J07-20: Visitor Records**

*See the sub-schedules for specific retention information.*

Documents requests to visit detainees (non-criminally sentenced individuals) and inmates. Includes request to visit detainee or inmate forms, visitor background information, detainee and inmate visitor cards and related correspondence.

**J07-20 (a): Request to visit inmate forms**

*Retain 3 years.*

**J07-20 (b): Barred visitor case files**

*Retain 7 years.*

**J07-20 (c): Inmate visitor records**

*Retain 25 years upon final release.*

**J07-20 (d): Detainee (non-criminally sentenced individuals) visitor records**

*Retain 3 years upon final release.*

**J07-21: Inmate Grievance Logs and Records**

*Retain 7 years.*

Documents inmate written complaints filed by an inmate in accordance with 103 CMR 491.00. Includes grievance logs, grievances, resolution documents, and related correspondence.

**J07-22: Inmate Institutional Correspondence**

*Retain 7 years.*

Documents correspondence to and from inmates.

**J07-23: Inmate Telephone System Number Requests**

*Retain until entered onto system.*

Documents inmate requests to add or delete persons from the Inmate Telephone System.

**J07-24: Inmate Marriage Records**

*Retain until no longer used or needed; permission not needed for destruction*

The background information and forms used to process requests relating to the marriage of an individual who is incarcerated.

## **J08: Corrections - Institutional records**

*See the sub-schedules for specific retention information.*

### **J08-01: Shift Commanders Daily Reports/Package**

*Retain 7 years.*

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.

### **J08-02: Unit Log Books**

*Retain 10 years.*

Documents the daily activities in institution units such as inmate movement into and out of unit and incidents.

### **J08-03: Shift Post Orders**

*Retain 7 years.*

Documents instructions to guide staff in the performance of their duties. Orders are signed off by individual staff each shift.

### **J08-04: Shift Assignment Bid and Swap Records**

*See sub-schedules for specific retention periods.*

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.

#### **J08-04 (a): Swap slips**

*Retain 1 year.*

#### **J08-04 (b): Swap Log Books**

*Retain 5 years.*

#### **J08-04 (c): Bid slips**

*Retain 1 year.*

#### **J08-04 (d): Time-off Log Books**

*Retain 5 years.*

### **J08-05: Dietary and Meal Records**

*Retain 3 years.*

Documents the provision of food and meals to persons under care in state facilities. Includes menu plans, special diet plans, and related correspondence.

### **J08-06: Census and Population Counts**

*Retain until information is captured on electronic record-keeping system.*

Documents the tracking of the population of persons under care of DOC.

### **J08-07: Authorization to Enter Forms**

*Retain until no longer used or needed; permission not needed for destruction*

Documents authorizations for non-institutional persons to enter facility. Includes background support materials, and related correspondence.

### **J08-08: Vehicle and Persons Trap Logs**

*Retain 10 years.*

Documents movement of vehicles and persons into and out of prison grounds.

### **J08-09: Inmate Movement Records**

*Retain 3 years.*

Documents the daily population and movement tracking of inmates within the institution.

### **J08-10: Mittimus Records**

*See the sub-schedules for specific retention information.*

Consists of court writs instructing the jailor to hold the prisoner.

#### **J08-10 (a): When kept in the inmate six-part folder**

*25 years upon the final release (the life of the six-part folder).*

#### **J08-10 (b): When not kept in the inmate six-part folder**

*Retain 6 years upon release.*

### **J08-11: Habeas Corpus Records**

*Retain until no longer used or needed; permission not needed for destruction*

Documents court orders requesting the presence of an inmate.

### **J08-12: Code or Alert Records**

*Retain 3 years.*

Documents routine events requiring emergency response such as medical incidents, fights, or small fires.

### **J08-13: Use of Force Reports/Package**

*Retain 10 years.*

Documents the use of force by employees within DOC. Includes use of force reports, incident and reports, summary from shift commander, cover letter from Superintendent to Special Operations, and applicable video.

**J08-14: Corrections Emergency Planning and Response Records**

*See the sub-schedules for specific retention information.*

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.

**J08-14 (a): Summary reports and substantive correspondence**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J08-14 (b): All other records**

*Retain 10 years.*

**J08-15: Urgent Matter Reports**

*See the sub-schedules for specific retention information.*

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.

**J08-15 (a): Secretary of State copy**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J08-15 (b): Commissioner's copy**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J08-15 (c): Other copies within Public Safety**

*Retain 10 years.*

**J08-16: Certification and Notification Records**

*Retain 4 years.*

Documents notifications to certified petitioners of changes in inmate incarceration status such as lower security transfer, escape, release, or death.

**J08-17: Overtime Call Lists**

*Retain 3 years.*

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.

**J08-18: Executive Correspondence and Subject Files**

*Retain 7 years.*

Includes Commissioner's Office and other division heads, and superintendents' office memos, letters, reports, and other materials filed by subject.

**J09: Middlesex Sheriff's Office**

*See the sub-schedules for specific retention information.*

**J09-01: Inmate Commitments and Discharges Logs and Indexes**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

Documents the posting of inmate commitments and discharges for the institution. Includes commitment and/or discharge logs or registers and register index cards.

**J09-02: Inmate/Detainee Central Case Record**

*See the sub-schedules for specific retention information.*

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.

**J09-02 (a): Fingerprint Cards and photographs**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

**J09-02 (b): All other records**

*Retain 6 years then move to electronic record keeping system.*

**J09-03: Inmate/Detainee Personal Property Records**

*Retain 3 years after final release then move to electronic record keeping system.*

Documents inmate/detainee personal property received in, sent out, stored or in the possession of. Includes property sheets, changes, and related correspondence.

**J09-04: Inmate/Detainee Account Records**

*Retain 3 years after final release then move to electronic record keeping system.*

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.

**J09-05: Inmate/Detainee Institutional Case File**

*See the sub-schedules for specific retention information.*

Documents the history of individual inmates within a given facility. Folders subcategories include legal, classification, institutional programming, community programming, health and parole.

**J09-05 (a): House of Corrections records**

*Retain 6 years after release then move to electronic record keeping system.*

**J09-05 (b): Jail records**

*Retain 6 years after release then move to electronic record keeping system.*

**J09-06: Inmate/Detainee Medical Records**

*Retain 10 years after final release then move to electronic record keeping system.*

Documents inmate medical histories, including but not limited to initial screening, medical background materials, x-rays, and psychiatric evaluations and visits.

**J09-07: Shift Commanders Daily Reports/Package**

*Retain 5 years.*

Documents shift activity, significant occurrences, security shift posts/daily assignments, etc.

**J09-08: Mittimus Records**

*Retain 6 years after release.*

Consists of court writs instructing the jailor to hold the prisoner.

**J10: All Sheriffs**

See the sub-schedules for specific retention information.

**J10-01: Annual Report to the Commissioner**

*Retain until no longer used or needed; permission not needed for destruction*

This is an annual report to the Department of Corrections, pursuant to M.G.L. c. 127 § 10; C.M.R. c. 103, § 915.14.

**J10-02: Application to Conduct Social Research**

*Retain 5 years after request.*

This series is to record and provide access to inmate's records pursuant to M.G.L. c. 127, §§ 1A, 1B; M.G.L. c. 127 §§ 1(d), 1(q); C.M.R. c. 103, § 918.02.

**J10-03: Arsenal Log**

*Retain 5 years after date of last entry.*

This series is used to record items in the arsenal and identify the personnel who received them.

**J10-04: Calendar of Inmates (Inmate log or Convict Register)**

*Contact Massachusetts Archives to review materials to determine disposition*

This series is used to track admittance and activity of inmate, pursuant to M.G.L. c. 126, § 5; M.G.L. c. 127 § 7; C.M.R. c. 103, § 915.05.

**J10-05: Calendar of Inmates (Prepared for Superior Court)**

*Destroy after closure of court session.*

This series is used to track inmates for appearance in court pursuant to M.G.L. c. 126, § 5; C.M.R. c. 103, § 915.05.

**J10-06: Daily Court Lists**

*Retain until no longer used or needed; permission not needed for destruction*

This series is used to track inmates for appearance in court.

**J10-07: Day Sheets**

*Retain until no longer used or needed; permission not needed for destruction*

This series is used to track activity of inmates.

**J10-08: Disapproval of Correspondence**

*Retain 5 years, unless pending litigation.*

This series is used to monitor inmate correspondence Pursuant to C.M.R. c. 103, § 948.07.

**J10-09: Health Records**

*Retain 5 years after release or termination of parole.*

This series is used to record physical exams of inmates pursuant to, M.G.L. c. 127 § 17; C.M.R. c. 103 § 915.03.

**J10-10: Individual Institutional Case Records (Case Files)**

*Retain 5 years after release or termination of parole.*

This series is used to record information on inmates pursuant to M.G.L. c. 127 § 135.

**J10-11: Index to Inmates**

*Contact Massachusetts Archives to review materials to determine disposition*

This series records admission and discharge of inmates.

**J10-12: Industries Records**

*Retain 1 year after audit.*

This series is used to record the activities of industries pursuant to M.G.L. c. 127, § 51.

**J10-13: Inmate Cash Receipts**

*Retain 1 year after completion of audit following release.*

This series records the amount of money in the procession of an inmate upon commitment pursuant to M.G.L. c. 127, § 3.

**J10-14: Inmate Personal Property Record**

*Retain 1 year following release of inmate.*

This series records personal property in the procession of an inmate upon commitment pursuant to M.G.L. c. 127, § 3.

**J10-15: Inmate Cash Records**

*Retain 3 years after following release, escape, or death of inmate provided an audit has been completed.*

This series is used to record interest accrued from money that was deposited after it was received from an inmate upon commitment pursuant to M.G.L. c. 127, § 3; M.G.L. c. 96A.

**J10-16: Institution Logs**

*Retain 5 years after date of last entry.*

This series is used to record daily inmate and isolation counts, incidents and duty logs pursuant to M.G.L. c. 127, § 5.

**J10-17: Isolation Log**

*Retain 5 years from date of last entry.*

This series records inmates punished by isolation pursuant to M.G.L. c. 127, § 4.

**J10-18: Media Waivers**

*Retain 5 years after release or termination of parole.*

This series is used to record an inmates consent to be interviewed by the news media pursuant to C.M.R. c. 103 § 131. 10.

**J10-19: Mittimus File**

*Retain 10 years after release or termination of parole.*

This series is used to record and process the admission, transfer and release of an inmate pursuant to M.G.L. c.127, § 7; C.M.R. c. 103 § 155.

**J10-20: Monthly Report of Admissions and Releases**

*Retain until no longer used or needed; permission not needed for destruction*

This series is used to record admissions and release of inmates pursuant to M.G.L. c. 127, § 5.

**J10-21: Noncompliance Files**

*Retain until no longer used or needed; permission not needed for destruction*

This series is used to record actions taken to comply with the Department of Corrections standards pursuant to M.G.L. c. 127, § 1B.

**J10-22: Orders of Removal**

*Retain 5 years after release or termination of parole.*

This series is used to record the removal or transfer of an inmate to another institution pursuant to M.G.L. c. 127, § 120.

**J10-23: Personnel Files**

*See the sub-schedules for specific retention information.*

This series is used to record all activities related to an employee's service.

**J10-23 (a): Master Microfilm**

*Retain 75 years following termination of employee.*

This series is used to record all activities related to an employee's service.

**J10-23 (b): Duplicate Microfilm**

*Retain until no longer used or needed; permission not needed for destruction*

**J10-24: Personnel Trap Log**

*Retain 5 years after date of last entry.*

This series is used to record people entering and exiting the institution M.G.L. c. 103, § 924.01.

**J10-25: Petitions to Visit**

*Retain until no longer used or needed; permission not needed for destruction*

This series is used to record and identify people requesting to visit an inmate pursuant to M.G.L. c. 126, § 16.

**J10-26: Photographs**

*Retain 10 years until superseded.*

This series is to provide a photographic record of the inmate's appearance at time of Incarceration pursuant to M.G.L. c. 127, §§ 23, 28.

**J10-27: Procedures Manual**

*Contact Massachusetts Archives to review materials to determine disposition*

This series is used to the detailed operating procedures for the institution pursuant to C.M.R. c. 103, § 924.01.

**J10-28: Reports of Noncompliance**

*Retain until no longer used or needed; permission not needed for destruction*

This series is used to record violations of Department of Corrections regulations noted during state inspections of institution pursuant to M.G.L. c. 127, § 1B.

**J10-29: Transportation Log**

*Retain 5 years after date of last entry.*

This series is used to record the condition and use of security transport vehicles.

**J10-30: Vehicle Trap Log**

*Retain 5 years after date of last entry.*

This vehicle is used to record vehicles entering and departing the institution.

**J10-31: Visitors Cards**

*Retain 5 years after release or termination of parole.*

This series is used to record the name, relationship, or purpose of person visiting an inmate pursuant to M.G.L. c. 127, § 36.

**J10-32: Visitors Log**

*Retain 5 years after date of last entry.*

This series is used to record all visitors to the institution pursuant to M.G.L. c. 127, §§ 36, 37.

**J10-33: House of Correction records**

*Retain 25 years after release.*

**J10-34: Detainee records**

*Retain 3 years after final release.*

Non-criminally sentenced individuals.

**J10-35: Civil Commitments**

*Retain 5 years after release.*

**J11: Municipal Police Training Committee**

See the sub-schedules for specific retention information.

**Administrative Records**

See the sub-schedules for specific retention information.

**J11-20: MPTC Action Notice**

Retain 25 years.

**J11-21: MPTC Separation Notice**

Retain 25 years.

**After Action Report Cover Letter Package**

See the sub-schedules for specific retention information.

**J11-08: Basic Recruit White Card / Yellow Reserve Card**

Retain permanently; state agency records eligible for transfer to Mass Archives

**Committee records**

See the sub-schedules for specific retention information.

**J11-23: Disciplinary Hearing Decision Letters**

Retain 25 years.

**J11-24: Disciplinary Hearing Files**

Retain 25 years.

**Course and Curricula records**

See the sub-schedules for specific retention information.

**J11-26: All Student Officer and Instructor Manuals**

Retain permanently; state agency records eligible for transfer to Mass Archives

**J11-27: Certification Report - Overall fitness evaluation**

Retain 75 years.

**J11-28: Class Rankings and GPAs**

Retain 75 years.

**J11-29: Class Schedule**

Retain 75 years.

**J11-30: Curriculum Development Records**

Retain 10 years.

**J11-31: Evaluation Sheets**

Retain 3 years.

**J11-32: Lesson Plans**

Retain permanently; state agency records eligible for transfer to Mass Archives

**J11-33: Staff Instruction Logs**

Retain permanently; state agency records eligible for transfer to Mass Archives

**J11-34: Tests, Quizzes, and Answer Keys**

Retain 3 years.

**Fiscal**

See the sub-schedules for specific retention information.

**J11-25: Police Corps Records**

Retain permanently; state agency records eligible for transfer to Mass Archives

**Recruit and Reserve Academy Forms**

See the sub-schedules for specific retention information.

**J11-11: Emergency Procedures**

Retain 3 years post-graduation.

**J11-12: Firearms Questionnaire**

Retain until graduation.

**J11-13: Illness / Injury Report**

Retain 25 years.

**J11-14: To / From Disciplinary Memorandums**

Retain 25 years.

**J11-15: Hearing Decision**

Retain 25 years.

**J11-16: Exemptions**

Retain 25 years.

**J11-17: Waivers**

Retain 25 years.

**J11-18: Formal Advisory**

Retain 10 years.

**Recruit Officer Training Application Package**

See the sub-schedules for specific retention information.

**J11-01: Recruit Officer Course Training Application**

Retain 50 years.

**J11-02: MPTC Waiver, Release and Indemnification Agreement**

*Retain 50 years.*

**J11-03: Medical Examination Form / Initial Hire Medical Standards (MPTC Copy)**

*MPTC retains their copy until graduation of recruit; Record copy held by the Human Resources Division.*

**J11-04: HRD Official Results of Police Physical Ability Test (MPTC Copy)**

*MPTC retains their copy until graduation of recruit; Record copy held by the Human Resources Division*

**J11-05: MPTC Modified Health and Wellness Log**

*Retain 25 years.*

**J11-06: Recruit Officer Fitness Self-Assessment (PT Instructor)**

*MPTC retains their copy until graduation of recruit.*

**J11-07: Mandatory Daily Health and Wellness Log**

*Retain 25 years.*

**Reserve**

*See the sub-schedules for specific retention information.*

**J11-09: Letter of Authorization**

*Retain 50 years.*

**J11-10: Roster Form TC-1**

*Retain 50 years.*

**Training and Instructor Manuals and Materials**

*See the sub-schedules for specific retention information.*

**J11-19: Academy Policy and Procedures**

*Retain permanently; state agency records eligible for transfer to Mass Archives*

