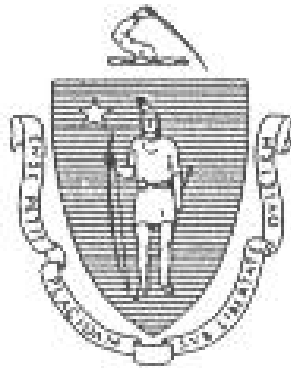


# Massachusetts Statewide Records Retention Schedule

## 07-07

A publication of the Records Conservation Board produced in conjunction with the  
Massachusetts Archives and the Supervisor of Public Records Office



**Approval Date**

June 6, 2007

**Expiration Date**

In effect until superseded

# Table Of Contents

## **Introduction**

Preface .....	3
Revisions to the Current Edition.....	4
Important Points.....	8
Special Notes .....	9
How to Use this Records Retention Schedule .....	10
Glossary of Special Terms.....	11
Sample Office File Plan .....	13
Sample Headings.....	14

## **Forms**

RCB-2 Application for Destruction Permission .....	15
RCB-2T Application for Transfer Permission .....	16
RCB-1E Application for Electronic Systems Information Management Plan.....	17
RCB-2E Application for Scanning and Destruction Permission.....	19
RCB-2M Application for Destruction Permission: Records Required to be Microfilmed Before they are Destroyed.....	20

<b><u>Detailed Table of Contents</u></b> .....	23
--	----

## **Main Body**

<b>A Administration .....</b>	<b>51</b>
<b>B Legal and Regulatory .....</b>	<b>61</b>
<b>C Facilities, Transportation, and Construction.....</b>	<b>72</b>
<b>D Fiscal.....</b>	<b>85</b>
<b>E Personnel .....</b>	<b>90</b>
<b>F Information and Records Management .....</b>	<b>95</b>
<b>G Secretary of State .....</b>	<b>105</b>
<b>H Education .....</b>	<b>119</b>
<b>I Environment and Energy .....</b>	<b>125</b>
<b>J Public Safety .....</b>	<b>134</b>
<b>K Health and Human Services .....</b>	<b>152</b>
<b>L Revenues and Taxation .....</b>	<b>168</b>
<b>M Labor and Workforce .....</b>	<b>196</b>
<b>N Massachusetts Port Authority.....</b>	<b>203</b>

<b><u>Index</u></b> .....	<b>215</b>
---------------------------	------------

## **Preface**

The Massachusetts Statewide Records Retention Schedule continues to grow and evolve. A few new sections have been added to this version including: Massachusetts Highway Department, Department of Conservation and Recreation Well Driller Program, Massachusetts Labor Relations Commission, Middlesex Sheriff's Office, and All Sheriffs. Several new record series have been added and a few have been modified.

Please note that new forms have been developed entitled "RCB-2E Application for Scanning and Destruction Permission, and RCB2M Application for Destruction Permission (microfilm)". These forms will enable us to describe the record keeping requirements for records that will be reformatted to electronic or microfilm forms. Contact the Records Management Unit for assistance in completing these forms.

## Revisions to the Current Edition

The following changes have been incorporated into this edition of the Statewide Records Retention Schedule.

### Additions.

C10 Massachusetts Highway Department  
C10-1 Consultant Selection Documents  
C10-2 Consultant Contract Book  
C10-3 Consultant Contract Amendments  
C10-4 Consultant Invoices  
C10-5 Consultant Correspondence  
C10-6 Project Correspondence (External)  
C10-7 Project Correspondence (Internal)  
C10-8 Project Documentation and Reports  
C10-9 Environmental Permits  
C10-10 Public Hearing Transcript  
C10-11 Meeting Minutes  
C10-12 Construction Contract Awards  
C10-13 Construction Proposal Book  
C10-14 Surveying Services Contract Book  
C10-15 Payment Commodity Forms (PRC)  
C10-16 Daily Report of Contract Survey Party HED-121  
C10-17 Weekly Progress and Time Report HED-880  
C10-18 Application for Employment Surveyors Field Personnel form HED-007  
C10-19 Maintenance Fuel Receipts  
C10-20 Radio Logs  
C10-21 Roadside Maintenance Contracts  
C10-22 Equipment-Heavy & Light Repair Orders  
C10-23 Snow & Ice PV's  
C10-24 Inmate Litter Assistance Information  
G5 Legislation and Policy  
G5-3 Request for Opinions  
G5-4 Secretary of State's Responses  
G5-5 Legislation Files-Passed Legislation (Record Copy)  
G5-6 Legislation Files-Unpassed  
G5-7 Legislative Liaison Correspondence  
G5-8 Reference Subject Files  
G5-9 Legislation Status Report  
G11 Library/Archives  
G11-9 LSTA (Library Services and Technology Act)  
G11-10 LSCA (Library Services and Construction Act) Title II-Public Library Construction  
I10 Department of Conservation and Recreation Well Driller Program  
I10-1 Completion Reports  
I10-2 Initial Registration Well Driller Application  
I10-3 Renewal Applications  
J10 Middlesex Sheriff's Office  
J10-1 Inmate Commitments/Discharges Logs and Indexes  
J10-2 Inmate/Detainee Central Case Record  
J10-3 Inmate/Detainee Personal Property Records  
J10-4 Inmate/Detainee Account Records  
J10-5 Inmate/Detainee Institutional Case File  
J10-6 Inmate/Detainee Medical Records  
J10-7 Shift Commanders Daily Reports/Package

J10-8 Mittimus Records  
J11 All Sheriffs  
J11-1 Annual Report to the Commissioner  
J11-2 Application to Conduct Social Research  
J11-3 Arsenal Log  
J11-4 Calendar of Inmates (Inmate log or Convict Register)  
J11-5 Calendar of Inmates (Prepared for Superior Court)  
J11-6 Daily Court Lists  
J11-7 Day Sheets  
J11-8 Disapproval of Correspondence  
J11-9 Health Records  
J11-10 Individual Institutional Case Records (Case Files)  
J11-11 Index to Inmates  
J11-12 Industries Records  
J11-13 Inmate Cash Receipts  
J11-14 Inmate Personal Property Record  
J11-15 Inmate Cash Records  
J11-16 Institution Logs  
J11-17 Isolation Log  
J11-18 Media Waivers  
J11-19 Mittimus File  
J11-20 Monthly Report of Admissions and Releases  
J11-21 Noncompliance Files  
J11-22 Orders of Removal  
J11-23 Personnel Files  
J11-23a Personnel Files Master Microfilm  
J11-23b Duplicate Microfilm  
J11-24 Personnel Trap Log  
J11-25 Petitions to Visit  
J11-26 Photographs  
J11-27 Procedures Manual  
J11-28 Reports of Noncompliance  
J11-29 Transportation Log  
J11-30 Vehicle Trap Log  
J11-31 Visitors Cards  
J11-32 Visitors Log  
K6 Patient  
K6-16 External Reviews  
K6-17 Managed Care Inquiries Through the Office of the Managed Care Ombudsman  
K6-18 Health plan Inspections  
K11 Division of Health Care Finance and Policy  
K11-1 Hospital Field Audit Work Papers  
K11-2 Hospital Cost Reports  
K11-3 Hospital Maximum Allowable/MAC Cost Reports  
K11-4 Long Term Care Cost Reports  
K11-5 Educational Social and Mental Health Services Cost Reports  
K11-6 Ambulatory Care Reports  
K11-7 Hospital Charge books  
K11-8 Long Term Care IC FMR Cost Reports  
K11-9 Uniform Financial Reports (UFR's)  
K11-10 Ambulance Day Health (ADH) Cost Reports  
K11-11 Hospital Annual Financial Fillings  
K11-12 Certified Nursing Assistants CNA  
K11-13 Blue Cross Blue Shield Contracts  
K11-14 Medicare 2552  
K11-15 Public Hearing Records

K11-16 Long Term Care Wage Surveys  
K11-17 Legal Appeals  
L2 Tax Customer Service  
L2-4 Tax Practitioner Electronic Filing Authorizations  
L8 Child Support  
L8-4 Child Support Account System Monitoring and Control Reports  
L13 Retirement and Benefits  
L13-9 Approval Letters  
L13-10 Appropriation Letters  
L13-11 Reimbursement Letters  
L13-12 Local Actuarial Valuation Reports  
L13-13 Commonwealth's Total Pension Obligation  
L13-14 Data Questionnaires  
L13-15 Valuation Work Papers  
L13-16 Valuation Data Work Papers  
L13-17 Non Valuated Data Work Papers  
L13-18 PRIM Election Ballots  
L13-19 Disability Unit File  
L13-20 Annual Statements from Retirement Boards  
L13-21 Audit Reports of Retirement Boards  
L13-22 Audit Work Papers  
L13-23 Supplementary Schedules  
L13-24 Annual Statement of Earned Income  
L13-25 Investigatory Files  
L13-26 Investigative Docket/Log  
L13-27 Financial Statements  
L13-28 Year End Files  
L13-29 Revoked Waivers  
L13-30 Manager Waiver Files  
L13-31 Review of Investment Holdings  
L13-32 Legal Opinions  
L13-33 Disability Remand Files  
L13-34 Certificates  
L13-35 Litigation/Administration Files  
L13-36 Judicial Litigation Files  
L13-37 Subpoenas  
L13-38 Gulf War Files  
L13-39 Acceptance Letters  
L13-40 Legislative Comments  
L13-41 Department of Industrial Accidents Correspondence  
L13-42 Medical Panel Appointment Case Files  
L13-43 Disability Retirement Case Files  
L13-44 Supplementary Regulations  
M4 Massachusetts Labor Relations Commission  
M4-1 Case Files  
M4-2 Transcripts  
M4-3 Case Study Cards  
M4-4 Docket Books  
M4-5 Master Index  
M4-6 Collective Bargaining Agreements  
M4-7 Master Schedule Book

**Modifications.**

F4 Media/Format  
F4-3 Audio/Visual Tape or Digital Recordings

G11 Library/Archives  
G11-3 Library/Archives Reference Requests  
G11-4 Library/Archives Call Slips  
G11-5 Archives Researcher Registers  
G11-6 State Publications Listing  
G11-7 Librarian Certification Records  
G11-8 Reference Activity Reports/Statistics  
L10 Bank  
L10-1 New Charter and Holding Company Acquisition Records  
L10-6 Licensing Records  
M1 Industrial Accidents and Injuries  
M1-8 Workers Compensation Litigation Case Files  
N7 Utilities Management  
N7-1 Meter Readings File  
N7-2 Meter Records Log Books  
N7-3 Utility Account Log Books  
N7-4 System Account Log Books  
N7-5 Utility Account Computer Input  
N7-6 Utility Account Usage Report  
N7-7 Budgetary Unit Usage Report  
N7-8 Energy Use Reports  
N7-9 Budget History (Fiscal Year End)  
N7-10 Utility Accounts/Budget Unit Master Files  
N7-11 Tenant Utility Report  
N7-12 Utility G/L Journal Report  
N7-13 Utility Systems Accounts  
N7-14 Department Subject Files  
N7-15 Utilities Budget

## Important Points

- This schedule is produced under the statutory provisions of 30 MGL 42, 66 MGL 1, 66 MGL 8, 9 MGL 2, and 4 MGL 7(26).
- This schedule applies to all records of state government including those of executive departments, constitutional offices, authorities, independent agencies, and state records being managed by contracted service providers. This schedule applies to all records, wherever they are found, and in whatever formats. The schedule does not apply to municipal government.
- This Statewide Records Retention Schedule replaces all other special, general, or department-wide records disposition schedules except for RCB-1E plans for electronic record keeping systems.
- Board approval is required before any records are destroyed or transferred using this schedule except for records whose designated retention period is "after administrative use ceases", or "after verification". If your agency records are not covered by this schedule or if your retention requirements are different than those listed, please contact the Records Conservation Board or the Records Management Unit.
- Retention periods reflect minimum time periods. Agencies may retain records for longer periods of time at their discretion or as required by agency legal counsel.
- Do not destroy any records while they are subject to audit, investigation, or where investigation is probable.
- Agencies may always single out potentially historical materials for review by the Archives regardless of stated retention periods.
- This current edition expires when it is replaced by a new version. This schedule will remain in effect until a newer version is approved.



## Special Notes

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

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

### **Older records.**

Any records dating before 1870 are required to be retained permanently by statute. Records older than fifty years old may require retention periods that differ from those listed in this schedule. Please contact the Archives' Records Management Unit to arrange for a review of any records that are fifty years old or older.

### **Records in inactive storage areas.**

If your agency has records in storage areas such as basements, warehouses, or backrooms, that are not fully inventoried or identified by record series and date please contact the Records Management Unit at once for guidance. These records are often at risk of water damage, destruction, theft, or confidentiality or other security breach. These areas may hold historically valuable records that should be transferred to the safekeeping of the Archives or the State Records Center.

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

For all state departments conducting business on the state accounting system known as Massachusetts Management Accounting and Reporting System (MMARS) all fiscal and accounting transactions are recorded and archived by the Office of the Comptroller on behalf of departments. The documentation supporting transactions, such as invoices, contracts, procurement documents, correspondence, must be maintained, by departments for the requisite retention period required for the type of transaction involved. For example, for all supporting documentation for contracts, including payments under a contract, the supporting documentation must be retained for six years from the final payment under that contract or until litigation is resolved if filed within that period.

## **How to Use This Records Retention Schedule**

Always check the Records Management Unit website to be sure you are using the most current version of the Statewide Records Retention Schedule. <http://www.state.ma.us/sec/arc/arcrmu/rmuidx.htm>

Do not destroy any records while they are subject to audit, investigation, or where investigation is probable.

To implement this schedule complete an application for destruction (RCB-2) or a transfer form (RCB-2T) and send to the Records Conservation Board which will consider them at their monthly board meetings held on the first Wednesday of each month. Please note that any retention periods reading "until administrative use ceases", "until superseded", or "after verification" may be disposed of without an application for destruction with certain exceptions such as those designated for "review by the Archives" or for the scanned or microfilmed hardcopy of uncertified systems.

This schedule has been designed to print double-sided which accounts for the blank pages. This document is also designed so that agencies can select and print out the sections of the table of contents and main body of the document that are most suitable for them.

Address all comments about the schedule to the Records Management Unit of the Massachusetts Archives. For more information about information and records management go to the RMU website or call 617-727-2816.

# Glossary of Special Terms

## **Administration.**

As used in record series titles or descriptions, 'administration' or 'administrative' records refers to routine work materials necessary to manage agency programs and functions on a daily basis. These terms are often used to differentiate between 'fiscal' records on the one hand and 'policy, planning, and decision-making' records on the other.'

## **Administrative Use.**

The length of time records retains their value as determined by agency staff. It is discretionary and does not require further input from the Archives. Records retained 'until administrative use ceases' may be discarded without filling out a destruction form (RCB-2) with certain exceptions noted in the record series retention period or notes.

## **Archives.**

The Archives maintains the permanently valuable records of the state for the benefit of state agencies, the Commonwealth, and its citizenry. The State Records Center, by contrast, provides temporary storage of records on the behalf of state agencies.

## **Contract.**

A contract is a legally binding agreement between two or more parties typically used where monies are to be paid for services or products within a given time frame.

## **Executives.**

This category includes elected officials, commissioners, agency heads, and the persons with delegated authority to act on their behalf.

## **Facilitative.**

Refers to records of convenience in the handling of information or files. They are often also considered 'transitory'.

## **Grant.**

A grant is a conditional gift of monies to qualified applicants to further a specific purpose. A grant is a type of contract.

## **Includes.**

"Includes" as used in a record series description means "may include" or "includes but is not limited to". It is meant to be followed by typical items that may be found in a record series for the purposes of identification and description.

## **Permanent.**

Permanent records are to be retained indefinitely. Transfer these records to the Archives after they become inactive. Note: permanent records are subject to archival review per vote of the Records Conservation Board on February 2, 2005.

## **Program.**

A program is an ongoing or repeating functional activity carried out as part of agency responsibilities. A program may an organizational administrative unit or may fall within an administrative unit.

## **Project.**

A project is a one-time work activity carried out over the course of time. It has defined objectives and has a specific beginning and end.

## **Record.**

A record is information that has been recorded or captured on a given media. Recorded information may be found on paper, audiotape, and computer hard-drives and disks. The record is both the message and the media it is stored on.

**Record Series.**

A record series is a set of files relating to a specific business process or function such as ‘Personnel Case Files’. Occasionally a record series is defined by the format of the records such as ‘Maps’ or ‘Photographs’. The Statewide Records Retention Schedule uses the record series as the basic organizational unit.

**Record-Keeping System.**

A ‘record-keeping system’ or ‘electronic record-keeping system’ is an information system where records are maintained predominately in electronic format in contrast to paper-based systems where paper is the official or principle copy.

**Review by the Archives.**

A review and appraisal of the records by Archives staff to determine if any of them have archival or permanent value. Archival review normally implies that at least some of the records are thought to have permanent value, but at times none of the records are saved.

**Routine.**

Used to refer to typical daily work done by an office in the normal course of business. It is commonly used alongside the words ‘administrative’ or ‘administration’. Generally it is used to define records that have a useful working life but do not have enduring or lasting value. At times there are reasons to keep portions of these types of records long-term, though, so care must govern their disposition.

**State Records Center.**

The State Records Center provides temporary storage of records on the behalf of state agencies. The Archives, by contrast, maintains the permanently valuable records of the state for the benefit of state agencies, the Commonwealth, and its citizenry.

**Substantive Support Materials.**

Substantive materials are those that add to an understanding of the thought process or intent of the subjects covered, that show the process by which conclusions were drawn, or that document work that was done. Materials such as random notes, preliminary drafts, or copy-edit drafts that do not add significantly to an understanding of the file are not considered substantive. Please note that nothing in this definition should be taken as an excuse to alter or distort the true content or meaning of the file.

**Transitory.**

Refers to records whose value, for all practical purposes, ends after a short time period.

# Sample File Plan

The following file plan presents a typical arrangement of files that corresponds to the record series listed in the Statewide Records Retention Schedule. Offices will benefit from the creation of files plans such as the one below. The files plan can reference the Statewide Records Retention Schedule to determine the retention period of the record series. A files plan can be used for hardcopy or electronic files using the Statewide Schedule as a classification scheme.

## **Administration**

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

## **Legal and Regulatory**

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

## **Fiscal**

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

## **Facilities**

- Planning and Oversight

## **Information Systems**

- Planning and Oversight

# Sample Headings

## RCB-1E Systems Information Management Plan

Agency Name

System Custodian and Liaison

System Name

System Overview (purpose)

System Description (technical)

System Inputs (with retention periods)

System Outputs (with retention periods)

System Backup Schedule

System Archiving Schedule

Restrictions on Use and Access

Related Systems Records, Files, and Indexes

System Contingency Plans

Other

# The Commonwealth of Massachusetts

**William Francis Galvin**

Secretary of the Commonwealth

Records Conservation Board - Massachusetts Archives at Columbia Point

220 Morrissey Blvd., Boston, Massachusetts 02125-3384

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

Website: <http://www.state.ma.us/sec/arc/arcrmu/rmuidx.htm>

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

## FORM RCB-2 APPLICATION FOR DESTRUCTION PERMISSION

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

**1. Destruction Permission for:**  
 (Executive Office, Authority) (Department/Agency) (Division, Unit)

**DO NOT USE THIS SPACE**

Disposal Schedule #

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

**Approvals:**

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

**3. Location of records:**

**RECORDS CONSERVATION BOARD**

**4. I certify that the records listed in this application meet the requirements of the Agency's Records Retention Schedule and are not subject to pending audit or investigation.**

(Department Head or Authorized Agent)

(Print or Type Name)

(Date)

\_\_\_\_\_  
(Chairman)

\_\_\_\_\_  
(Secretary)

-----  
(Signature)

\_\_\_\_\_  
(Date of Approval)

-----  
(Address)

-----  
(Phone)

Series Item #	Description of Record (Give Form # if any)	Applicable Schedule	Inclusive dates
Example: D2-4b	Internal Audit Work Papers	05/05	1993-1996

# The Commonwealth of Massachusetts

William Francis Galvin

Secretary of the Commonwealth

Records Conservation Board - Massachusetts Archives at Columbia Point

220 Morrissey Blvd., Boston, Massachusetts 02125-3384

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

Website: <http://www.state.ma.us/sec/arc/arcrmu/rmuidx.htm>

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

## FORM RCB-2T APPLICATION FOR TRANSFER PERMISSION

<p><b>1. Transfer Permission for:</b>  <i>(Executive Office, Authority) (Department/Agency) (Division, Unit)</i></p>	<b>DO NOT USE THIS SPACE</b>
<p><b>2. Total approximate volume of records proposed to be transferred (cubic feet, file drawers, boxes, etc.):</b></p>	Disposal Schedule #
<p><b>3. Location of records:</b></p>	<p><b>Approvals:</b>  Pursuant to provisions of M.G.L., Ch. 30, S. 42, as most recently amended, the Records Conservation Board hereby grants permission to transfer the records listed in this application under the disposal schedule(s) listed above.</p>
<p><b>4. Indicate type of record(s) being transferred under TYPE RECORD column: A=Public Records; B=Records containing "Personal Data"; C=Records specifically exempted from disclosure by statute. Multiple categories are acceptable (i.e., A/B). Statutory access restrictions imposed on records, and the reason for restrictions, shall be stated in writing and listed on the reverse side of this form.</b></p>	
<p><b>5. I certify that the records in this application are listed on the Agency's Records Retention Schedule.</b></p> <p>-----  <i>(Department Head or Authorized Agent)</i>  (Print or Type Name) (Date)</p> <p>-----  (Signature)</p> <p>-----  (Address) (Phone)</p>	
<p>RECORDS CONSERVATION BOARD</p> <p>-----  (Chairman)</p> <p>-----  (Secretary)</p> <p>-----  (Date of Approval)</p>	

Series Item #	Description of Record	Type of Record	S.R.C. or Archives	Retention Schedule Number	Inclusive dates
Example: A1-1	Program Establishment Records	A	Archives	05/05	1981-1982



# The Commonwealth of Massachusetts

**William Francis Galvin**

Secretary of the Commonwealth

Records Conservation Board - Massachusetts Archives at Columbia Point

220 Morrissey Blvd., Boston, Massachusetts 02125-3384

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

Website: <http://www.state.ma.us/sec/arc/arcrmu/rmuidx.htm>

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

## FORM RCB -1E Application for Electronic Systems Information Plan FACE SHEET

<b>1. Plan for:</b> (Executive Office, Authority)    (Department/Agency)    (Division, Unit, etc.)	<b>DO NOT USE THIS SPACE</b> Systems Plan #
<b>2. Applicable Statutory Reference:</b>	<b>Approvals:</b> Pursuant to provisions of M.G.L., Ch. 30, S. 42, as most recently amended, the Records Conservation Board hereby approves this plan.
<b>3. I certify that this plan and the retention periods for the records described in the plan have been reviewed by me as being in the best interests of this agency, and in compliance with applicable statutes and regulations.</b> (Department Head or Authorized Agent) (Print or Type Name) _____ (Date) _____ ----- (Signature) _____ ----- (Address) _____ (Phone) _____	<b>RECORDS CONSERVATION BOARD</b> _____ (Chairman) _____ (Secretary) _____ (Date of Approval)
Note: BEFORE YOU MAY CLEAR DATA OR FILES OF LISTED RECORDS, YOU MUST OBTAIN SEPARATE PERMISSION from the Board. Application for: DESTRUCTION PERMISSION (RCB-2) is provided for the purpose.	

# RCB-1E Systems Information Management Plan

Agency Name

System Custodian and Liaison

System Name

System Overview (purpose)

System Description (technical)

System Inputs (with retention periods)

System Outputs (with retention periods)

System Backup Schedule

System Archiving Schedule

Restrictions on Use and Access

Related Systems Records, Files, and Indexes

System Contingency Plans

Other

# The Commonwealth of Massachusetts

**William Francis Galvin**

Secretary of the Commonwealth

Records Conservation Board - Massachusetts Archives at Columbia Point

220 Morrissey Blvd., Boston, Massachusetts 02125-3384

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

Website: <http://www.state.ma.us/sec/arc/arcrmu/rmuidx.htm>

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

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

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

<b>1. Destruction Permission for:</b> <i>(Executive Office) (Department/Agency) (Division, Unit, etc.)</i>	<b>DO NOT USE THIS SPACE</b>
<b>2. Total approximate volume of records proposed to be destroyed (cubic feet, file drawers, boxes, etc.):</b>	Disposal Schedule #
<b>2A. Retention period of documents to be scanned/Location of Records</b>	<b>Approvals:</b> Pursuant to provisions of M.G.L., Ch. 30, S. 42, as most recently amended, the Records Conservation Board hereby grants permission to destroy the records listed in this application under the disposal schedule(s) listed above.  <b>RECORDS CONSERVATION BOARD</b>  <hr style="width: 80%; margin: 0 auto;"/> (Chairman)  <hr style="width: 80%; margin: 0 auto;"/> (Secretary)  <hr style="width: 80%; margin: 0 auto;"/> (Date of Approval)
<b>3. I certify that the records listed below have been scanned as required by the indicated disposal schedule. All scanning has been conducted in accordance with the Massachusetts Public Records Law. The scanned images have been inspected and found to be a complete and accurate representation of the original record.</b> <i>(Department Head or Authorized Agent)</i> Sign: _____ Date: _____	
<b>4. I certify that the last entries on the records listed in this application were made prior to the retention date of this agency's Disposal Schedule(s) thus satisfying the legal requirements that certain records be kept for a specified length of time.</b> <i>(Department Head or Authorized Agent) (Phone)</i> Print _____  Sign _____ (Date) _____	

Series Item #	Description of Record (Give Form # if any)	Applicable Schedule	Inclusive dates
Example: A5-5	Correspondence, Program Administration	05-05	1993-1996

# The Commonwealth of Massachusetts

**William Francis Galvin**

Secretary of the Commonwealth

Records Conservation Board - Massachusetts Archives at Columbia Point

220 Morrissey Blvd., Boston, Massachusetts 02125-3384

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

Website: <http://www.state.ma.us/sec/arc/arcrmu/rmuidx.htm>

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

## FORM RCB-2M APPLICATION FOR DESTRUCTION PERMISSION

Records required to be microfilmed before they are destroyed

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

Submit in triplicate

**1. Destruction Permission for:**

(Executive Office) (Department/Agency) (Division, Unit, etc.)

**DO NOT USE THIS SPACE**

Disposal Schedule #

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

**2a. Location of records**

**Approvals:**

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

**RECORDS CONSERVATION BOARD**

\_\_\_\_\_  
(Chairman)

\_\_\_\_\_  
(Secretary)

\_\_\_\_\_  
(Date of Approval)

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

**Department Head or Authorized Agent**

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

(Department Head or Authorized Agent) (Phone)

Print

Sign

(Date)

Series Item #	Description of Record (Give Form # if any)	Applicable Schedule	Inclusive dates
Example: A5-5	Correspondence, Program Administration	05-05	1993-1996

# *Table Of Contents*

**A**

## **Administration**

**A**

### **A1 Program Development and Review**

- 1 Program Establishment, Development, and Review Records
- 2 Annual and Summary Reports Records
- 3 Program Review/Audit Records
- 4 Internal Audit Records
- 5 Program Plans and Planning Records
- 6 Reorganization, Relocation, and Closing Records
- 7 Accreditation Records
- 8 Disaster Planning Records
- 9 Commemorations and Historical Anniversary Records
- 10 Program Historical Articles and Clippings
- 11 Artifacts and Memorabilia

### **A2 Legislation and Policy**

- 1 Informational Circulars
- 3 Legal Letter Release Records
- 4 Policy and Procedures Records
- 5 Executive Orders, Directives, and Bulletins Records
- 6 Rules and Regulations Records
- 7 Legislation Records
- 8 Legislative Relations Records

### **A3 Executive**

- 1 Executives' Correspondence/Subject Files
- 2 Executives' Briefing Files
- 3 Elected Office Transition Files

### **A4 Committee**

- 1 Committee Establishment, Charges, and Membership Records
- 2 Standing Committees, Councils, Boards, and Commissions Records
- 3 Committee Records
- 4 Board, Council, Committee Docketed Case Files
- 5 Committee Members' Records
- 6 Task Force Records
- 7 Staff Meeting Records

### **A5 Program Administration**

- 1 Program Subject/Resource Records
- 2 Program Subject/Resource Articles and Clippings
- 3 Program Issues and Topics Records
- 4 Program Outreach and Training Records
- 5 Program Administration Records
- 6 Program Publication Records
- 7 Routine Inquiries and Informational Requests
- 8 Program Transitory Correspondence Files
- 9 Chronological Correspondence Files

### **A6 Office Management**

- 1 Office Social Activity Records

*[Table of Contents]*  
**Administration**

**A**

**A**

**A6 Office Management**

- 2 Schedules and Calendars
- 3 General Office Administration Records

**A7 Program Relations**

- 1 Intra-Agency Relations Records
- 2 Intra-Governmental Coordination
- 3 Inter-Agency Relations Records
- 4 Federal/State Relations Records
- 5 Special Relations Records
- 6 External Program Relations Records
- 7 Professional Organizations and Associations Records

**A8 Public Relations**

- 1 Public Relations and Communications Records
- 2 Media Advisories and Releases Records
- 3 Public Appearances, Speeches, and Writings
- 4 Ombudsman/Advocate Records

**A9 Grants and Contracts**

- 1 Contract and Agreement Negotiation Records
- 2 Grant and Contract Administration Records
- 3 Grant Development and Proposal Records
- 4 Grant Program Records

**A10 Special Events**

- 1 Special Events Records
- 2 Conference, Seminar, and Workshop Participant Records
- 3 Conference, Seminar, and Workshop Sponsor Records

**A11 Special Projects**

- 1 Program Research and Survey/Questionnaire Data
- 2 Program Special Projects, Studies, and Initiatives Records

**B1 Legal Review**

- 1 Legal Review Records
- 2 Legal Announcements and Advertisements Records
- 3 Legal Opinion Records
- 4 Legal Issues Records
- 5 Delegation of Authority Records
- 6 Ethics and Conflict of Interest Records
- 7 Contract And Agreements Legal Files
- 8 Land Management and Acquisition Records

**B2 Public Records**

- 1 Public Records Request Records
- 2 Public Records Appeal Case Files
- 3 Massachusetts Environmental Police-Public Records Requests

**B3 Investigation and Monitoring**

- 1 Investigation Case Files
- 2 Discrimination Investigation Case Files
- 3 Civil Investigation Records
- 4 Special Investigation Records
- 5 Internal Investigation Records

**B4 Regulatory and Compliance**

- 1 Permits Records
- 2 Facilities Inspection, Monitoring, and Control Records
- 3 Facilities Licensing and Certification Records
- 4 Licensure Complaints, Investigations, and Hearings Records
- 5 Professional Licensure and Certification Records
- 6 Complaints Against Agency Records

**B5 Litigation**

- 1 Administrative Law Case Files
- 2 Administrative Law Appeals
- 3 Litigation Case Files
- 4 Litigation/Hearings Case Exhibits
- 5 Legal Briefs and Testimony Records
- 6 Tort Claim Records

**B6 Attorney General**

- 1 Attorney General Contract Review Records
- 2 Special Assistant Attorney General (SAAG) Records
- 3 Attorney General Conflict of Interest Disclosures
- 4 Attorney General Opinion Records
- 5 Attorney General Initiative Petition Review Records
- 6 General Obligation Bond Records
- 7 Attorney General Inauguration Records
- 8 Open Meeting Law Investigation Records
- 9 Public Records Referrals from Supervisor of Public Records
- 10 Attorney General Litigation Files
- 11 District Attorney Case Files
- 12 Attorney General Civil Investigations Records
- 13 Consumer Complaint Investigations Records
- 14 Public Charities Filing Records

**B6 Attorney General**

- 15 Public Charity Investigation Records
- 16 Insurance Rate Hearings Records
- 17 Contract Bid Award Investigation Records
- 18 Attorney General Community Services Records
- 19 Fugitive Renditions Records

**B7 Cable Television Division**

- 1 Division Appellate Decisions
- 2 Appellate Dockets-Support Material
- 3 Rate Decisions
- 4 Rate Regulation Proceedings-Support Material
- 5 Rulemaking Proceedings-Support Material
- 6 Rulemaking Decisions
- 7 Form 500 Annual
- 8 Form 500 Complaint Forms
- 9 Forms 200,300,400
- 10 Initial Franchise Agreements
- 11 Renewal Franchise Agreements
- 12 Form 100
- 13 Form 394
- 14 Billing & Termination of Service Filing
- 15 Rate Cards & Channel Line-Up

**B8 Agricultural Resources**

- 1 Division of Animal Health

**B9 Weights and Measures**

- 1 Division of Standards (Office of Consumer Affairs)



**C1 Facilities Management**

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

**C2 Construction Legal**

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

**C3 Construction Planning**

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

**C4 Pre-Construction**

- 1 Construction Project Designer Selection Records
- 2 Construction Project Bid Records
- 3 Construction Emergency Bid Waiver Records

**C5 Construction Management**

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

**C6 Property Management**

- 1 Highway and Bridge Maintenance Records

**C7 Real Estate and Land Use**

- 1 State Property Management Monitoring Records
- 2 Housing Tenants Records
- 3 State Leasing Reports

**C7 Real Estate and Land Use**

- 4 State Property Inventory Reports
- 5 Authorities Real Estate Planning and Development Records
- 6 Real Estate Disposition Proposal Records
- 7 Real Estate Disposition Disclosure Records
- 8 Fixed Asset Recording Records
- 9 Real Estate Disposition Records
- 10 Real Property Vital Records
- 11 State Property For Sale Inquiries Records
- 12 State Agency Lease Proposal Records
- 13 State Agency Lease Procurement Records
- 14 State Property Access License Records
- 15 Land Title Examiner Reference Records
- 16 Land Registration Records
- 17 Land Survey Records

**C8 Transportation Management**

- 1 Certificate Files (A&B)
- 2 Interstate License Certification Files
- 3 Vehicle Identification Devices and Applications for Drivers Licenses
- 4 Complaint/Investigation/Hearing Records (A)

**C9 Department of Housing Community Development**

- 1 Local Housing Authorities

**C10 Massachusetts Highway Department**

- 1 Consultant Selection Documents
- 2 Consultant Contract Book
- 3 Consultant Contract Amendments
- 4 Consultant Invoices
- 5 Consultant Correspondence
- 6 Project Correspondence (External)
- 7 Project Correspondence (Internal)
- 8 Project Documentation and Reports
- 9 Environmental Permits
- 10 Public Hearing Transcript
- 11 Meeting Minutes
- 12 Construction Contract Awards
- 13 Construction Proposal Book
- 14 Surveying Services Contract Book
- 15 Payment Commodity Forms (PRC)
- 16 Daily Report of Contract Survey Party HED-121
- 17 Weekly Progress and Time Report HED-880
- 18 Application for Employment Surveyors Field Personnel form HED-007
- 19 Maintenance Fuel Receipts
- 20 Radio Logs
- 21 Roadside Maintenance Contracts
- 22 Equipment-Heavy & Light Repair Orders
- 23 Snow & Ice PV's
- 24 Inmate Litter Assistance Information

*[Table of Contents]*

**D**

**Fiscal**

**D**

**D1 Accounting**

- 1 Independent Accounting/Payroll System Records
- 2 Grant and Contract Cost Accounting Records
- 3 Routine Accounting Records
- 4 Bank and Cash Records
- 6 Revenues and Sales Records
- 7 Billing and Collections Records
- 8 Claims and Disbursements Records
- 9 Trust and Loan Disbursement Records
- 10 Payment Signature Authorization Records
- 11 Bid and Procurement Records
- 12 Vendor Resource Materials
- 13 Vendor Relations Records
- 14 Fixed Asset Records

**D2 Development and Review**

- 1 Fiscal Planning, Reports, and Surveys Records
- 2 Capital Improvement Plan Records
- 3 Budget Preparation and Monitoring Records
- 4 Fiscal Audit Records
- 5 Fiscal Monitoring Records
- 6 Fund Development Records
- 7 Fiscal Systems Internal Control Records

**D3 Grants and Aid**

- 1 State Municipal Funding Records
- 2 State Economic or Development Grants Records

**D4 Payroll**

- 1 Travel Expense Records
- 2 Payroll and Benefits Case Files
- 3 Time and Attendance Records
- 4 W-2s
- 5 Payroll Administration Records

**D5 Public Employee Retirement Administration Commission**

- 1 Financial Statements

*[Table of Contents]*

**E**

**Personnel**

**E**

**E1 Program Administration**

- 1 Human Resources Programs Records
- 2 Employee Awards and Recognition Records
- 3 Agency Telephone Directories and Staff Listings
- 4 Employee Newsletters

**E2 Recruitment and Hiring**

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

**E3 Affirmative Action/EEO**

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

**E4 Employee**

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

**E5 Personnel Actions**

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

**E6 Accident and Injury**

- 1 Employee Illness and Injury Records

**F Information and Records Management**

**F**

**F1 Unclassified**

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

**F2 Reference**

- 1 Reference/Resource Material
- 2 Systems Manuals and Technical Reference Materials
- 3 Referral Resource Files

**F3 Facilitative**

- 1 Information Routing and Tracking Records
- 2 Transaction Transmission Receipts
- 3 Drafts and Notes
- 4 Document Composition Materials
- 5 Stenographers Notes
- 6 Convenience Files
- 7 Reference Copies
- 8 Duplicates

**F4 Media/Format**

- 1 Electronic Records
- 2 Micrographic Records
- 3 Audio/Visual Tape or Digital Recordings
- 4 Photographs, Slides, and Illustrations
- 5 Maps, Drawings, and Plans

**F5 System Infrastructure**

- 1 System Programs, Applications, and Code Records
- 2 Systems Maintenance, Monitoring, and Testing Records
- 3 Website Documentation Records
- 4 Systems Documentation Records
- 5 Systems Contingency Records
- 6 Systems Technical Support and Assistance Records
- 7 Systems and Applications Development Records
- 8 Systems Conversion, Enhancement, and Upgrade Records

**F6 System Operations**

- 1 Records Management Records
- 2 Systems Data Deletion Records
- 3 System Job Order (Run) Records
- 4 Systems Intermediate Work Files Records
- 5 Systems Use Reports
- 6 System Audit Trail Records
- 7 Systems Security Records
- 8 Data Processing, Verification, and Monitoring Records
- 9 Systems Training Records

**F7 System Data**

- 1 Data Source Records
- 2 Email Correspondence Files
- 3 Voice Mail Correspondence Files
- 4 Information Finding Aids, Indexes, and Lists
- 5 Database Content Records
- 6 Website Content Records
- 7 Legacy Data Records
- 8 Retrospective Data Conversion Source Records
- 9 Data "Archival" Storage Records
- 10 Data Backup Records

**G1 Election Candidates**

- 1 Candidate Qualifying Records
- 2 Candidate Public Financing Request Records
- 3 State Primary and Election Nominations
- 4 Federal Candidate Financial Reports
- 5 Campaign Finance Disclosure Records
- 6 Campaign Finance Monitoring and Investigation Records
- 7 General Court Candidate Financial Filings
- 8 Statewide Office Candidate Financial Filings
- 9 Referendum Committee Financial Filings
- 10 Corporation Campaign Contributor Financial Filings

**G2 Lobbyists**

- 1 Lobbyists' Employers Financial Disclosure Filings
- 2 Political Committee Statements of Organization Filings
- 3 Ward and Town Political Party Committee Financial Filings
- 4 Lobbyist/Organization Registration and Financial Disclosure Filings
- 5 Lobbyist/Organization Filings Monitoring Records
- 6 Lobbyists and Employers Reports
- 7 Political Action Committee Financial Filings

**G3 Election Voting**

- 1 Electoral College Records
- 2 Election Districts Records
- 3 Voting Machine Certification Records
- 4 Voter Registration Records
- 5 Polling Place Registrations
- 6 Election Returns of Town Officers
- 7 Election Ballots and Instructions Records
- 8 Election Initiative, Petitions, and Referendums Records
- 9 Vote Returns Certification Records
- 10 Election Reviews and Challenges Records
- 11 Access to the Ballot Case Files

**G4 Commissions and Appointments**

- 1 Commissions and Boards Appointment Log Books Records
- 2 Boards, Authorities, Councils, Commission Appointment Records
- 3 Appointment Qualification Signature Books
- 4 Appointment Performance Bond Filings
- 5 Appointment Qualification Certification Records
- 6 Non-Resident Clergyman and Solemnization of Marriage Records
- 8 City and Town Acceptance of General Laws Records
- 9 City and Town Appointment Notifications
- 10 Notary Public Apostille Verification Records
- 11 Notary Public Validation of Acts Certification Records
- 12 Form O Notary Public Filing
- 13 Notary Public Re-Registrations (Name Change)

**G5 Legislation and Policy**

- 1 Rules and Regulations Filings
- 2 Acts and Resolves Filings
- 3 Request for Opinions
- 4 Secretary of State's Responses
- 5 Legislation Files-Passed Legislation (Record Copy)
- 6 Legislation Files-Unpassed
- 7 Legislative Liaison Correspondence
- 8 Reference Subject Files
- 9 Legislation Status Report

**G6 Corporations and Business**

- 1 Corporations Service of Process Records
- 2 Corporations and Businesses Regulation Records
- 3 Universal Commercial Code Filings
- 4 Trademark Registration Filings

**G7 Securities**

- 1 Registration, Exemption, and Notice Filing Register
- 2 Broker-Dealer Registration and Exclusion Notice Filings
- 3 Investment Adviser Registration and Federal Covered Advisor Notice Filings
- 4 Broker-Dealer Agent and Investment Adviser Representative Registration Filings
- 5 Securities Registration and Exemption Filings
- 6 Investment Company Notice Filings
- 7 Issuers Consent to Service of Process Filings
- 8 Sales and Advertising Literature Filings
- 9 Interpretative Opinion Records
- 10 Inquiries and Complaints Records
- 11 Investigation and Enforcement Records
- 12 Administrative Hearing Enforcement Action Case Files
- 13 Investor Education Program Records

**G8 Deeds**

- 1 Deed Registration Records

**G9 State Matters**

- 1 State Seal and Other Records
- 2 Abolished County Records
- 3 State Citations and Awards Records

**G10 Historic Property**

- 1 Property Appraisers Certification Records
- 2 Historic Preservation Information Source Files
- 3 Historic Preservation Restrictions Agreement Records
- 4 National Historic Preservation Act Compliance Records
- 5 National Register of Historic Places Compliance Records
- 6 Historic Preservation Certification Records
- 7 Archeology Records

**G11 Library/Archives**

- 1 Library/Archives Accession Log
- 2 Archives and Records Center Vault Records
- 3 Library/Archives Reference Requests
- 4 Library/Archives Call Slips
- 4 Archives Researcher Registers
- 5 State Publications Listing
- 6 Librarian Certification Records
- 8 Reference Activity Reports/Statistics
- 9 LSTA (Library Services and Technology Act)
- 10 LSCA (Library Services and Construction Act) Title II-Public Library Construction



**H1 Administration**

- 1 HEGIS Report Records
- 2 Dean's Records
- 3 Satellite Campus Oversight Records

**H2 Admissions**

- 1 Student Admissions/Registration Records
- 2 Student Immunization Records
- 3 Tuition and Fees Records
- 4 Student Financial Aid Records
- 5 Student Scholarships, Fellowships, and Awards Records
- 6 Student Record Transcript Requests Records

**H3 Academic Program**

- 1 Academic Program Administration Records
- 2 Academic Advisement Records
- 3 Student Internships and Practicums Records
- 4 Independent/Cooperative or Alternate Study Records
- 5 International Studies Program Records
- 6 Award Establishment Records
- 7 Commencement and Awards Records

**H4 Course and Curriculum**

- 1 Curriculum Development Records
- 2 Class Schedule Records
- 3 Course Outlines and Descriptions Records

**H5 Testing and Grades**

- 1 Student Tests and Examinations
- 2 Student Evaluations of Teachers
- 3 Masters Theses
- 4 Academic Degree Audit Records
- 5 General Educational Development (GED) Certification Records
- 6 Official Course and Grade Records

**H6 Faculty**

- 1 Faculty Personal and Professional Papers
- 2 Tenure and Promotion Records
- 3 Teacher Certification Records
- 4 Faculty Appointment Records
- 5 Faculty Workload Records
- 6 Sponsored Research Records

**H7 Student Activities**

- 1 Student Event/Activities Applications Records
- 2 Student Clubs and Associations Records
- 3 Student Government Records
- 4 Student Newspaper
- 5 Student Athletic Participation Records

**H8 Student Affairs**

- 1 Student Grievance/Complaint Records

**H8 Student Affairs**

- 2 Student Discipline Records
- 3 Student Disability Records
- 4 International Students Case Files

**H9 Student Services**

- 1 Student Support Services Records
- 2 Special Services Program Records
- 3 Student Counseling Records
- 4 Student Career/Placement Records
- 5 Student Health Clinic Records

**H10 Library and Learning Center**

- 1 Borrowers Records

**I Environment and Energy I**

**I1 Environmental Conservation and Protection**

- 1 Environmental Natural Resources Management Records
- 2 Environmental Historic Preservation Program Records
- 3 DEP and Brownfields Grant Program Records
- 4 Environmental Disaster Planning and Relief Records
- 5 Conservation District Election Certificates Records
- 6 Coastal Community Relations Records
- 7 Coastal Resources and Wetlands Deed Restriction Case Files
- 8 Wetlands Project Approval Records

**I2 Construction and Engineering**

- 1 Environmental Maps, Plans, and Photos
- 2 Environmental Impact Studies, Site Analyses, and Reports
- 3 Environmental Systems Records
- 4 Environmental Engineering Reports and Plans

**I3 Laboratory**

- 1 Environmental Lab Certification Records
- 2 Environmental Laboratory Records

**I4 Regulation and Compliance**

- 1 Environmental Administrative Law Appeal Case Files
- 2 Environmental Licensing Course Approval Records
- 3 Mass Environmental Protection Act (MEPA) Review Records
- 4 Environmental Strike Force Case Files
- 5 Environmental Professional Licensing Records
- 6 Environmental Facilities Licensing, Permits, and Certification Records
- 7 Environmental Regulation and Licensing Records
- 8 Environmental Monitoring and Inspection Records
- 9 Environmental Investigation and Enforcement Records

**I5 Hazardous Waste Management**

- 1 Hazardous Waste Cleanup Cost Recovery Records
- 2 Federal Superfund Sites Records
- 3 Hazardous Materials Right-To-Know Records
- 4 Hazardous Materials Contingency Plan Records
- 5 Hazardous Waste Sites and Spills Records
- 6 Contaminated Site Cleanup Records
- 7 Hazardous Materials Regulation Records
- 8 Facilities Hazardous Substances Records
- 9 Toxics Use Reduction Records
- 10 Asbestos Regulation Records
- 11 Hazardous Waste Transport and Disposal Records
- 12 Radioactive Waste Disposal Records

**I6 Waste and Emissions**

- 1 Air Quality Testing and Monitoring Records
- 2 Environmental Equipment Quality Assurance Records
- 3 Air Quality Public Health Studies Records
- 4 Clean Air and Water Records
- 5 Medical, Biological, and other Waste Disposal Records

**Environment and Energy**

**I7 Water Resources**

- 1 Drinking Water Certification, Permits, and Approval Records
- 2 Safe Water Act Monitoring and Compliance Records
- 3 Safe Water Act Investigation and Enforcement Case Files
- 4 PWS History Records
- 5 PWS Construction Plan Review Records
- 6 PWS/Cross Connection Records
- 7 Water Management Annual Reports, Surveys, and Statistics Records
- 8 Water Supply Protection Program Records
- 9 Water Supply Contamination Records
- 10 Water Emergency Program Records

**I8 Public Utilities and Energy**

- 1 Energy Conservation Services and Assistance Records
- 2 Public Utilities Case Files
- 3 Utility Company Annual Returns Reports
- 4 Cable Television

**I9 Forestry, Parks, and Recreation**

- 1 Parks Shift Records
- 2 Timber Harvesting Licensing Records
- 3 Fishing and Hunting Licensing Records
- 4 Forester Licensing Records

**I9 Department of Conservation and Recreation Well Driller Program**

- 1 Completion Reports
- 2 Initial Registration Well Driller Application
- 3 Renewal Applications

**J1 Administration**

- 1 Uniform National Crime Reports
- 2 Crime Reports
- 3 Special Events and Activities Records
- 4 Emergency Planning and Response Records
- 5 Criminal History Files
- 6 Sexually Dangerous Person Case Files

**J2 Licensing and Regulation**

- 1 Special Licenses and Permits Records

**J3 State Police**

- 1 Death Investigations and Reports Records
- 2 Criminal Investigation Case Files
- 3 Special Investigation Records
- 6 Criminal Activity Surveillance Records
- 7 Incident/Complaint Investigation Records

**J4 State Police Shift**

- 1 Missing Persons Reports Records
- 2 Evidence/Property Control Records
- 3 Crime Scene Documentation Records
- 4 Dispatch and Communications Recordings
- 5 Shift Logs
- 6 Shift Administration Records
- 7 Lost and Recovered Property Records
- 8 Firearm/Gunshot Wound Reports
- 9 Arrest Records
- 10 Cell Monitoring Records
- 11 Central Activity Log/Blotter Records
- 12 Officers Daily Journal
- 13 Protective Custody Records
- 14 Detainee Property Records
- 15 Use of Force Reports
- 16 Ramp Permits File

**J5 Motor Vehicles**

- 1 Motor Vehicle Operators Merit Rating Records
- 2 Motor Vehicle Drivers License Exams
- 3 Motor Vehicle Accident Investigation Records
- 4 Motor Vehicle Title Registration and Renewal Records
- 5 Uniform Traffic Citations Records
- 6 Motor Vehicle Accident Reports
- 7 Motor Vehicle Operators Licensing and ID Card Records
- 8 Motor Vehicle Inspection Stations Records
- 9 Motor Vehicle License Plate Applications Records
- 10 Motor Vehicle Reports
- 11 Motor Vehicle Towing Reports
- 12 Motor Vehicle Citations, Parking Records
- 13 Motor Vehicle Citations, Moving Violations Records
- 14 Boat, Recreation Vehicle, Snow Vehicle Operator Accident Report
- 15 Boat Recreation Vehicle, Snow Vehicle Accident Investigation Records
- 16 Registry of Motor Vehicles (Revenue Operations) Revenue Reports
- 17 Registry of Motor Vehicles (Revenue Operations) Bad Check Information
- 18 Registry of Motor Vehicles (Revenue Operations) Deposit Information
- 19 Registry of Motor Vehicles (Revenue Operations) Rebate Documentation

**J6 Laboratory**

- 1 Laboratory Quality Assurance Records

**J6 Laboratory**

- 2 Crime Lab Case Records
- 3 Forensic Lab Reports
- 4 Medical Examiners Autopsy Case Files

**J7 Fire Marshal**

- 1 Massachusetts Fire Incident Reports
- 2 Massachusetts Burn Injury Reports
- 3 Massachusetts Property Insurance Loss Reports
- 4 Massachusetts Burned/Recovered Motor Vehicle Reports
- 5 Fire Services Statistical Reports
- 6 Fuel Tank Facility Permit Records
- 7 Fire Professional Certificates/Licensing Records
- 8 Fire Marshal Inspection Records
- 9 Fire Code Investigation Records
- 10 Firefighting Academy Course and Curriculum Records
- 11 Firefighting Academy Admissions/Registration Records
- 12 State Fire Station Administration Records

**J8 Corrections Inmate**

- 1 Inmate Commitments/Discharges Logs and Indexes
- 2 Inmate Booking Records
- 3 Inmate/Detainee Personal Property Records
- 4 Inmate Account Records
- 5 Inmate Institutional Case File
- 6 Inmate Central Case File
- 7 Inmate Medical Records
- 8 Inmate Program Records
- 9 Inmate Earned Good-Time Rosters (129-D)
- 10 Inmate Industrial and Institutional Work Records
- 11 Inmate Furlough/Work Release Files
- 12 Inmate Parole Records
- 13 Inmate Pardons and Commutations Records
- 14 Inmate Drug Testing
- 15 Awaiting Action Unit (AAU) Records
- 16 Inmate Restraint, Seclusion, and Monitoring Records
- 17 Inmate Disciplinary Records
- 18 Inmate Surveillance Records
- 19 Inmate Investigation Records
- 20 Inmate Visitor Records
- 21 Inmate Grievance Logs and Records
- 22 Inmate Institutional Correspondence
- 23 Inmate Telephone System Number Requests
- 24 Inmate Marriage Records

**J9 Corrections Institutional**

- 1 Shift Commanders Daily Reports/Package
- 2 Unit Log Books
- 3 Shift Post Orders
- 4 Shift Assignment Bid and Swap Records
- 5 Dietary/Meal Records
- 6 Census and Population Counts
- 7 Authorization to Enter Forms

**J9 Corrections Institutional**

- 8 Vehicle and Persons Trap Logs
- 9 Inmate Movement Records
- 10 Mittimus Records
- 11 Habeas Corpus Records
- 12 Code or Alert Records
- 13 Use of Force Reports/Package
- 14 Corrections Emergency Planning and Response Records
- 15 Urgent Matter Reports
- 16 Certification and Notification Records
- 17 Overtime Call Lists

**J10 Middlesex Sheriff's Office**

- 1 Inmate Commitments/Discharges Logs and Indexes
- 2 Inmate/Detainee Central Case Record
- 3 Inmate/Detainee Personal Property Records
- 4 Inmate/Detainee Account Records
- 5 Inmate/Detainee Institutional Case File
- 6 Inmate/Detainee Medical Records
- 7 Shift Commanders Daily Reports/Package
- 8 Mittimus Records

**J11 All Sheriffs**

- 1 Annual Report to the Commissioner
- 2 Application to Conduct Social Research
- 3 Arsenal Log
- 4 Calendar of Inmates (Inmate log or Convict Register)
- 5 Calendar of Inmates (Prepared for Superior Court)
- 6 Daily Court Lists
- 7 Day Sheets
- 8 Disapproval of Correspondence
- 9 Health Records
- 10 Individual Institutional Case Records (Case Files)
- 11 Index to Inmates
- 12 Industries Records
- 13 Inmate Cash Receipts
- 14 Inmate Personal Property Record
- 15 Inmate Cash Records
- 16 Institution Logs
- 17 Isolation Log
- 18 Media Waivers
- 19 Mittimus File
- 20 Monthly Report of Admissions and Releases
- 21 Noncompliance Files
- 22 Orders of Removal
- 23 Personnel Files
- 23a Personnel Files Master Microfilm
- 23b Duplicate Microfilm
- 24 Personnel Trap Log
- 25 Petitions to Visit
- 26 Photographs
- 27 Procedures Manual
- 28 Reports of Noncompliance
- 29 Transportation Log
- 30 Vehicle Trap Log
- 31 Visitors Cards
- 33 Visitors Log

**K1 Administration**

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

**K2 Social Services**

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

**K3 Child and Family Services**

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

**K4 Laboratory**

- 1 Patient Autopsy Records
- 2 Laboratory Licensure and Certification Records
- 3 Blood, Tissues, and Organs Administration Records
- 4 Health Laboratory Tests, Clinical
- 5 Quality Assurance Records

**K5 Vital Records**

- 1 Birth Index
- 2 Birth Returns
- 3 Birth Certificate Risk Data Consent Forms
- 4 Marriage Index
- 5 Marriage Returns
- 6 Death Index
- 7 Death Returns
- 8 Live Birth Certificates R3
- 9 Change of Name Reports R600
- 10 Divorce or Annulment Reports R408
- 11 Abortion Summary Reports R109

**K6 Patient**

- 1 Drug Reactions, Adverse Records
- 2 Mental Health Patient Case Files



**K6 Patient**

- 3 Patient X-Ray Records
- 4 Patient Admission and Discharge Records
- 5 Mental Health Patient Clinic (Outpatient) Records
- 6 Dental Records
- 7 Institutional Resident Accounts Records
- 8 Medical Patient Case Files
- 9 Patient Rehabilitation Program Records
- 10 Institutional Client Property and Valuables Records
- 11 Resident/Patient Consent Decree Records
- 12 Resident Emergency Fact Sheets
- 13 Resident Commitment Papers
- 14 DMH Client Human Rights Complaint/Investigation Records
- 15 DMH Forensic Evaluation Records
- 16 External Reviews
- 17 Managed Care Inquiries Through the Office of the Managed Care Ombudsman
- 18 Health plan Inspections

**K7 Pharmacy**

- 1 Pharmacy and Prescriptions Records

**K8 Program Administration**

- 1 Insurance Policy and Rate Setting Records
- 2 Social Needs Assessments Reports
- 3 Program Monitoring and Review Records
- 4 Medical Rate Setting Case Files
- 5 Service Provider Monitoring and Investigation Records

**K9 Public Health**

- 1 Infectious Disease Case Files
- 2 Medical Staff Complaints/Discipline Records
- 3 Infectious Disease Outbreak Records
- 4 Immunization Records
- 5 Community Sanitation Inspection Records
- 6 Food and Drug License and Permits Records
- 7 Animal Care Regulation and Monitoring Records
- 8 Human and Animal Subjects Protection Records
- 9 Quarantine Health Records
- 10 Infection and Communicable Disease Control Records
- 11 Radioactive Materials Monitoring and Control Records
- 12 Ambulance Licensure Records
- 13 Community Based Services Case Files
- 14 Epidemiology Case Records
- 15 Report of Infectious Diseases
- 16 Forensic Test Results
- 17 Initial EMT Certification Files
- 18 Initial EMT Certification Files
- 19 Recertification Application Files
- 20 Continuing Education Files
- 21 Ambulance Licensing Files

**K10 Shift**

- 1 Resident Death Report Records
- 2 Restraint and Seclusion Records
- 3 Death Records
- 4 Ambulance Trip-Institutional Records
- 5 Birth Records
- 6 Shift Code Emergency Response Records
- 7 Shift Reports

**K10 Shift**

- 8 Visitors Records
- 9 Intern and Resident Training Records
- 10 Daily Census
- 11 Paramedics Communication Logs

**K11 Division of Health Care Finance and Policy**

- 1 Hospital Field Audit Work papers
- 2 Hospital Cost Reports
- 3 Hospital Maximum Allowable/MAC Cost Reports
- 4 Long Term Care Cost Reports
- 5 Educational Social and Mental Health Services Cost Reports
- 6 Ambulatory Care Reports
- 7 Hospital Charge books
- 8 Long Term Care IC FMR Cost Reports
- 9 Uniform Financial Reports (UFR's)
- 10 Ambulance Day Health (ADH) Cost Reports
- 11 Hospital Annual Financial Fillings
- 12 Certified Nursing Assistants CNA
- 13 Blue Cross Blue Shield Contracts
- 14 Medicare 2552
- 15 Public Hearing Records
- 16 Long Term Care Wage Surveys
- 17 Legal Appeals

**L1 Tax Policy and Administration**

- 1 Uniform Commercial Code Financial Statements
- 2 Tax Policy and Analysis Reports
- 3 Tax Issues and Policy Proposal Records

**L2 Tax Customer Service**

- 1 Taxpayer Advocate Case Files
- 2 Taxpayer Customer Service Records
- 3 DOR Problem Resolution Case Files
- 4 Tax Practitioner Electronic Filing Authorizations

**L3 Tax Filing**

- 1 Tax Return Filings
- 2 W4s
- 3 Taxpayer Estimated Tax Payment Forms
- 4 Employer Wage Reports
- 5 Estate and Inheritance Tax Case Files
- 6 Taxpayer Payment Voucher Slips
- 7 Business Tax Status Registrations

**L4 Tax Collection**

- 1 Taxpayer Appeal Case Files
- 2 Profession, Trade, or Business License Listings
- 3 Taxes in Litigation Certification Records
- 4 Potential Taxpayer Locator Records
- 5 Promoter's Business Rental Reports
- 6 Bankruptcy Claim Records
- 7 Tax Litigation Case Files
- 8 Appellate Tax Board Appeals Records
- 9 Tax Collection Case Files
- 10 Tax Warrant Listings
- 11 Uncollectible Tax Records
- 12 Tax Liability Settlement Agreement Records
- 13 Tax Revenue Accounting Records

**L5 Tax Investigation and Research**

- 1 Tax History Inquiry Records
- 2 Tax Information Transmittal Records
- 3 Taxpayer Audit Case Files
- 4 State/Federal Tax Information Exchange Records
- 5 Tax History Research Records
- 6 Special Tax Research Records
- 7 Tax Criminal Investigation Records
- 8 Employee Tax History Records

**L6 DOR Bureau of Accounts**

- 1 County Budget Records
- 2 City Town Debt Sale Records
- 3 Municipal Schedule A Report Records
- 4 Municipal Cash Reconciliation Report Records
- 5 Municipal Tax Rate Certification Records (Recap Sheets)
- 6 Municipal Audit Report Records
- 7 County Financial Reports

**L6 DOR Bureau of Accounts**

- 8 Municipal Proposition 2 1/2 Records
- 9 State House Note Certificate Records
- 10 Municipal Compensating Balance Report Records
- 11 County Government Finance Review Board Records
- 12 Municipal Balance Sheet Reports

**L7 DOR Local Assessment**

- 1 Tax Exemption Reimbursement Request Records
- 2 Municipal Budget Schedules (Cherry Sheets)
- 3 Education Reform Waiver Records
- 4 Municipal Emergency Aid Records
- 5 State Owned Land (SOL) Valuation Records
- 6 Unassigned Assets and Property Reports
- 7 Municipal Land Valuation Records
- 9 Property Valuation Certification Records
- 10 Tax Abatement Authority Requests Records
- 11 Land of Low Value (Affidavit to Foreclose) Records
- 12 Property Valuation Compliance Program Records
- 13 Equalized Property Valuations (EQVs)
- 14 Utility Valuation Certification Records
- 15 Farmland Valuation Advisory Commission Records (FVAC)
- 16 Omitted and Revised Assessments and Rollback Tax Records
- 17 Owners Unknown Assessment Records
- 18 Assessor Training Records

**L8 Child Support**

- 1 Child Support Enforcement Case Files
- 2 Child Support Unassigned Assets and Property Records
- 3 DOR Child Support Problem Resolution Case Files
- 4 Child Support Account System Monitoring and Control Reports

**L9 Underground Tank**

- 1 Municipal Underground Storage Tank Reimbursement Program Records
- 2 Underground Storage Tank Claim Records
- 3 Underground Storage Tank Fees Records

**L10 Bank**

- 1 New Charter and Holding Company Acquisition Records
- 2 Annual Report Submissions
- 3 Bank Structure Records
- 4 Bank Examination Records
- 5 Special Examinations Records
- 6 Licensing Records
- 7 Licensee Examination Records
- 8 Banks Under Regulatory Order Records
- 9 Liquidation and Conversion Records
- 10 Consumer Complaint Records
- 11 Loan Appeal Board Case Files

**L11 Insurance**

- 1 Insurance Licensing and Filings Register
- 2 Insurance Company Licensing Records

**L11 Insurance**

- 3 Insurance Company Powers of Attorney Records
- 4 Surplus Lines Company Licensing Records
- 5 Risk Retention/Purchasing Group Registration Records
- 6 Workers Compensation Self-Insurance Group Registration Records
- 7 Business Entity Insurance Producer Licensing Records
- 8 Individual Insurance Producer Licensing Records
- 9 Special Risk Broker Licensing Records
- 10 Insurance Policy Forms and Rate Filings
- 11 Health Insurance Policy Forms, Rates, and Statistical Filings
- 12 Group Marketing Plan Records
- 13 Workers Compensation Preferred Provider Arrangement (PPA) Records
- 14 Consumer Insurance Education Program Records
- 15 Insurance Company Market Conduct Records
- 16 Continuing Education Course Review Records
- 17 Insurance Company Fiscal Review/Audit Records
- 18 Prohibited Persons Business Application Records
- 19 Consumer Inquiries and Complaints Records
- 20 DOI Legal Process Records
- 21 Insurance Investigation and Enforcement Case Files
- 22 Motor Vehicle Insurance Appeal Records
- 23 DOI Administrative Law Case Files
- 24 Insurance Company Restructuring Records
- 25 Insurance Company Insolvency Records

**L12 Treasurer**

- 1 Treasurer Accounting Systems Records
- 2 Treasurer Cash Management Records
- 3 Cash Forecasting and Positioning Records
- 4 State Depository Agreement Records
- 5 Treasurer Investment Records
- 6 Treasurer Land and Deed Records
- 7 Public Protection Performance Bond Filings
- 8 Public Official Performance Bond Filings
- 9 Deferred Compensation Plan Records
- 10 Games Establishment, Development, and Review Records
- 11 Games Administration Records
- 12 Lottery Sales Agent Licensing Records
- 13 Charitable Gaming Licensing Records
- 14 Lottery Claim Records
- 15 Lottery Liens, Levies, and Orders Records
- 16 Lottery Investigation and Enforcement Records
- 17 Lottery Administrative Hearing Case Files
- 18 Abandoned Property Program Records
- 19 Estate Public Administration Records
- 20 Treasurer Registered and Bearer Bond Program Records
- 21 Obligation Bonds and Notes Program Records
- 22 Water Pollution Abatement Bond Program Records
- 23 Veterans Bonus Program Records
- 24 Arts and Humanities Grant Program Records
- 25 Treasurer's Savings Bond Program Records

**L13 Retirement and Benefits**

- 1 Retirement Fiscal System Records
- 2 Retirement Administration Records
- 3 Beneficiary Verification Forms
- 4 Pension Fraud Investigation Case Files
- 5 Retirement System Account Audit and Monitoring Records
- 6 Employee Retirement, Disability, and Benefits Case Files
- 7 Retirement Pension Reserves Investment Management Records
- 8 Employee Group Insurance Files
- 9 Approval Letters
- 10 Appropriation Letters
- 11 Reimbursement Letters
- 12 Local Actuarial Valuation Reports
- 13 Commonwealth's Total Pension Obligation
- 14 Data Questionnaires
- 15 Valuation Work Papers
- 16 Valuation Data Work Papers
- 17 Non Valuated Data Work Papers
- 18 PRIM Election Ballots
- 19 Disability Unit File
- 20 Annual Statements from Retirement Boards
- 21 Audit Reports of Retirement Boards
- 22 Audit Work Papers
- 23 Supplementary Schedules
- 24 Annual Statement of Earned Income
- 25 Investigatory Files
- 26 Investigative Docket/Log
- 27 Financial Statements
- 28 Year End Files
- 29 Revoked Waivers
- 30 Manager Waiver Files
- 31 Review of Investment Holdings
- 32 Legal Opinions
- 33 Disability Remand Files
- 34 Certificates
- 35 Litigation/Administration Files
- 36 Judicial Litigation Files
- 37 Subpoenas
- 38 Gulf War Files
- 39 Acceptance Letters
- 40 Legislative Comments
- 41 Department of Industrial Accidents Correspondence
- 42 Medical Panel Appointment Case Files
- 43 Disability Retirement Case Files
- 44 Supplementary Regulations

**L14 Alcoholic Beverages Control Commission**

- 1 Licenses

**M1 Industrial Accidents and Injuries**

- 1 Workplace Hazard Investigation Records
- 2 Occupational Safety and Health Reports
- 3 Workers Compensation Claim Impartial Medical Report (IMR) Records
- 4 Workers Compensation Trust Fund Records
- 5 Workers Compensation Self-Insurers Records
- 6 Workers Compensation Administrative Law Court Case Files
- 7 Workers Compensation Insurance Claim Files
- 8 Workers Compensation Litigation Case Files
- 9 Industrial Accident Investigation Case Files
- 10 Disability Unit File
- 11 Valuation Work Papers
- 12 Valuation Data Work Papers

**M2 Labor and Employment**

- 1 Labor and Industries Statistics and Reports
- 2 Labor Relations Records
- 3 Union Contract Negotiation Mediation Records
- 4 Apprenticeship Records
- 5 Grievance, Mediation, and Arbitration Administration Records
- 6 Prevailing Wage Rate Records
- 7 Employment Services Case Files
- 8 Unemployment Insurance Claims
- 9 Vocational Rehabilitation Case Files

**M3 Division of Occupational Safety: Asbestos and Lead Program**

- 1 Asbestos Violation Files
- 2 Lead Paint Violation Files
- 3 Asbestos Work Notification Files
- 4 Deleading Work Notification Files
- 5 Deleader-Supervisor Application Files
- 6 Approved Deleading Contractors for Lead Removal: Application Files
- 7 Deleader-Contractor Application Files
- 8 Asbestos Contractor Application Files
- 9 Asbestos Inspector Application Files
- 10 Asbestos Management Planner Application Files
- 11 Asbestos Abatement Project Monitor Application Files
- 12 Asbestos Abatement Project Designer Application Files
- 13 Approved Asbestos Training Provider Application Files
- 14 Asbestos Analytical Services Application Files
- 15 Asbestos Abatement Worker Application Files
- 16 Supervisor/Foreperson for Asbestos Application Files

**M4 Massachusetts Labor Relations Commission**

- 1 Case Files
- 2 Transcripts
- 3 Case Study Cards
- 4 Docket Books
- 5 Master Index
- 6 Collective Bargaining Agreements
- 7 Master Schedule Book

**N1 Aviation Operations Administration**

- 1 Daily Operational Reports
- 2 Tenant Alterations Files
- 3 Daily Operations Reports
- 4 Incident Reports
- 5 Violations
- 6 Accident Reports
- 7 Supervisor Terminal Reports
- 8 Violations File

**N2 Noise Abatement**

- 1 Sound Insulation Program

**N3 Aviation Planning and Constructions**

- 1 Tenant Alteration Applications
- 2 Tenant Application Log Book
- 3 TAA Drawings
- 4 Drawings Other

**N4 Public Information**

- 1 Interpreter Program
- 2 Daily Logs
- 3 Public Information Agents Files
- 4 Public Information Service Report Files
- 5 Airlines Files

**N5 Parking Facilities**

- 1 Inventories
- 2 Log Books

**N6 Transportation**

- 1 Contract Files
- 2 Department Correspondence Files

**N7 Utilities Management**

- 1 Meter Readings Files
- 2 Meter Records Log Books
- 3 Utility Account Log Books
- 4 System Account Log Books
- 5 Utility Account Computer Input
- 6 Utility Account Usage Report
- 7 Budgetary Unit Usage Report
- 8 Energy Use Reports
- 9 Budget History
- 10 Utility Accounts/Budget Unit Master Files
- 11 Tenant Utility Report
- 12 Utility G/L Journal Report
- 13 Utility Systems Accounts
- 14 Department Subject Files
- 15 Utilities Budget

**N8 Aviation Marketing**

- 1 Concession Monitoring Files
- 2 Trade Show Files

**N9 Private Carrier**

- 1 Ground Transportation Files
- 2 Trade Show Files



**N10 Ground Transportation**

- 1 Daily Reports
- 2 Taxi Pool Ticket Logs
- 3 Personnel Files
- 4 Ground Transportation Agreements

**N11 Parking Revenue Audit**

- 1 Check Information
- 2 Lost Ticket Vouchers
- 3 Parking Fee Reports
- 4 Inventories
- 5 Shuttle Buses and Taxi Pool
- 6 Audit Problems
- 7 Cashier's Daily Work (Database)
- 8 Parking Tickets
- 9 Void Tickets
- 10 Credit Card Receipts

**N12 Hanscom Field**

- 1 Inspections Files
- 2 Nighttime Field Use Records
- 3 Noise Complaints File
- 4 Noise Monitoring Procedures
- 5 Noise Rule Proceedings
- 6 Noise and Operations Data
- 7 Tenant Files
- 8 Hanscom Manifests
- 9 Hanscom Access Stickers
- 10 Snow Removal Summaries
- 11 Ramp Permit Files
- 12 Notams File
- 13 Maintenance Files
- 14 Loss Control Reports
- 15 Monthly Statistical Reports

**N13 Maritime Administration**

- 1 Association Files
- 2 Facility Files
- 3 Tariff Files
- 4 Lease Files
- 5 Maritime Damage Files
- 6 Capital Projects Files
- 7 Terminal Reports/Statistics
- 8 Consultants/Contractors File

**N14 Property Management Fish Pier**

- 1 Contract Files
- 2 Prospective Tenant Files
- 3 Electrical Work Orders File
- 4 Fish Pier Log Books

**N15 Maritime Operations**

- 1 Facility Files
- 2 Personnel Files
- 3 Security
- 4 U.S. Government Files
- 5 Equipment Interchange Receipt/Transfer Interchange Receipt Files
- 6 Maintenance Records Files
- 7 Inventory Records Files
- 8 Ship Log Files

**N16 Black Falcon Cruise Terminal**

- 1 U.S. Government Permits
- 2 Leased Areas File
- 3 Port of Boston Union File
- 4 Ship Log Files
- 5 Purchasing Files

**N17 Maritime Sales and Marketing**

- 1 Steamship Lines
- 2 Brochure Files

**N18 Human Resources**

- 1 RRP/Tenant Files

**N19 External Affairs Logan Airport**

- 1 Emergency procedures/Public Safety

**N20 Government and Community Affairs**

- 1 Impacted Communities Files
- 2 Neptune Road Program Files

**N21 General Accounting**

- 1 Chart of Accounts
- 2 Year End Schedule/Work Papers

**N22 Central Services**

- 1 Repair and Use Logs
- 2 Charge Back Source Documents
- 3 Real World Inventory File

**N23 Capital Accounting**

- 1 Landing and Passenger Fee Reports
- 2 Fixed Assets Register
- 3 Fiscal Year Cumulative Job Sheets
- 4 Monthly Job Sheets
- 5 Monthly Summary Trial Balance Books
- 6 Project Payment Files/Contracts Under Seal
- 7 Monthly Journal Entries

**N24 Labor Relations**

- 1 Labor Relations Commission Cases
- 2 Union Claims File
- 3 Seniority Lists

**N25 Administration and Finance**

- 1 Rates and Charges Filed

## A1 Program Development and Review

### 1 Program Establishment, Development, and Review Records

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

Retention Period:

Permanent.

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

### 2 Annual and Summary Reports Records

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

Retention Period:

- (a) Annual reports: Permanent. Send 8 copies to the State Library.
- (b) All other reports, published or unpublished, and substantive support documentation: after administrative use ceases.
- (c) All other records: Retain 3 years.

### 3 Program Review/Audit Records

Documents the review of agency programs by managers, auditors or accreditation agents. Includes audit work papers, background support documentation and materials, final reports, and related correspondence.

Retention Period:

- (a) Agency's primary copy of final reports and responses: Permanent.
- (b) Unique historical program documentation presented or developed during the audit: Review by the Archives after administrative use ceases.
- (c) All other records: Retain 6 years.

Note: See also record series "Fiscal Audit Records (D2-4)".

### 4 Internal Audit Records

Documents the auditing of programs for financial compliance, cost and efficiency, and performance. Includes document review work sheets, interview notes, support materials, audit reports, report compliance responses, and related correspondence.

Retention Period:

- (a) Final reports: Permanent: Where not held elsewhere as permanent.
- (b) All other records: Retain 6 years after inactive.

### 5 Program Plans and Planning Records

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

Retention Period:

- (a) Reports and substantive background documentation: Permanent.
- (b) All other records: Retain until administrative use ceases.

### 6 Reorganization, Relocation, and Closing Records

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

Retention Period:

- (a) Summary and substantive materials: Permanent.
- (b) All other records: Retain until administrative use ceases.

Note: See also record series "Program Establishment, Development, and Review Records (A1-1)".

## A1 Program Development and Review

### 7 Accreditation Records

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

Retention Period:

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

### 8 Disaster Planning Records

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

Retention Period:

- (a) Final plans: Permanent.
- (b) All other records: Retain until administrative use ceases.

29 CFR 1910.38.

### 9 Commemorations and Historical Anniversary Records

Documents any celebration or recognition of agencies or their works.

Retention Period:

Review by the Archives after administrative use ceases.

### 10 Program Historical Articles and Clippings

Consists of articles and clippings about agency programs and functions.

Retention Period:

- (a) Unique collations that are not easily reproduced elsewhere: Review by the Archives after administrative use ceases.
- (b) All other records: Retain until administrative use ceases.

### 11 Artifacts and Memorabilia

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

Retention Period:

Review by the Archives after administrative use ceases.

## A2 Legislation and Policy

### 1 Informational Circulars

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

Retention Period:

- (a) File with appropriate record series if information is substantive.
- (b) Discard without filing if the information is of a temporary nature.

### 3 Legal Letter Release Records

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

Retention Period:

- (a) Final products and substantive support materials: Permanent.
- (b) All other records: Retain 3 years.

## A2 Legislation and Policy

### 4 Policy and Procedures Records

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

Retention Period:

- (a) Policy manuals, publications, bulletins and substantive support materials: Permanent.
- (b) All other records: Retain 3 years.

### 5 Executive Orders, Directives, and Bulletins Records

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

Retention Period:

- (a) Final issuances and substantive support materials: Permanent.
- (b) All other records: Retain 3 years.

### 6 Rules and Regulations Records

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

Retention Period:

- (a) Final accepted rules and regulations and substantive support materials: Permanent.
- (b) All other records: Retain 3 years.

111 MGL 31.

### 7 Legislation Records

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

Retention Period:

- (a) Summary and substantive support materials: Permanent.
- (b) All other records: Retain until administrative use ceases.

### 8 Legislative Relations Records

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

Retention Period:

- (a) Summary and substantive support materials: Permanent.
- (b) All other records: Retain until administrative use ceases.

## A3 Executive

### 1 Executives' Correspondence/Subject Files

Documents the executives' monitoring and decision-making of agency programs and functions. Executives include commissioners, agency heads and their deputies, department heads, and directors. Includes memos, letters, reports, notes, issues documentation, intra-departmental monitoring records, and other materials filed by subject.

Retention Period:

Review by the Archives after administrative use ceases.

### 2 Executives' Briefing Files

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

Retention Period:

Review by the Archives after administrative use ceases.

**A3 Executive****3 Elected Office Transition Files**

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

**Retention Period:**

Review by the Archives after administrative use ceases.

**A4 Committee****1 Committee Establishment, Charges, and Membership Records**

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

**Retention Period:**

Permanent.

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

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

**Retention Period:**

Permanent.

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

**3 Committee Records**

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

**Retention Period:**

Review by the Archives after administrative use ceases.

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

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

**Retention Period:**

- (a) Where not covered by other record series: Review by the Archives after administrative use ceases.
- (b) Otherwise: Apply the appropriate record series retention period.

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

**5 Committee Members' Records**

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

**Retention Period:**

- (a) Executives' records: Review by the Archives after administrative use ceases.
- (b) All other records: Retain 3 years.

**6 Task Force Records**

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

**Retention Period:**

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

**A4 Committee****7 Staff Meeting Records**

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

Retention Period:

- (a) Where minutes have been formally transcribed: Review by the Archives after administrative use ceases.
- (b) All other records: Retain until administrative use ceases.

**A5 Program Administration****1 Program Subject/Resource Records**

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

Retention Period:

- (a) Substantive files where the collation may be unique or not easily reproduced: Review by the Archives after administrative use ceases.
- (b) All other records: Retain until administrative use ceases.

**2 Program Subject/Resource Articles and Clippings**

Consists of newspaper clippings or articles collected to provide information of interest to staff.

Retention Period:

Retain until administrative use ceases.

Note: See also record series "Program Historical Articles and Clippings (A1-10)".

**3 Program Issues and Topics Records**

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

Retention Period:

Review by the Archives after administrative use ceases.

**4 Program Outreach and Training Records**

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

Retention Period:

- (a) Substantive planning documentation and summary presentation materials: Permanent.
- (b) All other records: Retain until administrative use ceases.

**5 Program Administration Records**

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

Retention Period:

Retain 3 years.

Note: Be sure no substantive policy, decision-making, or other important records are contained within these files before discarding any records.

## A5 Program Administration

### 6 Program Publication Records

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

Retention Period:

- (a) Final official publications: Send 8 hardcopies of each publication (and/or 1 electronic copy) to the State Library.
- (b) Where publication resource materials and photographs are unique and of potential historical interest: Submit materials for review by the Archives before discarding.
- (c) Otherwise: Retain all resource materials until administrative use ceases.

Notes:

- 1. 6 MGL 39B requires that "each state agency shall furnish the state library eight copies of its publications".
- 2. For publications that are in electronic or multimedia form, consult with the State Library to make transfer arrangements.
- 3. See also record series "Electronic Records (F4-1)".

6 MGL 39B.

### 7 Routine Inquiries and Informational Requests

Documents routine informational requests such as hours of operation or services provided, or requests for forms. Includes requests and responses.

Retention Period:

Retain until administrative use ceases.

### 8 Program Transitory Correspondence Files

Documents transitory matters encountered in the daily administration of the unit and its programs. Includes junk mail, acknowledgements, courtesy correspondence, declined invitations, meeting announcements, scheduling changes, and holiday hours notices.

Retention Period:

Retain until administrative use ceases.

Notes:

- 1. See also record series "Routine Inquiries and Informational Requests (A5-7)".
- 2. See also record series "Program Administration Records (A5-5)".

### 9 Chronological Correspondence Files

Provides a secondary convenience record of all incoming and/or outgoing correspondence.

Retention Period:

- (a) Executives' records: Review by the Archives after administrative use ceases.
- (b) All other records: Retain until administrative use ceases.

Notes:

- 1. Where there is no subject file counterpart to this record series, contact the Archives before disposing of any records.
- 2. See also record series "Email Correspondence Files (F7-2)".

## A6 Office Management

### 1 Office Social Activity Records

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

Retention Period:

- (a) Payment documentation: Retain 3 years.
- (b) All other records: Retain until administrative use ceases.



**A6 Office Management****2 Schedules and Calendars**

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

Retention Period:

- (a) Executives' records: Review by the Archives after administrative use ceases.
- (b) All other records: Retain until administrative use ceases.

**3 General Office Administration Records**

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

Retention Period:

Retain until administrative use ceases.

**A7 Program Relations****1 Intra-Agency Relations Records**

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

Retention Period:

Review by the Archives after administrative use ceases.

**2 Intra-Governmental Coordination**

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

Retention Period:

Review by the Archives after administrative use ceases.

**3 Inter-Agency Relations Records**

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

Retention Period:

Review by the Archives after administrative use ceases.

**4 Federal/State Relations Records**

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

Retention Period:

Review by the Archives after administrative use ceases.

**5 Special Relations Records**

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

Retention Period:

Review by the Archives after administrative use ceases.

**6 External Program Relations Records**

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

Retention Period:

Review by the Archives after administrative use ceases.

## A7 Program Relations

### 7 Professional Organizations and Associations Records

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

Retention Period:

- (a) Executives' records: Review by the Archives after administrative use ceases.
- (b) All other records: Retain until administrative use ceases.

## A8 Public Relations

### 1 Public Relations and Communications Records

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

Retention Period:

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

### 2 Media Advisories and Releases Records

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

Retention Period:

- (a) Final official releases: Permanent.
- (b) All other records: Retain until administrative use ceases.

Note: See also record series "Program Establishment, Development, and Review (A1-1)".

### 3 Public Appearances, Speeches, and Writings

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

Retention Period:

- (a) Executives' records: Review by the Archives after administrative use ceases.
- (b) All other records: Retain until administrative use ceases.

### 4 Ombudsman/Advocate Records

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

Retention Period:

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

Note: Take any necessary summary data and statistics before disposing of any records.

## A9 Grants and Contracts

### 1 Contract and Agreement Negotiation Records

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

Retention Period:

- (a) Where contracts and agreements were finalized: Retain 6 years after contract expiration.
- (b) All other records: Retain until administrative use ceases.

Note: See also record series "Labor Relations Records (M2-2)".  
30B MGL; 260 MGL 1, 2.

## A9 Grants and Contracts

### 2 Grant and Contract Administration Records

Documents all phases of the administration of federal and other grants, contracts, sponsored research projects, and agreements from negotiation to final performance such as grants-in-aid, state contracted services, and vendor contracts. Includes negotiation issues documentation, memos of understanding, agreements, contracts, amendments, terms and conditions, budget proposals, and related correspondence.

Retention Period:

- (a) Research projects or those reflecting the mission or direction of the agency: Review by the Archives 6 years after final payment or close.
- (b) Summary records such as proposal, award letter and selected deliverables and reports: Permanent.
- (c) All other records: Retain 6 years after contract final payment or end of litigation which ever is later.

Notes:

1. Do not use this record series for contracts within a larger project such as a construction project. See record series "Construction Project Management Records (C5-1)".
2. See also record series "Grant and Contract Cost Accounting Records (D1-2)".
3. See also record series "Grant Sponsorship Records (A9-4)".

### 3 Grant Development and Proposal Records

Documents efforts to develop and submit grant proposals for outside funding. Includes discussion notes, lists of potential topics, sample grant proposals from outside agencies, secondary copies of rejected and accepted grants proposals, and related correspondence.

Retention Period:

- (a) Retain summary planning documents and proposals which reflect the direction of the agency: Permanent.
- (b) Unfunded grants: Retain 3 years.
- (c) All other records: Retain until administrative use ceases.

### 4 Grant Program Records

Documents the administration of programs to grant funds (including federal funds), or aid to individuals, institutions, the community, or agencies based on predetermined qualifications and subsequent review. Includes grant applications, review support materials and notes, and final determinations, and subsequent follow-up monitoring and review.

Retention Period:

- (a) Grant program establishment and policy documentation: Permanent.
- (b) Narrative reports and deliverables, award letters, proposals, and other substantive correspondence: Review by the Archives.
- (c) Contract and payment documentation and all other records: Retain 6 years after close of grant or after any litigation which ever is later.

Note: See also record series "Grant and Contract Cost Accounting Records (D1-2)".

## A10 Special Events

### 1 Special Events Records

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

Retention Period:

- (a) Substantive summary information, publications, and event recordings: Review by the Archives after administrative use ceases.
- (b) All other records: Retain until administrative use ceases.

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

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

Retention Period:

- (a) Executives' records: Review by the Archives after administrative use ceases.
- (b) All other records: Retain until administrative use ceases.

**A10 Special Events****3 Conference, Seminar, and Workshop Sponsor Records**

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

Retention Period:

- (a) Summary documentation and substantive materials and correspondence: Review by the Archives after administrative use ceases.
- (b) Where fees or payments are involved: Retain 3 years.
- (c) All other records: Retain until administrative use ceases.

**A11 Special Projects****1 Program Research and Survey/Questionnaire Data**

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

Retention Period:

- (a) Records produced under grant or contract: Review by the Archives 6 years after grant or contract final payment or close.
- (b) All other records: Review by the Archives after administrative use ceases.

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

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

Retention Period:

- (a) Summary records and substantive materials and correspondence: Permanent.
- (b) All other records: Retain 3 years after completion unless part of a grant or contract, in that case retain 6 years after close.

## B1 Legal Review

### 1 Legal Review Records

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

Retention Period:

- (a) When filed separately: Retain until administrative use ceases.
- (b) When filed with related subject file: Retain according to the appropriate record series for that set of files.

Note: See also record series "Legal Opinion Records (B1-3)".

### 2 Legal Announcements and Advertisements Records

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

Retention Period:

- (a) Contract related announcements: Retain 6 years after contract last payment or close.
- (b) All other records: Retain 3 years.

Note: See also record series "Website Content Records (F7-6)".

### 3 Legal Opinion Records

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

Retention Period:

Permanent.

12 MGL 9.

### 4 Legal Issues Records

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

Retention Period:

- (a) Summary and substantive support materials: Review by the Archives after administrative use ceases.
- (b) All other records: Retain until administrative use ceases.

### 5 Delegation of Authority Records

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

Retention Period:

Retain 15 years after inactive, revoked, or superseded unless a longer period is required by agency legal counsel.

Note: See also record series "Payment Signature Authorization Records (D1-10)".

### 6 Ethics and Conflict of Interest Records

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

Retention Period:

- (a) Employee records: Retain while employed or until superseded, whichever period is shorter.
- (b) All other records: Retain 6 years.

Note: See also record series "Attorney General Conflict of Interest Registrations (B6-4)".

**B1 Legal Review****7 Contract And Agreements Legal Files**

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

Retention Period:

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

## Notes:

1. Do not use this record series for construction project contracts. See record series "Construction Project Management Records (C5-1)" .
2. See also record series "Attorney General Contract Review Records (B6-1)".
3. See also record series C2-4 Construction Project Contract Legal Records".

**8 Land Management and Acquisition Records**

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

Retention Period:

- (a) Vital land records such as deeds and titles of ownership, easements: Permanent.
- (b) Properties not purchased records: Retain 6 years after final action.
- (c) Professional appraisal services contracts and related contract records: Retain 6 years after contract close.
- (d) All other records: Review by the Archives after administrative use ceases.

**B2 Public Records****1 Public Records Request Records**

Documents requests for access to agency records by members of the public, the press or other agencies, or employees as allowed for in Massachusetts General Laws Chapter 66 or other statutes. Includes requests, powers of attorney, subpoenas, court orders, rationales for redaction or withholding information, response letters, Supervisor of Public Records opinions, summary listing of information provided, and related correspondence.

Retention Period:

Retain 3 years after last activity.

4 MGL 7(26); 66 MGL 10; 66A MGL; 3A MGL 63; 62C MGL 20-23; 127 MGL 1A, 1B; 127 1(d), 1(q); 103 CMR 918.02.

**2 Public Records Appeal Case Files**

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

Retention Period:

- (a) Summary information regarding original request and final state opinions and response: Permanent.
- (b) All other records: Retain 3 years after last activity.

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

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

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

Retention Period:

Retain 3 years after last activity

### B3 Investigation and Monitoring

#### 1 Investigation Case Files

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

Retention Period:

- (a) Letters referring cases to the Attorney General's Office: Permanent.
- (b) Landmark or policy setting cases: Permanent.
- (c) Non-jurisdictional or lack of probable cause records: Retain 3 years.
- (d) All other records: Retain 6 years after final case closure or referral to Attorney General's office unless a longer period is required by agency legal counsel.

Notes:

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

#### 2 Discrimination Investigation Case Files

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

Retention Period:

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

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

151B MGL 3.

#### 3 Civil Investigation Records

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

Retention Period:

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

Note: See also record series "Attorney General Litigation Files (B6-12)".

#### 4 Special Investigation Records

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

Retention Period:

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

#### 5 Internal Investigation Records

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

Retention Period:

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

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

## B4 Regulatory and Compliance

### 1 Permits Records

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

Retention Period:

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

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

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

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

Retention Period:

Retain 3 years.

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

### 3 Facilities Licensing and Certification Records

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

Retention Period:

- (a) Where summary lists of licenses and certificates are maintained: Permanent.
- (b) Where case files are kept by institution or facility: Retain original filing and a summary of subsequent filings for the life of the entity plus 3 years.
- (c) All other records: Retain 3 years from license expiration or cancellation.

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

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

Retention Period:

- (a) Abandoned, incomplete, non-jurisdictional, withdrawn, or dismissed complaints: Retain 3 years.
- (b) Routinely resolved complaints: Retain 3 years.
- (c) Landmark or policy setting cases: Retain entire file permanently.
- (d) All other records: Retain 6 years after final resolution.

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

### 5 Professional Licensure and Certification Records

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

Retention Period:

- (a) Where case files are kept by individual: Retain original filing and a summary of subsequent filings for the potential licensing period of the individual plus 3 years.
- (b) All other records: Retain 3 years from expiration or cancellation.

### 6 Complaints Against Agency Records

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

Retention Period:

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

Note: See also record series "Employee Complaint/Investigation/Disciplinary Records (E5-1)".



**B5 Litigation****1 Administrative Law Case Files**

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

Retention Period:

- (a) Case logs and summaries: Permanent where not retained elsewhere as permanent.
- (b) Landmark cases: Review by the Archives after 3 years after final case activity.
- (c) All other records: Retain 3 years after final case activity.

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

**2 Administrative Law Appeals**

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

Retention Period:

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

**3 Litigation Case Files**

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

Retention Period:

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

## Notes:

1. Records are often retained longer than specified because the background information may be of use in related cases or if further litigation involving the parties arises again.
2. See also record series "Attorney General Litigation Files (B6-12)".
3. See also record series "District Attorney Case Files (B6-13)".
4. See also record series "Tax Litigation Case Files (L4-7)".
5. See also record series "Construction Project Litigation Case Files (C2-8)".

**4 Litigation/Hearings Case Exhibits**

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

Retention Period:

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

**5 Legal Briefs and Testimony Records**

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

Retention Period:

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

**6 Tort Claim Records**

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

Retention Period:

Retain 3 years after resolution.

**B6 Attorney General****1 Attorney General Contract Review Records**

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

Retention Period:

Retain 2 years.

## Notes:

1. The Controller's Office and agencies maintain the official contract files.
2. See also record series " Legal Review Records (B1-1)".

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

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

Retention Period:

Retain 20 years and then review by the Archives.

268A MGL 4.

**3 Attorney General Conflict of Interest Disclosures**

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

Retention Period:

Retain for term of employment.

**4 Attorney General Opinion Records**

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

Retention Period:

Permanent.

**5 Attorney General Initiative Petition Review Records**

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

Retention Period:

- (a) Landmark or noteworthy opinions: Review by the Attorney General's Office and the Archives after 6 years.
- (b) All other records: Retain 6 years.

**6 General Obligation Bond Records**

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

Retention Period:

- (a) Attorney General summaries: Permanent.
- (b) All other records: Retain 6 years after last activity.

**7 Attorney General Inauguration Records**

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

Retention Period:

Permanent.

**B6 Attorney General****8 Open Meeting Law Investigation Records**

Documents the monitoring of the state Open Meeting Law (30A MGL) by the Attorney General. Includes complaints, investigation notes, opinion letters, violation remedies, and related correspondence.

Retention Period:

- (a) Opinion letters: Permanent.
- (b) All other records: 3 years.

30A MGL; 39 MGL 23A-24.

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

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

Retention Period:

- (a) Final Determination letters: Permanent.
- (b) All other records: Retain 3 years.

**10 Attorney General Litigation Files**

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

Retention Period:

- (a) Unprosecuted cases: Retain 6 years after final action.
- (b) Landmark, policy-setting, or otherwise noteworthy cases: Review by the Attorney General's Office and the Archives after normal retention period has elapsed.
- (c) Criminal Cases: Retain 35 years after final action.
- (d) Medicaid, Insurance, or Unemployment Fraud Cases: Retain 25 years after final action.
- (e) Litigation involving fatalities: Retain 25 years after final action.
- (f) Civil Cases: Retain 25 years after final action.
- (g) Weekly payment of wages, prevailing wage, personnel files, child labor, waivers, bid protest hearings, safety, debarment: Retain 6 years after final action.
- (h) Cases involving collections due to the Commonwealth: Retain until final settlement if this is longer than the specified retention period.

Note: This record series includes Pre-Litigation cases.

**11 District Attorney Case Files**

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

Retention Period:

- (a) Landmark, policy setting, or otherwise noteworthy cases: Review by the Archives after administrative use ceases.
- (b) First Degree Murder and Sexual Offenders: Retain 50 years after case closure.
- (c) Second Degree Murder: Retain 25 years after case closure.
- (d) Superior Court Cases: Retain 25 years after case closure.
- (e) District Court Cases: Retain 4 years after case closure.
- (f) District Court Non-Conviction: Retain 1 year after case closure.
- (g) Youthful Offenders: Retain as for adults.
- (h) All other juvenile cases: Retain 4 years after case closure.

**12 Attorney General Civil Investigations Records**

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

Retention Period:

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

**13 Consumer Complaint Investigations Records**

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

Retention Period:

Retain 10 years.

**B6 Attorney General****14 Public Charities Filing Records**

Documents filings of public charities and subsequent status reports. Includes: audits; probate files such as trust instruments; annual accounts; wills; and probate court pleadings; and filed actions; annual financial reports; and professional fund raising counsel's; and professional solicitor's bond required to be filed; professional solicitor and fundraising counsel registration statements; and related correspondence.

Retention Period:

- (a) Probate files, audit materials, and annual financial reports: Permanent.
- (b) All other records: Retain 25 years.

192 MGL 1A; 12 MGL 8G.

**15 Public Charity Investigation Records**

Documents the Attorney General Public Charities Division monitoring of public charities and charitable trusts. Includes audits, federal form 990's, trusts, wills, pleadings, and descriptive information.

Retention Period:

Retain 25 years.

12 MGL 8.

**16 Insurance Rate Hearings Records**

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

Retention Period:

Retain 20 years.

**17 Contract Bid Award Investigation Records**

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

Retention Period:

Retain 20 years.

**18 Attorney General Community Services Records**

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

Retention Period:

- (a) Grant or program summary information: Permanent.
- (b) Victim Compensation Files: Retain 25 years.
- (c) All other records: Retain 3 years.

Note: See also record series "A9-4 Grant Program Records".

**19 Fugitive Renditions Records**

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

Retention Period:

- (a) Summary logs: Permanent.
- (b) All other records: Retain 50 years.

276 MGL 11-20R.

**B7 Cable Television Division****1 Division Appellate Decisions**

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

Retention Period:

Permanent

**B7 Cable Television Division**

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

**2 Appellate Dockets-Support Material**

Documents the official record of an appellate proceeding including notice of hearing, pleadings, motions memorandum, correspondence, transcript and exhibits. These records are generated by the parties to the proceeding, received and maintained by the Division in administrative appeals of denials of franchise licenses, renewals and transfers.

Retention Period:

Permanent

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

**3 Rate Decisions**

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

Retention Period:

Permanent

Note: All parties involved receive copies.

**4 Rate Regulation Proceedings-Support Material**

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

Retention Period:

Permanent

Note: Local Government receives a duplicate of the record.

**5 Rulemaking Proceedings-Support Materials**

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

Retention Period:

Permanent

**6 Rulemaking Decisions**

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

Retention Period:

30 years

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

**7 Form 500 Annual**

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

Retention Period:

3 years after filing

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

**8 Form 500 Complaint Forms**

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

Retention Period:

3 years after filing

**B7 Cable Television Division**

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

**9 Forms 200,300,400**

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

Retention Period:

3 years after filing

Note: Local communities and cable operators retain copies.

**10 Initial Franchise Agreements**

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

Retention Period:

16 years from date of execution.

Note: Local Community and cable operator maintain copies.

**11 Renewal Franchise Agreements**

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

Retention Period:

10 years from date of execution

Note: Local community and cable operator maintain copies.

**12 Form 100**

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

Retention Period:

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

Note: Local community and cable operator retain a copy.

**13 Form 394**

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

Retention Period:

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

Note: Cable operator and local community retain copies.

**14 Filing & Termination of Service Filing**

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

Retention Period:

3 years

Note: Cable Operators and local communities retain copies.

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

Printed Rates and service offerings.

Retention Period:

Permanent

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

**B8 Agricultural Resources****1 Division of Animal Health Records**

Documents all activities of the Massachusetts Department of Agricultural Resources. The Department is a regulatory agency whose purpose is to ensure the quality of certain agricultural products and to prevent disease through inspection and enforcement. The Divisions numbered

**B8 Agricultural Resources**

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

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

Retention Period:

If not specifically stated 2 years.

- (a) Form 61, Form 70, Form 116, Form 148: 5 years
- (b) Rabies Positive Specimen, Small Animal Health Certificates, Notice of Possible Exposure to Rabies, VS 9-3 Forms, Barn Book Tabulation Sheet, and Form 38: 3 years
- (c) Guard Dog Business License Stubs, Equine Dealer/Transporter License Stubs, PY-156: USDA Shell Egg Surveillance Reports, Form 108, Form 137, Form 148, and Brucellosis Test Record: 1 year

**B9 Weights and Measures****1 Division of Standards (Office of Consumer Affairs)**

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

Retention Period:

- (a) Inspection Hawkers and Peddlers, Commodities Reweighing Records, Tank Truck Calibration, Summary Record of Field Inspections, Field Inspections & Test, Field Fuel Delivery Inspections, Field Merchant Equipment Records, Petroleum Delivery Inspection Record, Field Reports Summary of Trial Weighing, Unit/Item Pricing/Price Verification Inspection: 1 year
- (b) Records Sealing Adjustments, Meter Test Records: 3 years
- (c) Taxi Inspections: 5 years

## C1 Facilities Management

### 1 Facilities Management Records

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

Retention Period:

Retain 3 years.

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

### 2 State Office Space Planning Records

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

Retention Period:

Retain 3 years.

### 3 Facilities Disability Access Records

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

Retention Period:

Retain for 3 years after the life of the improvement of the building, facility, or area.

260 MGL 5B; Pub. L. 101-336.

### 4 Equipment Case Files

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

Retention Period:

Retain 6 years after final disposition of equipment.

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

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

Retention Period:

Retain 3 years.

### 6 Buildings and Facilities Informational Data

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

Retention Period:

Review by the Archives after administrative use ceases.

### 7 Inventory Records

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

Retention Period:

Retain 3 years after superseded.



## C1 Facilities Management

### 8 Facilities Hazardous Materials Monitoring Records

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

Retention Period:

- (a) Primary copy or unique records not held elsewhere: Retain 30 years.
- (b) Secondary copies: Retain 3 years.

111 MGL 11, 14; 29 CFR 1910.1200.

### 9 Facility Safety Records

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

Retention Period:

- (a) Records supporting changes to policy: Permanent.
- (b) All other records: Retain 3 years.

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

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

Retention Period:

Retain 3 years.

### 11 Lease and Rental Administration Records

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

Retention Period:

Retain 6 years after contract final payment or close.

## C2 Construction Legal

### 1 Contractor State Qualification Certification Records

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

Retention Period:

Retain 3 years after bid process has closed.

### 2 Contractor Debarment Actions Records

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

Retention Period:

Retain 20 years from debarment.

### 3 Construction Project Designer Contract Records

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

Retention Period:

- (a) Substantive artwork, designs, photos, and accompanying reports, plans, or narratives: Review by the Archives after administrative use ceases.
- (b) All other records: Retain 3 years after close of bid or award process.

Note: The Designer Selection Board of the Executive Office for Administration and Finance selects designers for public building construction throughout the Commonwealth with certain exceptions.

## C2 Construction Legal

### 4 Construction Project Contract Legal Records

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

Retention Period:

- (a) Landmark or policy-setting contracts: Permanent.
- (b) Sealed portions of contracts: Retain 20 years and subject to review by the Archives.
- (c) Central Artery/Tunnel records: Retain 10 years after final project acceptance and subject to review by the Archives.
- (d) All other records: Retain 6 years after project final acceptance and subject to review by the Archives.

### 5 Construction Project Professional Services Contract Records

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

Retention Period:

Retain 6 years after expiration or final payment.

### 6 Construction Claims and Disputes Records

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

Retention Period:

- (a) DCAM record heard by DALA over change orders: Retain 15 years after final action.
- (b) DCAM record for minority and women: Retain 15 years after final action.
- (c) All other records: Retain 6 years after final acceptance.

Note: See also record series "Contract Bid Award Investigation Records (B6-11)".

### 7 Construction Regulations Compliance Records

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

Retention Period:

Retain 6 years after final acceptance.

### 8 Construction Project Litigation Case Files

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

Retention Period:

- (a) Noteworthy or landmark cases: Review by the Archives after administrative use ceases.
- (b) All other records: Retain 15 years after final action or activity.

### 9 Property Settlements and Judgments Payment Records

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

Retention Period:

Retain 20 years.

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

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

Retention Period:

- (a) Certification logs and summaries: Permanent.
- (b) Denied or decertified businesses: Retain 6 years.
- (c) Certification documentation: Retain 6 years after inactive.

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

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

## C2 Construction Legal

Massachusetts Aeronautics Commission (MAC).

## C3 Construction Planning

### 1 Master Plan for Development Records

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

#### Retention Period:

- (a) Final adopted plan: Permanent.
- (b) All other records: Retain 10 years after last action.

### 2 Capital Projects Planning Records

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

#### Retention Period:

- (a) Summary reports and substantive correspondence: Permanent.
- (b) All other records: Retain 10 years.

### 3 Construction Study Library Files

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

#### Retention Period:

Review by the Archives 15 years after project is completed.

### 4 Capital Budget Request Records

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

#### Retention Period:

- (a) Substantive planning correspondence and minutes not found elsewhere: Permanent.
- (b) All other records: Retain 10 years.

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

## C4 Pre-Construction

### 1 Construction Project Designer Selection Records

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

#### Retention Period:

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

### 2 Construction Project Bid Records

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

#### Retention Period:

- (a) Contractors qualification documents: Retain 3 years from expiration.
- (b) Bid bonds: Return to bidders after general bid or destroy if unreturnable.
- (c) Bid drawings and specification security deposits: Retain until drawings returned.
- (d) Non-awarded bids: Retain 3 years after end of bid process.
- (e) Bid process advertisements and procedures documentation: Retain 6 years after final acceptance of project or 10 years after final acceptance for Central Artery/Tunnel records.
- (f) Awarded bids and advertisements: Retain 6 years after final acceptance of project or 10 years after final acceptance for Central Artery/Tunnel records, or 15 years after final acceptance for DCAM records.

801 CMR 25.00; 800 CMR 2.14.

### 3 Construction Emergency Bid Waiver Records

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

#### Retention Period:

Retain 6 years after decision.

## C5 Construction Management

### 1 Construction Project Management Records

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

#### Retention Period:

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

Note: See also record series "C5-7 Geologic Samples and Records".

579 MGL; 149 MGL; 30 MGL; 39M MGL.

### 2 Construction Project Planning and Engineering Records

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

#### Retention Period:

Review by the Archives 6 years after final acceptance.

### 3 Construction Project Cost Oversight Records

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

#### Retention Period:

Retain 3 years.

### 4 Construction Project Cost Accounting Records

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

#### Retention Period:

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

### 5 Facility Memorials and Dedications Records

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

#### Retention Period:

Permanent.

### 6 Building Plans and Specifications Records

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

#### Retention Period:

- (a) As-built drawing set or best available copies of plans, drawings and specifications: Permanent (where not held as

## C5 Construction Management

permanent elsewhere).

- (b) Shop Drawings: Review by the Archives 6 years after project completion.
- (c) Facilities management set: Retain for the life of the facility or building.
- (d) As-bid plans and specifications: Retain one set 6 years after project completion.
- (e) Duplicate convenience sets: Retain until administrative use ceases.
- (f) All other records: Retain for the life of the facility or building.

### 7 Geologic Samples and Records

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

#### Retention Period:

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

## C6 Property Management

### 1 Highway and Bridge Maintenance Records

Documents the ongoing maintenance and monitoring of highways and bridges. Includes automobile accident reports, damage to property, traffic signal reports, periodic maintenance inspection, dispatcher reports, incident reports, scheduled maintenance, winter storm response reports, salt use reports, toll equipment, signage upkeep, drawbridge inspections, bridge maintenance and monitoring reports, and related correspondence.

#### Retention Period:

- (a) Contract related records: Retain 6 years after final completion of work.
- (b) All other records: Retain 3 years except
- (c) Background resource file on property, legal and activity history: Review by the Archives after administrative use ceases.

## C7 Real Estate and Land Use

### 1 State Property Management Monitoring Records

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

#### Retention Period:

Retain 6 years after expiration of the contract.

### 2 Housing Tenants Records

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

#### Retention Period:

- (a) Denied applicant records: Retain 3 years.
- (b) All other records: Retain 6 years after final action.

24 CFR 982.158.

### 3 State Leasing Reports

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

#### Retention Period:

- (a) Official copy: Permanent.
- (b) All other copies: Retain 5 years.

### 4 State Property Inventory Reports

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

#### Retention Period:

Permanent.

## C7 Real Estate and Land Use

### 5 Authorities Real Estate Planning and Development Records

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

Retention Period:

Review by the Archives 6 years after final activity and administrative use ceases.

### 6 Real Estate Disposition Proposal Records

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

Retention Period:

Review by the Archives after administrative use ceases.

### 7 Real Estate Disposition Disclosure Records

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

Retention Period:

Permanent.

### 8 Fixed Asset Recording Records

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

Retention Period:

Permanent, where not kept elsewhere as permanent.

### 9 Real Estate Disposition Records

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

Retention Period:

(a) Vital land records: Permanent.

(b) All other records: Review by the Archives 10 years after close of final agreement.

### 10 Real Property Vital Records

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

Retention Period:

Permanent.

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

### 11 State Property For Sale Inquiries Records

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

Retention Period:

Retain 3 years.

### 12 State Agency Lease Proposal Records

Documents agencies proposals for leases as reviewed by DCAM.

Retention Period:

Retain 3 years.

### 13 State Agency Lease Procurement Records

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

Retention Period:

Retain 6 years after expiration of lease.

## C7 Real Estate and Land Use

### 14 State Property Access License Records

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

Retention Period:

Retain 10 years after expiration of license.

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

### 15 Land Title Examiner Reference Records

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

Retention Period:

Review by the Archives after administrative use ceases.

### 16 Land Registration Records

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

Retention Period:

Permanent.

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

### 17 Land Survey Records

Documents land surveys undertaken by the state.

Retention Period:

Permanent.

## C8 Transportation Management

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

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

Retention Period:

3 years after revocation, denial, cancellation or superseded.

### 2 Interstate License Certification Files

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

Retention Period:

3 years after cancellation or superseded

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

### 3 Vehicle Identification Devices and Applications for Drivers

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

Retention Period:

3 years after receipt expiration

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

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

Retention Period:

2 years after closing if no litigation pending.

Note: Complaint number arranges all records chronological.

## C9 Department of Housing Community Development

### 1 Local Housing Authorities

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

#### Retention Period:

Annual Contributions Contracts: including amendments, waivers and related correspondence. Other records included are: Cooperation Agreements, Final Development Cost Records including forms PHA-2152, PHA-2399, The General Depositary Agreement, Minutes of Meetings of Local Authorities, and Property Ledger. Permanent

### 2 Local Housing Authorities

The following documents are also used by the Housing Authority and have a retention period of 1 year after audit. They are: Analytical Tenant Ledger Control; Cash Receipts; Daily Statement of Operations; Miscellaneous Charge and Credit Tickets; Financial and Operating Reports derived from Project General Ledger; Balance Sheets; Analysis of Surplus from Operations; Statement of Land; Statement of Operating Receipts and Expenditures; Statement of Income and Expenses; Statement of Initial Operating Deficit; Computation of Payments in Lieu of Taxes; Annual statement of accruing annual contributions; Analysis of Fiscal Agent Funds; Analysis of debt service funds; Purchase Orders and Procurement copies; Reimbursable Rent Charge; Request for Refund of Security Deposit; Unearned Rent; Tenants Accounts Receivable; Rent Roll control and analysis of dwelling rent charges; Expense Analysis Register; Income Analysis Register; Initial Operating Register; Inventory Supplies; Investment Register; Labor Cost Distribution; Management Reports; PHA-2209,1227;1235;1245; Materials and Supplies Stock Controls; Petty Cash Vouchers; Requisitions for Supplies and Materials; Trial Balance.

#### Retention Period:

1 year after audit

### 3 Local Housing Authorities

**The following forms and documents are also used by the Local Housing Authorities these have a 3 year retention period.** Withdrawn and Ineligible Applications from Families of Servicemen and Displaced Families; Operating Budgets; Certified Reports of Audits.

#### Retention Period

3years

### 4 Local Housing Authorities

The following forms and documents have a seven year retention period: Bank Statements; Reconciliation's; Cancelled Checks; Cash Disbursement Register; Cash Receipts Register; Combined Cash Journal; Contract Register (from date of last audit); Journal Vouchers and supporting documents; Payrolls; Project General Ledger; Travel Expense Records; Voucher Check Copies with supporting documentation; revolving fund; Tenant Accounts Receivable ledger sheets; and Tenant Rental Register.

#### Retention Period:

7 years

### 5 Local Housing Authorities (Miscellaneous)

The following forms and documents has it's own retention period. Adjustment Slips (rental fee), 2 years after audit; Eligible Applications, until apartment is allocated; Development Cost Analysis Register and Development cost ledger, 7 years after completion of project; Employee reports, service records, earnings records, and leave records, 5 years from termination of employment; Schedule of Tenants Accounts Receivable, when superseded; Tenant Files of vacated tenants, 7 years following termination; Management Contracts for Utilities and other services, 7 years after final payment; Non-expendable equipment record cards, after audit following disposition of audit ;Purchase contracts and related papers,7 years from date of final payment; Schedule of Maximum income limits and related correspondence and schedules of PHA consolidated supply contracts, until superseded; Administration Contracts including amendments waivers and related correspondence, 7 years from completion of contract; Certificates of Cremation of Bonds and interest coupons, after audit following expiration of bond; Construction contracts, 7 years from date of final payment; Fiscal agent's agreement, 7 years after completion; Housing surveys and census tabulations, after use; Insurance and Fidelity policies, after audit following expiration or cancellation date; Insurance register, until superseded; Tenants security deposit record, after audit following termination of lease.

#### Retention Period:

As listed

## C10 MassHighway Department

### 1 Consultant Selection Documents

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

#### Retention Period:

7 years



## C10 MassHighway Department

### 2 Consultant Contract Book

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

Retention Period:

7 years

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

### 3 Consultant Contract Amendments

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

Retention Period:

7 years

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

### 4 Consultant Invoices

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

Retention Period:

7 years

Note: Fiscal Management and Consultant Contracts Section maintain copies.

### 5 Consultant Correspondence

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

Retention Period:

7 years

### 6 Project Correspondence (External)

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

Retention Period:

7years

### 7 Project Correspondence (Internal)

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

Retention Period:

7 years

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

### 8 Project Documentation and Reports

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

Retention Period:

Permanent

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

## C10 MassHighway Department

### 9 Environmental Permits

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

Retention Period:

7years

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

### 10 Public Hearing Transcript

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

Retention Period:

Permanent

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

### 11 Meeting Minutes

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

Retention Period:

Permanent

### 12 Construction Contract Awards

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

Retention Period:

7years

### 13 Construction Proposal Book

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

Retention Period:

7years

Note: The Construction Contracts Section retains a copy.

### 14 Surveying Services Contract Book

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

Retention Period:

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

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

### 15 Payment Commodity Forms (PRC)

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

Retention Period:

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

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

**C10 MassHighway Department****16 Daily Report of Contract Survey Party HED-121**

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

Retention Period:

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

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

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

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

Retention Period:

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

Note: Two signed originals one to District Survey, Engineer, the other to contractor, a faxed copy to Boston Survey.

**18 Application for Employment Surveyors Field Personnel form HED-007**

This series is a signed verification of education and experience. It provides proof of survey party members qualifications, fulfills a contract requirement.

Retention Period:

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

Note: One signed original to District Survey Engineer.

**19 Maintenance Fuel Receipts**

This is a computer generated report, it is used to reference vehicle consumption by vehicle, fuel site or fuel type.

Retention Period:

5 years

**20 Radio Logs**

This series is used to reference incidents, accidents and road conditions on the highway system by time, date and location. This series is made up of typed and electronic entries of radio communications.

Retention Period:

7 years

Note: The district offices and operations center maintain copies.

**21 Roadside Maintenance Contracts**

This series is used to document adherence to procurement regulations and department policies. This series is made up of; contract documents, financial forms, and correspondence from preliminary estimate to award.

Retention Period:

7 years after completion of contract.

Note: Contract Section and district offices maintain copies.

**22 Equipment-Heavy & Light Repair Orders**

This series is used to initiate and document vehicle repairs. This series is composed of written vehicle repair work orders.

Retention Period:

5 years

Note: The district equipment section maintains a copy.

**C10 MassHighway Department****23 Snow & Ice PV's**

This series is used to document payment for hired vendor for hours of services provided during Snow and Ice Operations.

Retention Period:

5 years

Note: The district headquarters and depots maintain copies.

**24 Inmate Litter Assistance Information**

This series is used to document adherence to department policies. This series is made up of ISA agreement approvals, financial documents, and correspondence pertaining to the litter inmate program.

Retention Period:

7 years

## D1 Accounting

### 1 Independent Accounting/Payroll System Records

Documents the records of fiscal accounting systems that do not post individual line-item transactions to the State Comptroller's Fiscal Systems. Includes account ledgers and registers, year-end reports, encumbrance and balance reports, fiscal transaction payment support materials, payroll registers, cash accounting records, and related correspondence.

Retention Period:

- (a) General ledgers (year-end final closing) reports: Permanent.
- (b) Payroll registers (year-end) showing pay-stub detail for individual employees or other documentation sufficient to document employee creditable prior service: Retain 75 years.
- (c) Primary copies of payment support documentation and transaction postings: Retain 6 years.
- (d) Lockbox or service providers records: Retain 6 years.
- (e) Secondary copies of payment support documentation and account reconciliation materials: Retain 3 years.

### 2 Grant and Contract Cost Accounting Records

Documents the fiscal accounting of grants and contracts monies in compliance with federal, state, or private contractual guidelines and reporting requirements. Includes budget plan, account set-up and changes documents, encumbrance and payment backup supporting documentation, matching fund documents, procurement documentation, monthly expense reports, time and effort reports, invoices and related correspondence.

Retention Period:

- (a) Retain 6 years after last payment.
- (b) Documentation relating to the sealed portion of contracts: Retain 20 years after last payment.

Note: For contract records associated with a project see record series "Construction Project Cost Accounting Records (C5-4)".

### 3 Routine Accounting Records

Documents the general administration and reconciliation of agency account expenditures and receipts as posted to the State Comptroller's systems and accounts.

Retention Period:

Retain 3 years.

Notes:

- 1. For grant and contract fiscal accounting use record series "Grant and Contracts Cost Accounting Records (D1-2)".
- 2. For construction project fiscal accounting use record series "Construction Project Cost Accounting Records (C5-4)".
- 3. See also record series "Independent Accounting/Payroll System Records (D1-1)".

26 CFR 31.3401(a)-1, 31.6001-1; 26 CFR 301.6501(a)-1.

### 4 Bank and Cash Records

Documents the handling of any cash transactions, including receipt and deposit of funds posted to the State Comptroller's systems and accounts. Includes receipt journals, cancelled checks, balance books, receipts, bank deposit slips and wire transfers and reports and related correspondence.

Retention Period:

Retain 3 years.

### 6 Revenues and Sales Records

Documents the billing and receipt of unit revenues for services such as permit and license applications, and ticket sales as posted to the State Comptroller's systems and accounts. Also documents the handling of any sales or other transactions where cash is received or disbursed. Includes applications, approvals, daily journals and logs, balance tabulations, invoices, cancelled checks, revenue reports, and related correspondence.

Retention Period:

Retain 3 years.

### 7 Billing and Collections Records

Documents activities relating to the billing of customers for goods sold or services performed as posted to the State Comptroller's systems and accounts. Includes customer lists, work orders, sales invoices, customer billing worksheets and edit documentation, account reconciliation materials, collection letters and responses, and related correspondence.

Retention Period:

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

62 MGL 25,26; 26 CFR 301.6501(a)-1; 26 USC 6501.

## D1 Accounting

### 8 Claims and Disbursements Records

Documents payment claims made or received as part of a agency's programs and functions as posted to the State Comptroller's systems and accounts. Includes claims, invoices, purchase orders, financial reports, account reconciliation documentation, payment support materials, and related correspondence.

Retention Period:

- (a) Claims and disbursement documentation involving contracted funds: Retain 6 years after contract closes and after final payment, unless a longer period is specified in the contract.  
(b) All other records: Retain 3 years.

### 9 Trust and Loan Disbursement Records

Documents the fiscal accounting of loan monies disbursed by the agency. Includes budget plan, account set-up and changes documents, invoices, vouchers, monthly expense reports, and related correspondence.

Retention Period:

Retain 6 years after last payment.

Note: See also record series "Grant Sponsorship Records (A9-4)".

### 10 Payment Signature Authorization Records

Documents the authorization for individuals to approve payments for transactions posted to State Comptroller's systems. Includes authorization lists and related correspondence.

Retention Period:

Retain 3 years after superseded.

Note: See also record series "Delegation of Authority Records (B1-5)".

### 11 Bid and Procurement Records

Documents the solicitation and/or purchase of goods, supplies, services, materials, and equipment where the purchase is made from general accounts and not contract account funds. Includes bid submissions, bid appeals before the Assistant Commissioner of the Division of Purchased Services, hearings documentation, requisitions, purchase orders, invoices, payment vouchers, packing slips, and related correspondence.

Retention Period:

- (a) Retain 6 years after last payment or litigation whichever is longer except for the following:  
(b) Non-awarded bid records: Retain 3 years from bid close or bid appeal final determination.

808 CMR 2.04 (12); 260 MGL 5B; 26 CFR 301.6501 (a)-1; 48 CFR 4.

### 12 Vendor Resource Materials

Consists of materials referenced in order to purchase supplies, services, and products. Includes advertisements, brochures, and catalogs, and vendor promotional literature.

Retention Period:

Retain until administrative use ceases.

### 13 Vendor Relations Records

Documents the history of the relations between the agency and individual vendors or service providers. Includes vendor background notes, secondary copies of bids and proposals, contact notes and logs, copies of service contracts, profiles and histories, and related correspondence.

Retention Period:

Retain until administrative use ceases if unrelated to A9, D2 or D11 otherwise retain for 6 years.

### 14 Fixed Asset Records

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

Retention Period:

Retain 3 years where fixed assets are permanently recorded elsewhere.

Notes:

1. See also record series "Equipment Case Files (C1-4)".
2. See also record series "Fixed Asset Recording Records (C7-8)".

**D2 Development and Review****1 Fiscal Planning, Reports, and Surveys Records**

Documents the planning, review and reporting of an agency's fiscal operations. Includes spreadsheets, background materials, calculations, salary surveys, plans, reports, spreadsheets, and related correspondence.

Retention Period:

- (a) Primary copies of final summary plans, studies, and reports: Review by the Archives after administrative use ceases.
- (b) All other records: Retain until administrative use ceases.

**2 Capital Improvement Plan Records**

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

Retention Period:

- (a) Final plan and substantive support materials: Permanent.
- (b) All other records: Retain until administrative use ceases.

**3 Budget Preparation and Monitoring Records**

Documents the process to develop, estimate, propose, and monitor the yearly budget for the agency. Includes budget guidelines, work papers, spreadsheets, internal analysis sheets, distribution reports, estimates and projections, expense summaries, variance reports, final budget requests, budget submission letters, and related correspondence.

Retention Period:

- (a) Agency's primary copy of budget guidelines and submission letters: Permanent.
- (b) All other records: Retain until administrative use ceases.

**4 Fiscal Audit Records**

Documents year-end or other audits of an agency's accounts, including internal or external audits. Includes audit reports, responses, and related correspondence.

Retention Period:

- (a) Agency's primary copy of final audit reports and responses: Permanent.
- (b) Audit background materials and work papers: Retain 6 years.

Note: See also record series "Program Review/Audit Records (A1-3)".

**5 Fiscal Monitoring Records**

Documents the oversight of fiscal operations of specific programs within an agency and of the fiscal system as a whole. Includes worksheets, spreadsheets, ad-hoc reports, notes, status reports and recommendations, and related correspondence.

Retention Period:

Retain 6 years.

**6 Fund Development Records**

Documents efforts to develop additional or supplemental funding for agency programs. Includes discussion notes, lists of potential topics, sample proposals from outside agencies, secondary copies of rejected and accepted proposals, planning documentation, and related correspondence.

Retention Period:

- (a) Summary planning documents and proposals that reflect the direction of the agency: Permanent.
- (b) All other records: Retain until administrative use ceases.

Note: See also record series "Grant Development and Proposal Records (A9-3)".

**7 Fiscal Systems Internal Control Records**

Documents the internal monitoring and control of fiscal systems pursuant to 647 MGL. Includes background support documentation, evaluation review notes, policy and procedure documentation, and related correspondence.

Retention Period:

- (a) Policy and procedure documentation and substantive correspondence: Review by the Archives after 6 years and inactive.
- (b) All other records: Retain 6 years.

Note: See also record series "F5-4 Systems Documentation Records".

647 MGL (Acts of 1989); 7A MGL 9A.

## D3 Grants and Aid

### 1 State Municipal Funding Records

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

Retention Period:

Retain 6 years.

### 2 State Economic or Development Grants Records

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

Retention Period:

Retain 6 years after close of grant.

Note: See also record series "A9-4 Grant Program Records"

## D4 Payroll

### 1 Travel Expense Records

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

Retention Period:

Retain 3 years.

### 2 Payroll and Benefits Case Files

Documents pay histories of employees. Includes deductions, credits due, benefits and insurance enrollments, and any other materials affecting employee pay.

Retention Period:

(a) Payroll registers (year-end) showing pay-stub detail for individual employees or other documentation sufficient to document employee creditable prior service: Retain 75 years.

(b) All other records: Retain 6 years after separation of employee.

Note: See also record series "Employee Retirement, Disability, and Benefits Case Files (L11-7)".

### 3 Time and Attendance Records

Documents actual hours worked by unit employees and types and amounts of leave taken. Includes time sheets, time cards, attendance forms, absence reports, leave reports, and related correspondence.

Retention Period:

(a) Fiscal/Payroll Office records: Retain 3 years.

(b) Originating office records: Retain 3 years, if records contain unique documentation that is not forwarded to the Payroll Office such as original signatures; otherwise retain until administrative use ceases.

Notes:

1. For time and effort records relating to grants, contracts, or federal aid see record series "D1-2 Grant and Contract Cost Accounting Records".

2. Time and attendance records policy and procedures should be kept in written form and approved by the head of division or department.

### 4 W-2s

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

Retention Period:

Retain 3 years.

Note: Treasurer's office retains central copy.

### 5 Payroll Administration Records

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

Retention Period:

Retain 6 years.



**D5 Public Employee Retirement Administration Commission****1 Financial Statements**

Public Employee Retirement Administration Commission (PERA) 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 PRIT.

Retention Period:

5 years

Note: Retirement Board retains a duplicate copy.

## E1 Program Administration

### 1 Human Resources Programs Records

Documents programs sponsored by Human Resources such as orientation, wellness, and training. Includes program handouts and literature, attendance lists, reports, evaluations, and related correspondence.

Retention Period:

- (a) Summary documentation and materials: Permanent.
- (b) All other records: Retain until administrative use ceases.

### 2 Employee Awards and Recognition Records

Documents awards given to employees. Includes award description, qualification materials, and related correspondence.

Retention Period:

- (a) Summary documentation: Permanent.
- (b) All other records: Retain 6 years after employee separation.

### 3 Agency Telephone Directories and Staff Listings

Provides a listing of staff and organizational units of an agency.

Retention Period:

Permanent.

### 4 Employee Newsletters

Internal publications of an agency for staff use.

Retention Period:

Permanent.

## E2 Recruitment and Hiring

### 1 Recommendation Letters

Documents letters sent out regarding employees or past employees. Includes letters or recommendation and other correspondence.

Retention Period:

Retain 3 years.

### 2 Unsolicited Job Applications

Documents unsolicited requests for employment with the agency. Includes vitae, letters of application, and related correspondence.

Retention Period:

When filed: Retain 1 year, otherwise discard.

### 3 Recruitment and Hiring Records

Documents the process to hire new employees. Includes job postings, eligibility lists, job descriptions, job applications, resumes, interview notes, letters of recommendation, exam and test results, approvals to hire, and related correspondence.

Retention Period:

- (a) Executive position searches: Review by the Archives 3 years after hiring process is closed.
- (b) Retain 3 years after hiring process is closed.

31 MGL 61; 151B MGL; 258 MGL 4; 260 MGL 5B; 29 CFR 1600, 1602.30, 1627.

### 4 Job Position Administration Records

Provides a record and/or history of position descriptions and functions, compensation rate charts, position advertisement formats, classifications, and related correspondence.

Retention Period:

Retain until administrative use ceases.

## E2 Recruitment and Hiring

### 5 Employment Eligibility Verification (I-9s) Records

Documents immigration and naturalization requirements for work in the United States in compliance with the Immigration Reform and Control Act of 1986. Includes I-9 forms and related correspondence.

Retention Period:

Retain 3 years after date of hire or 1 year after employment is terminated, whichever period is later.

8 CFR 274a.2(b)(2).

## E3 Affirmative Action/EEO

### 1 Protected Employee Records

Documents the identification of employees falling under the classification of disabled, woman, veteran, or minority for the purpose of acquiring employment, job advancement, and job security. Includes self-identification forms and support materials, approval and certification documentation, and related notes and correspondence.

Retention Period:

Retain 6 years after separation.

Note: See also record series "Employee Medical and Personal Records (E4-6)".

260 MGL 5B; Executive Order of the Governor 227, 235, 246, 253, 390; 29 CFR 1602; 29 CFR 1613.222; 41 CFR; 45 CFR 84; 29 U.S.C. 794 (Rehabilitation Act of 1973 section 504).

### 2 Employee ADA Accommodation Records

Documents the agency's (reasonable) accommodation and provisions for its employees with disabilities in compliance with the American's With Disabilities Act of 1990. Includes employee requests, medical information, engineering and design plans, complaint and labor relations documentation, and related correspondence.

Retention Period:

Retain 6 years after employee separation.

Note: See also record series "Facilities Disability Access Records (C1-3)".

28 CFR 35.105c.

### 3 Affirmative Action/EEO Administration Records

Documents the administration of the program to promote an equal opportunity work environment. Includes oversight documentation of practices such as hiring, equipment purchasing, and contracts and may include ongoing analysis relating to the measurement of affirmative action program success and compliance.

Retention Period:

- (a) Internally produced reports, policies, and procedures: Permanent.
- (b) All other records: Retain 3 years.

151B MGL; 260 MGL 5b; 258 MGL 4; 268 MGL 25; 29 CFR 1602; 29 CFR 1602.30; 29 CFR 1613.222 ; 29 CFR 1627; 149 CFR 24.

### 4 Affirmative Action Plans and Reports Records

Documents reports and plans submitted to the State Office of Affirmative Action (SOAA). Includes plans, reports, statistics, goals, and related correspondence.

Retention Period:

- (a) Agency's primary copy of final plans and substantive support materials: Permanent.
- (b) All other records: Retain until administrative use ceases.

Note: State Office of Affirmative Action is the office of record.

151B MGL 3A; 29 CFR 1602.30; 41 CFR; 29 CFR 1613.222; 260 MGL 5B; Executive Order of the Governor 227, 235, 390.

**E3 Affirmative Action/EEO****5 Affirmative Action Monitoring/Compliance Records**

Documents the monitoring of programs and activities relating to the functions of affirmative action requiring oversight, review, opinion, or input. Includes information on the monitoring of contract bids for EEO requirements, minority and women proposals, grants and contracts, facilities handicapped access, hiring, purchasing, and related correspondence.

Retention Period:

- (a) Contract related documentation: Retain 3 years after close of bid process.
- (b) All other records: Retain 3 years or until administrative use ceases, whichever period is longer.

**E4 Employee****1 Employee Confidentiality Statements**

Consists of agreements signed by employees indicating that they will comply with the confidentiality standards of the agency.

Retention Period:

Retain 3 years after inactive.

**2 Employee Web Browsing Authorizations**

Documents the authorization of employees to be connected to and to use the internet and the WEB for state work.

Retention Period:

Retain 3 years after inactive.

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

**3 Employee ID Card Records**

Documents the process to produce ID cards for employees. Includes intake information, card production dates, and related correspondence.

Retention Period:

Retain data and records until card expires or is voided.

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

**4 Employee Contact Information Records**

Consists of employee contact information cards or forms and employee emergency contact forms.

Retention Period:

Retain during period of employment.

**5 Employee Personnel Case Files**

Documents individual employee work histories. Includes job application forms, resumes, job offer and acceptance letters, personnel appointment and change forms, awards and commendations, performance reviews, and related correspondence.

Retention Period:

- (a) Information needed to calculate creditable prior service time, i.e. dates of service, rates of pay, payroll action dates and summaries, and annual salary along with identifying information such as name and social security number and date of birth: Retain 50 years after separation.
- (b) Records relating to persons under medical surveillance or who have been awarded workers compensation: Retain 30 years after separation.
- (c) Supervisor or Departmental copy of personnel file: Retain 6 years after employee separation.
- (d) All other records: Retain 6 years after employee separation unless stipulated as shorter in any applicable bargaining unit contracts and agreements.

## Notes:

- 1. After employee separates combine "Employee Medical and Personal File (E4-6)" with the "Employee Personnel Case Files (E4-5)".
- 2. See also record series "Employee History Cards (E4-7)".
- 3. See also record series "Ethics and Conflict of Interest Records (B1-6)".

31 MGL 6.29; 35 MGL 48-56; 41 MGL 96B; 66A MGL 3; 149 MGL 24C, 24D, 52C; CFR 1627.3.

## E4 Employee

### 6 Employee Medical and Personal Records

Documents medical and personal materials of an employee. Includes affirmative action data, disabilities documentation, health related insurance claims, accident and safety reports, medical leave documents, medical (exposure) surveillance documents, employee ADA accommodation.

Retention Period:

- (a) Medical records relating to exposure to hazardous substances: Retain 30 years from separation.
- (b) Workers compensation awarded claims: Retain 30 years from separation.
- (c) All other records: Retain 6 years after employee separation.

Note: File should be kept separate from the "Employee Personnel Case Files (E4-5)" until the employee separates and then the two files should be brought together.

28 CFR 35.105c; 29 CFR 201,516,825, 1602, 1627, 1630, 1910.20; Pub. L. 101-336; EEOC ADA Technical Assistance Manual section 6.5; 29 CFR 825; Pub L 93-579.

### 7 Employee History Cards

Provides summary information on the employment history of individual employees. Information includes employees name, social security number, job title, dates of service, rate of pay, and any changes affecting employment.

Retention Period:

- (a) Records dating before 1950: Permanent.
- (b) All other records: Review by the Archives 6 years after employee separation.

### 8 Employee Training and Certification Records

Documents the training of staff in compliance with state laws or agency rules and regulations. Includes training program materials, session schedules, attendance reports, continuing education documentation, in-service documentation, certification lists and documents, and related correspondence.

Retention Period:

- (a) If filed separately from personnel file: Retain 10 years.
- (b) Where filed in personnel file: Retain as long as personnel file is kept.

29 CFR 1627.3.

### 9 Intern and Volunteer Records

Documents individual volunteer and intern involvement with agency. Includes resumes, applications, agreements, work plans, and related correspondence.

Retention Period:

Retain 6 years after separation.

## E5 Personnel Actions

### 1 Employee Complaint/Investigation/Disciplinary Records

Documents informal or formal investigations into alleged employee misconduct. Includes complaints, notes, statements, and determinations and record of actions taken.

Retention Period:

Retain 6 years after last activity.

151B MGL; 260 MGL 5B; 356 MGL 48-56; 29 CFR 1602.30.

**E5 Personnel Actions****2 Employee Grievance/Complaint Records**

Documents work related complaints from non-union employees and grievances from union employees relating to their job environment. Includes complaints, grievances, hearing notices, arbitration findings, meeting notes, dispositions, and related correspondence.

Retention Period:

- (a) Landmark cases: Permanent.
- (b) Case summaries and final decisions: 25 years
- (c) All other records: Retain 6 years final resolution.

## Notes:

- 1. Maintain action summary documentation relating to individuals in their personnel file.
- 2. See also record series "Grievance, Mediation, Arbitration Administration Records (M2-5)".

149 MGL 24;151b MGL; 258 MGL 4; 260 MGL 5B, 6; 29 CFR 1602.30, 1627, 1904.6.

**3 Personnel Action Records**

Documents individual or class actions relating to reclassifications, promotions, demotions, transfers, layoffs, reductions-in-force, severance agreements, and terminations. Includes justification documentation, working notes, requests, employee notifications and responses, appeals, and related correspondence.

Retention Period:

- (a) Landmark or policy setting cases: Permanent.
- (b) Case summaries and final decisions: Permanent.
- (c) All other records: Retain 6 years final resolution.

Note: Maintain action summary documentation relating to individuals in their personnel file.

5 CFR 432, 752; 260 MGL 5B; 29 CFR 516, 621, 1602, 1620, 1627.

**E6 Accident and Injury****1 Employee Illness and Injury Records**

Documents state employee work-related accidents and injuries. Includes accident report forms, incident reports, doctor's reports, logs and summary reports, and related correspondence.

Retention Period:

- (a) Occupational Illness and Injury Logs: Retain 75 years.
- (b) All other records: Retain 6 years.

## Notes:

- 1. See also record series "Workers' Compensation Insurance Claim Records (M1-7)".
- 2. See also record series "Occupational Safety and Health Reports (M1-2)".

152 MGL 41, 69; 153 MGL 6; 258 MGL 4; 260 MGL 2A, 3A, 4; 29 CFR 1904.6, 1910, 6001.2-8.

**F1 Unclassified****1 Blank Forms Stock**

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

Retention Period:

- (a) Hardcopy master set of current and superseded forms: Permanent.
- (b) All other materials: Retain until administrative use ceases.

**2 Publication Stock**

Consists of copies of printed materials created and/or stored by an agency. Publications include books, journals, catalogs, brochures, flyers, posters, business cards, and other stand alone items.

Retention Period:

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

Note: See also record series "Program Publication Records (A5-6)".

**3 Returned Mail**

Consists of official business notifications or other mailings that were undeliverable and returned to the agency where the agency may need to account for the mailed documents.

Retention Period:

- (a) Records that need to be accounted for: Retain 1 year unless otherwise specified by statute.
- (b) All other records: Retain until administrative use ceases.

**4 Dead Letter File**

Consists of incoming mail that cannot be acted upon due to insufficient information such as lack of a return address or sender name.

Retention Period:

Retain until administrative use ceases.

**5 Unused Permits, Certificates, Decals, and Stickers**

Consists of blank copies of damaged, returned, unsold, voided, or otherwise unused copies of permits, licenses, certificates, decals, stickers, stamps, tickets, or checks that will not be used, but that need to be accounted for.

Retention Period:

- (a) Destroy immediately after audit unless otherwise specified by statute.
- (b) Audit and destruction documentation: Retain 10 years.

Notes:

1. Destruction should be monitored and certified or otherwise audited according to written policy and procedures.
2. See also record series "Elections Ballots and Instructions Records (G3-7)".

**6 Damaged/Contaminated Files**

Consists of files that were damaged to the point where they cannot be salvaged or may not be worth salvaging. Includes the damaged materials, files inventories, assessments, and related correspondence.

Retention Period:

- (a) Damaged materials: Contact the Archives for an assessment of damages, possible recourse, and remedies to prevent future occurrences report. If destruction is recommended: Retain Archives recommendation report, destruction certification and audit documentation, and inventory listings for 10 years.

**7 Old Records**

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

Retention Period:

- (a) Records older than 1870 must be retained permanently by statute.
- (b) Records older than 50 years old: Review by the Archives to determine if the materials have historical value.

Note: See also record series "Legacy Data Records (F7-7)".

**F2 Reference****1 Reference/Resource Material**

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

Retention Period:

Retain until administrative use ceases.

Notes:

1. Review periodically to remove unnecessary or outdated items.
2. Provide an on-line or hard-copy listing of materials for office staff.

**2 Systems Manuals and Technical Reference Materials**

Consists of reference manuals for computer hardware and computer applications.

Retention Period:

Retain until administrative use ceases.

**3 Referral Resource Files**

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

Retention Period:

Retain until administrative use ceases.

**F3 Facilitative****1 Information Routing and Tracking Records**

Documents the routing and tracking of documents, reports, mail, and messages inside or outside the unit for facilitative purposes. Includes telephone message slips, tracking logs, routing slips, fax cover sheets, post-it cover slips and instructions, email cover messages, mailing lists, postal receipts, information accompanying checks for routing purposes, and other related materials.

Retention Period:

- (a) Where these materials relate to decision or policy making files or files of a legal or regulatory nature, that are required as an audit trail, or other substantive nature: Retain according to the retention period for record series of the file.
- (b) Where these materials accompany or document routine or transitory matters: Retain until administrative use ceases.

**2 Transaction Transmission Receipts**

Provides a quick reference or visual check that confirms that information or data has been successfully received, transferred or otherwise handled. Includes transaction receipts, slips, or reports.

Retention Period:

Retain until administrative use ceases.

**3 Drafts and Notes**

Consists of drafts and notes relating to agency business.

Retention Period:

- (a) Substantive materials that add to an understanding of the work done, the thought process or intent of the subjects covered, or that show the process by which conclusions were drawn: Retain according to the retention period of the related record series. For example: drafts of policy, legislation, decision-making, legal opinions, and executive level notes may be of historical value to be retained permanently.
- (b) Materials such as random notes, preliminary, and copy edit drafts, that do not add significantly to an understanding of the file: Retain until administrative use ceases.

Notes:

1. At the conclusion of specific work, files should be gone through and weeded to remove duplicate and unnecessary materials and loose information should be consolidated into a summary format, a file summary sheet produced, and all materials put into a logical order.
2. See also record series "Document Composition Materials (F3-4)".



**F3 Facilitative****4 Document Composition Materials**

Consists of materials created during the process to draw-up, design, or develop layouts for individual documents such as memos, letters, reports, plans, and publications. Includes informal notes, shorthand, sketches, worksheets, outlines, design and layout trial sheets, and rough drafts.

Retention Period:

Retain until administrative use ceases.

**5 Stenographers Notes**

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

Retention Period:

- (a) Legal proceedings and official boards, commissions, and committees notes: Retain 1 year and after transcribed.
- (b) All other records: Retain until administrative use ceases.

4 MGL 7(26).

**6 Convenience Files**

Consists of copies or files, materials, or reports, or data kept solely for ease of reference use and not to document agency daily work or business activities.

Retention Period:

Retain until administrative use ceases.

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

**7 Reference Copies**

Consists of materials such as reports, meeting minutes, or publications that are distributed solely for the convenience of the user, upon which no further action is taken, and where the materials are not used to support other files.

Retention Period:

Retain until administrative use ceases.

**8 Duplicates**

Consists of extra, undistributed, or multiple copies of the same document or documents kept in the same file or location.

Retention Period:

Retain until administrative use ceases.

Note: Duplicate as used in this series does not refer to secondary copies held by the unit where the primary copy is held by another office.

**F4 Media/Format****1 Electronic Records**

Electronic records created, used, or filed for the purposes of agency business are public record as defined by 4 MGL 7(26). No additional paper or other hardcopy or eye-readable copy need be kept except where specifically required by statute, Supervisor of Public Records Bulletin, or agency legal counsel.

Retention Period:

- (a) Publications. Contact the State Librarian for procedures and formats necessary for the transmission of the electronic data.
- (b) Archival Records (those designated as permanent). Contact the State Archivist for procedures and formats necessary for the transmission of the electronic data to the Archives.
- (c) Official copies of meeting minutes are required to be kept in hardcopy format by Supervisor of Public Records Bulletin 2-92.
- (d) Electronic Record-Keeping System Plan (RCB-1E) needs to be approved by the Records Conservation Board before any hardcopy source documents are destroyed. Records to be scanned and destroyed use RCB-2E.
- (e) All other records: For retention requirements use the appropriate record series retention period in the Statewide Records Retention Schedule or in the approved Electronic Record-Keeping Plan (RCB-1E).

4 MGL 7(26).

**F4 Media/Format****2 Micrographic Records**

Micrographics records created, used, or filed for the purposes of agency business are public record as defined by 4 MGL 7(26). No additional paper or other hardcopy or eye-readable copy need be kept except where specifically required by statute, Supervisor of Public Records Bulletin, or agency legal counsel. Typical formats include microfilm, microfiche, and aperture cards.

**Retention Period:**

Where the micrographic record has been determined to be the official business copy and the hard copy source documents have been destroyed: Retain based on the appropriate record series retention period as determined by the content and function of the data.

Notes:

1. For permanent records maintain 3 copies of the film: a negative print master, a positive print master, and a reference use copy. When transferring to the Archives, send all three copies.
2. For film with retention periods greater than 15 years: Film according to specifications of 950 CMR 39.00. At a minimum, maintain a master copy and a use copy in separate locations. Ideally, one copy should be off-site.
3. See also record series "Retrospective Data Conversion Source Records (F7-8)".
4. Records to be microfilmed then destroyed use the RCB-2M.

**3 Audio/Visual Tape or Digital Recordings**

Consists of agency program data captured as sound or moving images. Includes intake or dispatch telephone call recordings, digital messaging system messages, security video tapes, hearing testimony tapes, investigators audio and video tapes, special projects videos, meeting minutes and proceedings recordings, or other digital renderings.

**Retention Period:**

- (a) Security and surveillance tapes: Retain 1 month.
- (b) Dispatch, digital messaging, program intake tapes: Retain 1 year.
- (c) Hearing and testimony tapes: Retain 3 years.
- (d) Investigation tapes: Retain 6 years after case closed; Retain selected noteworthy cases for review by the Archives.
- (e) Committee proceedings or minutes: Retain tapes 1 year and until transcribed on suitable medium for permanent retention.
- (f) Press conferences or ceremonies: Review by the Archives after administrative use ceases.
- (g) Special projects or events recordings: Review by the Archives after administrative use ceases.
- (h) Work tapes used to facilitate work in progress for the convenience of the person working on the case or project: Retain until administrative use ceases.
- (i) Moving image films: Review by the Archives after administrative use ceases.

Note: See also record series "Dispatch and Communication Recordings (J4-4)".

4 MGL 7(26).

**4 Photographs, Slides, and Illustrations**

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

**Retention Period:**

Review by the Archives after administrative use ceases.

4 MGL 7(26).

**5 Maps, Drawings, and Plans**

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

**Retention Period:**

Review by the Archives after administrative use ceases.

4 MGL 7(26).

**F5 System Infrastructure****1 System Programs, Applications, and Code Records**

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

**Retention Period:**

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

**F5 System Infrastructure****2 Systems Maintenance, Monitoring, and Testing Records**

Consists of various computer output reports and procedures which serve as tools for diagnostic, comparative, or retrospective analysis of systems integrity, performance, and use. The reports are used to monitor changes that may be indicators of potential, developing, or actual conditions warranting corrective actions. Includes report planning and design notes, report programming documentation, reports, report production cycle schedules, and related correspondence.

Retention Period:

Retain 3 years.

Note: These records may be needed to demonstrate that proper procedures and controls for the capturing of information are established and being followed consistently over a period of time.

**3 Website Documentation Records**

Documents the design, construction, and use of agency websites. Includes general description of purpose of the site, descriptions of major features and sections, diagrams and descriptive lists of links, description of data sources, screen dumps of major pages, WebPage electronic snapshots, and related correspondence.

Retention Period:

- (a) Summary documentation describing major aspects, use, design, content of the site, and major changes and restructuring, major page screen dumps and WebPage electronic snapshots: Permanent.  
(b) All other records: Retain until superseded.

## Notes:

1. See also record series "Website Content Records (F7-6)".
2. See also record series "Systems Documentation Records (F5-4)".

**4 Systems Documentation Records**

Consists of documentation for all aspects of systems hardware, software, and systems use. Includes flow charts, layouts, schematics, network diagrams, data structure trees, database field definitions and parameters, content gathering instructions, business rules, policy and procedures, workflow, and processes.

Retention Period:

Retain for the life of the system or while related machine readable records exist unless another system can read the records.

**5 Systems Contingency Records**

Documents the development and implementation of plans to restore and maintain system availability in the event of hardware or software failure due to internal system breakdown or faults or the physical damage of equipment from external sources.

Retention Period:

Retain until superseded.

**6 Systems Technical Support and Assistance Records**

Documents the installation, maintenance of computer system hardware and software as well as help-desk requests for technical assistance from system users. Includes logs, job orders, requests and responses, troubleshooting notes, and related correspondence.

Retention Period:

Retain until administrative use ceases.

## Notes:

1. Maintain major troubleshooting, installation, and other documentation records with the record series "Systems Documentation Records (F5-4)".
2. Take any necessary statistics before discarding any files.

**7 Systems and Applications Development Records**

Documents plans, proposals, and ideas for new or reconfigured computer systems. Includes budget guidelines and worksheets, plans, proposals, quotes and bids documents, reference data, statistics, and related correspondence.

Retention Period:

Retain for the life of the system.

**F5 System Infrastructure****8 Systems Conversion, Enhancement, and Upgrade Records**

Documents the planning and implementation of major system changes, restructuring or additions to add functionality and to extend capabilities. Includes plans, schedules, implementation procedures, data conversion details, summary reports, program code fixes, problem logs, and verification procedures.

Retention Period:

- (a) Final plans, summary reports, and substantive materials relating to major changes: Retain for the life of the system or while related machine readable records exist unless another system can read the records.
- (b) All other records: Retain until administrative use ceases.

Note: See also record series "Retrospective Data Conversion Source Records (F7-8)".

**F6 System Operations****1 Records Management Records**

Documents the storage, retrieval, and final disposition of agency records whether these are on-site, in the records center, or in the archives. Includes box storage transmittal forms, file and box inventory lists, retrieval requests and notes, records center delivery manifests, Records Conservation Board approved disposal schedules (RCB-1), RCB transfer and destruction approvals (RCB 2, 2T), electronic records deletion reports, and related correspondence.

Retention Period:

- (a) Record disposal schedules: Permanent.
- (b) Record disposal schedule case files: Retain until disposal schedule is superseded.
- (c) Archival transfer documentation: Permanent.
- (d) Record inventories and surveys: Review by the Archives after administrative use ceases.
- (e) Records Conservation Board copies of destruction documentation: Permanent.
- (f) Agency copies of destruction documentation: Retain 10 years.
- (g) All other records: Retain 3 years.

**2 Systems Data Deletion Records**

Documents the deletion of electronic records and data from systems in compliance with 30 MGL 42. Includes deletion policy and procedures, approved Applications for Destruction (RCB-2), deletion reports (scratch reports), deletion audit trail, and related correspondence.

Retention Period:

Retain 10 years.

## Notes:

1. Deletion policy and procedures should be maintained in systems documentation manual.
2. See also record series "Records Management Records (F6-1)".

**3 System Job Order (Run) Records**

Documents jobs to create and run reports for agency offices. Includes job logs and schedules, work orders, payment documentation, job run source code, transaction logs, and related correspondence.

Retention Period:

Retain 3 years.

**4 Systems Intermediate Work Files Records**

Consists of facilitative data, code, notes, and reports created during information transfers, batch processing, data input/scanning, file maintenance, and running of routine procedures and processes.

Retention Period:

Retain until administrative use ceases.

**5 Systems Use Reports**

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

Retention Period:

Retain until administrative use ceases.

Note: See also record series "System Audit Trail Records (F6-6)".

**F6 System Operations****6 System Audit Trail Records**

Documents the monitoring of system use and activities to ensure the integrity and reliability of data, and to determine system user needs. Data includes information on log-ins, log-offs, edit dates, and related audit data fields.

Retention Period:

- (a) Substantive audit trail information: Retain while any related business data are retained in the system or on backup media.
- (b) All other records: Retain until administrative use ceases.
- (c) Department of Mental Health (DMH) 6years.

Note: Audit trail policy and procedures should be outlined in agency documentation manual including descriptions of substantive audit trail information.

**7 Systems Security Records**

Documents provisions to secure the system, its data, and any components from damage, intrusion, or loss. Includes monitoring programs and physical preventative structure design plans, and related correspondence.

Retention Period:

- (a) Retain for the life of the system or while related machine-readable records exist if necessary to help substantiate integrity of the data.
- (b) Otherwise, retain until superseded.

**8 Data Processing, Verification, and Monitoring Records**

Documents the activities done to process, verify, and monitor data captured or utilized by electronic, microfilm, or other record-keeping systems. Includes processors' work and shift schedules; information tracking and routing logs; batch control and error reports, file maintenance and monitoring reports and code, document quality control reports, data kept solely for quality assurance purposes, and related correspondence.

Retention Period:

- (a) Information and data that can be used to document that proper procedures and control methods are established and are being followed consistently over a period of time: Retain 3 years.
- (b) All other records: Retain until administrative use ceases.

**9 Systems Training Records**

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

Retention Period:

Retain 3 years.

## Notes:

- 1. Maintain major troubleshooting, installation, and other documentation records with the record series "Systems Documentation Records (F5-4)".
- 2. Take any necessary statistics before discarding any files.
- 3. These records may be needed to demonstrate that proper procedures and controls for the capturing of information are established and being followed consistently over a period of time.

**F7 System Data****1 Data Source Records**

Consists of original data source materials such as data input forms, records received from outside sources on non-standard or transitional formats, media, or software, or any other newly acquired materials that are scheduled to be reformatted and/or captured in a uniform manner by the agency's micrographic or electronic record-keeping system.

Retention Period:

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

## Notes:

- 1. Data capture and verification policy and procedures should be detailed in the agency's systems documentation manual.
- 2. The Archives may wish to preserve the hard copy source documentation for record series with permanent retention periods. Contact the Archives before destroying any records with permanent retentions.
- 3. See also record series "Retrospective Data Conversion Records (F7-8)".

**F7 System Data****2 Email Correspondence Files**

Consists of information and communications sent or received by individuals connected to electronic mail systems. Includes message transmission and receipt data, messages, and attachments.

**Retention Period:**

- (a) Retain only until mail message information is transferred or otherwise captured or linked to the agency record-keeping system.
- (b) Where email is not transferred to a subject file or record-keeping system: Contact the Archives for further guidance.
- (c) Executives' email records: Permanent, except for mail with little or no business use which may be deleted after use.

**Notes:**

1. Email is considered a transitory messaging system not adequate or proper for the ongoing storage of information. Email and email folders are often kept privately and are not normally part of the primary record-keeping system. For this reason, it is recommended that any substantive email information be transferred outside of the email system to a proper file as part of an entire record-keeping system, whether this be a hard copy file folder or an electronic file folder on a common file directory. Once placed inside a proper file folder, contents can be kept according to established records retention requirements.
2. Basic transmission data such as who sent the message, the time sent, and the address of the sender, who was cc'd or copied, and whom the message was forwarded to should accompany the captured message.
3. Capture and transfer guidelines should be outlined in agency policy and procedures and approved by the head of department or legal counsel. Remember that any policy must be realistic, reasonable, and within the capabilities of staff and existing technology.
4. Some system administrators set limits on the amount of email messages that may be stored on servers. In these cases it is recommended that mail be moved out of the email system as soon as possible.
5. Refer to Supervisor of Public Records Bulletins for more up-to-date detail.

4 MGL 7(26).

**3 Voice Mail Correspondence Files**

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

**Retention Period:**

Retain until administrative use ceases.

4 MGL 7(26).

**4 Information Finding Aids, Indexes, and Lists**

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

**Retention Period:**

- (a) Superseded copies: Retain until administrative use ceases.
- (b) All other records: Retain as long as related records exist.

**5 Database Content Records**

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

**Retention Period:**

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

**Notes:**

1. Databases, data warehouses, document management systems, GIS systems, and electronic record-keeping systems may need to be appraised and scheduled individually and may not be fully covered by this disposition schedule. Please contact the Records Management Unit of the Archives for further details.
2. See also record series "Systems Documentation Records (F5-4)".

**F7 System Data****6 Website Content Records**

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

Retention Period:

- (a) Official public announcements and notifications: Retain 3 years.
- (b) Contract related matters: Retain 6 years from contract close.
- (c) Publications: Permanent. Make arrangements with the State Librarian to transfer a copy to the State Library.
- (d) All other web content: Retain based on the appropriate record series retention period as determined by the content and function of the data.

## Notes:

- 1. Records on the website with long retention periods do not have to remain on the website for the duration of the retention period. Provide documentation of the location of any records removed from the web.
- 2. See also record series "Website Documentation Records (F5-3)".
- 3. See also record series "Systems Documentation Records (F5-4)".

**7 Legacy Data Records**

Consists of data from superseded or defunct systems where upgrade or conversion has not occurred, or may not occur. Materials include hardcopy, magnetic tapes, on-line data and program applications, floppy disks, CD-ROM, DVD-ROM, data punch cards, or index cards.

Retention Period:

Retain data based on applicable record series. Where record series is unidentified such as for a defunct and closed record series submit records to the Archives to determine proper retention periods and to determine if reformatting is necessary to assure proper preservation of the data for the duration of the retention periods.

Note: It may be necessary to retain original hardware and software along with the data to assure files can be read and accessed for the duration of the retention periods.

**8 Retrospective Data Conversion Source Records**

Consists of records from existing files that have been selected for conversion into other formats or systems, especially electronic scanning applications, databases, and microfilm. Includes documents, images, audio-visual tapes, and data.

Retention Period:

Retain original source materials until verified as complete and legible on new system format's.

## Notes:

- 1. Data capture and verification policy and procedures should be detailed in the agency's systems documentation manual.
- 2. The Archives may wish to preserve the hard copy source documentation for record series with permanent retention periods. Contact the Archives before destroying any of these records.
- 3. See also record series "Data Source Records (F7-1)".

**9 Data "Archival" Storage Records**

Consists of electronic records which must be retained for their continuing informational value and not for systems crash protection. Records may be on-line, near-line, off-line, or some combination.

Retention Period:

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

## Notes:

- 1. Data storage methods should be outlined in the systems documentation manual.
- 2. It is recommended that a minimum of three copies be kept for any important files and that one of these be off-site.
- 3. Data should be tested yearly to assure no data loss, that data is migrated, and that proper storage is being maintained.
- 4. See also record series "Systems Documentation Records (F5-4)".
- 5. See also record series "Database Content Records (F7-5)".

**F7 System Data****10 Data Backup Records**

Consists of system data backups whether on-line, near-line, off-line, or some combination. Provides systems crash protection in the event of lost or damaged files, or otherwise irretrievable files or programming code.

Retention Period:

Retain media and data based on a backup system schedule.

## Notes:

1. Backup cycle schedules should be maintained in the system documentation manual.
2. It is recommended that a minimum of three backups be kept for any important files and that one of these be off-site.
3. It is recommended that some long term backups be kept in addition to dailies such as a monthly and a yearly to guard against incremental or undetected data corruption.
4. Test backups at least yearly to assure capture is complete and that files are retrievable.



## G1 Election Candidates

### 1 Candidate Qualifying Records

Documents candidates application to be placed on ballots. Includes application, qualification materials, nomination papers, and related correspondence.

Retention Period:

Retain 6 years.

### 2 Candidate Public Financing Request Records

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

Retention Period:

Retain 6 years.

Notes:

1. Most information duplicated in candidates financial filings.
2. Documents filed with Director of Campaign Finance.

55A MGL 1-12.

### 3 State Primary and Election Nominations

Documents nomination of persons by political parties at state primaries.

Retention Period:

Retain 1 year from date of filing.

### 4 Federal Candidate Financial Reports

Provides a record of reports required to be filed by political campaigns and political action committees for Presidential, Senatorial, and Congressional campaigns by order of the Federal Elections Commission. Includes FEC forms 3, schedule A, schedule D, and organizational statements.

Retention Period:

Retain 1 year.

Notes:

1. Reports are available on the FEC website available in the Secretary's office.
2. The federal government retains reports permanently.

Pub. Law 92-225 (b)(2).

### 5 Campaign Finance Disclosure Records

Documents contributions and expenditures to persons running for office. Includes earnings reports and related correspondence.

Retention Period:

Permanent.

### 6 Campaign Finance Monitoring and Investigation Records

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

Retention Period:

Retain 20 years.

55 MGL 3, 55A.

### 7 General Court Candidate Financial Filings

Documents filings of candidates for seats in the General Court of their finances. Includes reports, crosschecking materials, and related correspondence.

Retention Period:

Permanent.

Note: Documents filed with Director of Campaign Finance.

55 MGL 1.

## G1 Election Candidates

### 8 Statewide Office Candidate Financial Filings

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

Retention Period:

Permanent.

Note: Documents filed with Director of Campaign Finance.

55 MGL 1.

### 9 Referendum Committee Financial Filings

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

Retention Period:

Permanent.

Note: Documents filed with Director of Campaign Finance.

### 10 Corporation Campaign Contributor Financial Filings

Documents filings of corporations that contribute funds to influence the vote on questions submitted to the people. Includes report of disbursements and outstanding liabilities.

Retention Period:

Retain 6 years.

Notes:

1. Information duplicated in referendum committee filings, unless independent expenditure.
2. Documents filed with Director of Campaign Finance.

55 MGL 22.

## G2 Lobbyists

### 1 Lobbyists' Employers Financial Disclosure Filings

Documents the semi-annual filing of financial disclosure reports with the Secretary by employers of lobbyists to effect legislative change.

Retention Period:

Retain 1 year.

3 MGL 47.

### 2 Political Committee Statements of Organization Filings

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

Retention Period:

Permanent.

Note: Documents filed with Director of Campaign Finance.

55 MGL 5.

### 3 Ward and Town Political Party Committee Financial Filings

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

Retention Period:

Retain 4 years.

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

**G2 Lobbyists****4 Lobbyist/Organization Registration and Financial Disclosure Filings**

Documents the annual registration of lobbyists (legislative agents) and organizations with the Secretary of State's Office and the subsequent semi-annual filing of financial disclosure reports. Includes identification and photo, Notice of Employment or Agreement, Executive of Legislative Agent Registrations for Multiple or Indirect Employers, Authorization of Executive of Legislative Agent, Executive and Legislative Agent Reporting Statement, Reporting Statement for Campaign Contributions, Reporting Statement for Employers of Executive and Legislative Agents, filing fee documentation, and related correspondence.

Retention Period:

Retain 1 year.

## Notes:

1. Information is maintained in record series "Lobbyists and Employers Reports (G2-6)" as a permanent record.
2. The Director of Political and Campaign Finance maintains files permanently.

3 MGL 41,44.

**5 Lobbyist/Organization Filings Monitoring Records**

Documents reports of violations of filing requirements by not filing or filing improperly. Includes financial disclosure files, reports of violation of disclosure, and related information and correspondence.

Retention Period:

Retain 1 year.

3 MGL 43,44,47.

**6 Lobbyists and Employers Reports**

Provides a summary of lobbyist and employer registrations and financial disclosures. Titles include: Massachusetts Lobbyists and Employers Registration Listing, Report of Disclosed Salaries and Expenditures, and Statistical Report of Salaries and Expenditures.

Retention Period:

- (a) Year-end reports: Permanent.
- (b) Interim reports: Retain until year-end report is published.

## Notes:

1. Copies are sent to the State Library.
2. Non-profit organizations disclosures and statistics are not included in the reports.

**7 Political Action Committee Financial Filings**

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

Retention Period:

4 years

Note: Documents filed with Director of Campaign Finance.

55 MGL 1.

**G3 Election Voting****1 Electoral College Records**

Documents the administration of federal Electoral College proceedings. Includes rosters of electors, oaths, sample ballots, federal election procedure information, certification of electoral votes and proceedings.

Retention Period:

Permanent.

54 MGL 148

**G3 Election Voting****2 Election Districts Records**

Documents any changes to voting districts in cities and towns as reviewed by the Local Election District Review Commission. Includes precinct maps, census data, copies of votes from city councils and selectmen authorizing precincts and LEDRC authorization letters.

Retention Period:

Permanent.

**3 Voting Machine Certification Records**

Documents the certification of voting machines for accuracy and reliability for use in local and state elections. Includes notifications of types of machines used, specimen ballots, procedure manuals, test results, and related correspondence.

Retention Period:

Retain 3 years after decertification.

54 MGL.

**4 Voter Registration Records**

Documents the registration of voters. Includes registration forms and listings.

Retention Period:

Retain 3 years after superseded.

**5 Polling Place Registrations**

Documents registered voters by polling place.

Retention Period:

Retain 3 years.

**6 Election Returns of Town Officers**

Documents annual reports from Town Clerks of Elections of Town Officers, including notices of resignations and interim appointments.

Retention Period:

Permanent.

**7 Election Ballots and Instructions Records**

Documents ballots cast in state elections for state officials, petitions, and referendums. Includes ballot preparation materials, notification of number of members to be elected, sample ballots, street lists for information distribution, ballot instructions and penalties information, cast ballots, and ballot handling documentation.

Retention Period:

- (a) A sampling of ballots, instructions, voting machine specifications, and voter information pamphlets: Permanent.
- (b) Cast Ballots: Retain 30 days after finalization of ballot count.
- (c) Unused Ballots: Retain 30 days after finalization of ballot count.
- (d) All other records: Retain 3 years after finalization of the ballot count.

53 MGL 70B; 52 MGL 9; 54 MGL 48; 383 MGL Acts of 2002 as of Feb 25, 2003.

**8 Election Initiative, Petitions, and Referendums Records**

Documents petitions to be considered for placement on ballots. Includes certified signatures of the first ten signers, the certified summary of the petition text, Attorney General opinion's as to the appropriateness of the issues for vote, and related correspondence.

Retention Period:

- (a) Petitions as certified whether approved by voters or not: Permanent.
- (b) Non-qualified petitions: Retain 3 years.
- (c) Signature sheets: Retain 30 days after election is finalized.
- (d) Alcoholic Beverage License Petitions: Retain 3 years.

Note: See also record series "Attorney General Initiative Petition Review Records (B6-2)".

### G3 Election Voting

#### 9 Vote Returns Certification Records

Documents the reporting of election vote totals (tabulations) for federal, state offices, petitions, and elected town officials, and referendums. Includes reports, and written certifications of votes by the Governor and the Governor's Council or the Town Clerk for municipal elections.

Retention Period:

- (a) Certification of totals: Permanent.
- (b) All other records: Retain 1 year.

#### 10 Election Reviews and Challenges Records

Documents the review of elections where results may have been questioned.

Retention Period:

Review by the Archives 6 years after conclusion.

#### 11 Access to the Ballot Case Files

Documents the decisions of the State Ballot Law Commission to resolve complaints of individuals regarding access to the ballot through the nominating process or through placement of initiatives or referendums on a state ballot. Includes complaints, objections, notice of public hearings, and commission decisions.

Retention Period:

Permanent.

### G4 Commissions and Appointments

#### 1 Commissions and Boards Appointment Log Books Records

Provides a summary listing of appointments to boards and commissions and any changes such as resignations or interim/recess appointments.

Retention Period:

Permanent.

#### 2 Boards, Authorities, Councils, Commission Appointment Records

Documents the appointment of members to Housing Authorities, Mental Health and Retardation Boards, Metropolitan Area Planning Council, and special commissions. Includes appointment notifications, change in status, and related correspondence.

Retention Period:

Permanent.

#### 3 Appointment Qualification Signature Books

Documents the signature (at the Secretary's Offices) before witnesses of notary publics, justices of the peace, and other appointments in order to complete the appointment process.

Retention Period:

Permanent.

#### 4 Appointment Performance Bond Filings

Documents the filing of bond files by certain state and county officials, members of commissions, boards and authorities of the Commonwealth. Bonds protect the governmental body from fraudulent actions on the part of the individual. Filing of bonds is a requirement before taking office.

Retention Period:

Retain 6 years after expiration.

Note: Attorney General's office reviews and monitors bond contracts.

## **G4 Commissions and Appointments**

### **5 Appointment Qualification Certification Records**

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. Appointments include among others: Governor and Lieutenant Governor, classified civil officers, county officers, court clerks, medical examiners, Governor's appointments, Housing Authority board members, justices of the peace, and notary publics.

Retention Period:

Permanent.

Note: Governor and Lieutenant Governor oaths of office are signed by the President of the Senate, the Speaker of the House, and the Secretary.

### **6 Non-Residents and Resident Clergyman and Solemnization of Marriage Records**

Documents the appointment of non-resident and resident clergymen and the one-time solemnization of marriages.

Retention Period:

Retain 1 year.

### **7 City and Town Acceptance of General Laws Records**

Documents the acceptance or rejection of state legislation by cities and towns. Includes acceptances, rejections, and related correspondence.

Retention Period:

Permanent.

### **8 City and Town Appointment Notifications**

Documents city and town appointment and resignation notifications and other notifications filed with the Secretary that do not require appointment qualification certification filings.

Retention Period:

Permanent.

### **9 Notary Public Apostille Verification Records**

Documents the verification of notary public signatures on documents sent to foreign countries in compliance with the Hague Convention of Oct. 5, 1961. Includes carbonless copy of Apostille (form A-1).

Retention Period:

Retain 1 year.

### **10 Notary Public Validation of Acts Certification Records**

Documents the issuance of certificates by the State Secretary validating acts of notary publics where the original notarization was invalid due to a failure to re-register after a change of name or due to expiration of commission.

Retention Period:

Permanent.

## **9MGL 15A; 39 MGL 59.**

### **11 Form O Notary Public Filing**

An appointee's signature appears on Form O, along with residence, position, appointment date, qualification date. This is done after having been sworn in to the position (i.e., Notary Public) before two commissioners to qualify. Form O's are scanned in as a Tiff image and saved on the local area network. The system is backed up using the industry standard, Grandfather, Father, Son methodology for tape rotation. The Secretary institutes a four-week on-site/off site weekly tape rotation from the main office located at One Ashburton Place, Boston, MA 02108 to The Massachusetts State Archive located at 220 Morrissey Blvd. Boston, MA

Retention Period:

Back up 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.

## G4 Commissions and Appointments

### 12 Notary Public Re-Registration (name Change)

These documents are filed alphabetically by surname before the name change.

Retention Period:

Permanent. The certificates are bound and sent to the archive.

## G5 Legislation and Policy

### 1 Rules and Regulations Filings

Documents the official filing of state agency rules and regulations. Includes submissions, public hearing documentation, and related correspondence.

Retention Period:

- (a) Rules and Regulation filings with Secretary of State's Office: Permanent.
- (b) All other records: Review by the Archives after administrative use ceases.

### 2 Acts and Resolves Filings

Documents the official filing of House and Senate Acts and Resolves with the Secretary's office. Includes engrossed copies and accompanying support materials.

Retention Period:

Permanent.

### 3 Request for Opinions

This is a log of Request for Opinions from the Governor's Legislative Office to the Secretary of State's Legislative Office. The purpose of this series is to track the time when the Secretary of State response is due at the Governor's office.

Retention Period:

Keep until the end of the current administration.

### 4 Secretary of State's Responses

This series is the Secretary of State's responses to requests on legislation awaiting the Governor's signature. The purpose of this series is to comment on impact of legislation on the office of the Secretary and the laws of the Commonwealth under which the Secretary has jurisdiction.

Retention Period:

Keep until the end of the current administration.

### 5 Legislation Files-Passed Legislation (Record Copy)

This series is used to track agency input and progress of legislation of concern to the Secretary's office that was passed by the General Court. This series includes: copies of bills in various stages, agency questionnaires and comments by staff, public hearings, community testimony, and correspondence. They are arranged by bill number.

Retention Period:

Permanent

Note: Duplicates of selected material is kept in the Governor's Legislation Office.

### 6 Legislation Files-Unpassed

This series is used to track agency input and progress of legislation of concern to the Secretary's office that was not passed by the General Court. If the bill is reintroduced a new folder is created. This series includes: copies of bills in various stages, agency questionnaires and comments by staff, public hearings, community testimony, and correspondence. They are arranged by bill number.

Retention Period:

Permanent

### 7 Legislative Liaison Correspondence

This series is correspondence documenting issues brought to the attention of the Secretary by a member of the General Court, constituent referrals, casual and routine communications. These files are arranged chronologically.

Retention Period:

3 years

Note: Duplicates of selected material is kept in the Secretary's files.

**G5 Legislation and Policy****8 Reference Subject Files**

This is a ready reference file on divisions of state government. This series is composed of: clippings, agency/division publications, and administrative memorandum. This file is arranged alphabetically. None of this material is original.

Retention Period:

After use.

**9 Legislation Status Report**

This is a monthly report tracking progress of bills through the legislative process. This series is arranged chronologically.

Retention Period:

3 years

Note: A duplicate is kept in the Secretary's files.

**G6 Corporations and Business****1 Corporations Service of Process Records**

Documents the Secretary's role as agent for service of process for certain corporations. Includes summons, complaints, and compliance letters issued by the Secretary of the State.

Retention Period:

Retain 3 years.

**2 Corporations and Businesses Regulation Records**

Documents the registration of corporations, foreign corporations, limited partnerships, trusts, and public charities. Includes applications, articles of organization and amendment, annual reports, change of officers and directors, bylaws, registrations, Department of Public Health, Department of Public Works, or Board of Higher Education approvals, revivals of dissolved corporations, and related correspondence.

Retention Period:

85 years after microfilming and public hearing. Master microfilm transfer to archives.

155 MGL 2B; 180 MGL 6; 69 MGL 30,31.

**3 Universal Commercial Code Filings**

Documents the filing with the Secretary's office of Universal Commercial Codes. Includes amendments and continuations.

Retention Period:

(a) 1 year after microfiche and verification.

(b) Master: 6 years from date of filing

106 MGL.

**4 Trademark Registration Filings**

Documents the registration of trademarks with the state. Includes applications, support documentation, and related correspondence.

Retention Period:

Retain 20 years and subject to review by the Archives.

**G7 Securities****1 Registration, Exemption, and Notice Filing Register**

Provides a summary listing of all notice filings made under subsection (b) of section 202 (federally registered investment advising firms) and section 306 (investment companies/mutual funds) of 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 950 CMR 14.401, and all denial, suspension, or revocation orders which have been entered under this chapter.



**G7 Securities**Retention Period:

Permanent.

## Notes:

1. The Register is maintained on the Security Divisions database.
2. Most broker-dealer and investment advisor information is also retained on the Central Registration Depository (CRD) and/or the Investment Adviser Registration Depository (IARD), both operated by the National Association of Security Dealers (NASD).

110A MGL 413.

**2 Broker-Dealer Registration and Exclusion Notice Filings**

Documents the registration of NASD-member broker/dealers, non-NASD broker-dealers, and the exclusion notice filing by certain Canadian broker-dealers when claiming an exclusion from the definition of broker-dealer as found in 950 CMR 14.401. Includes initial application Form BD, amendments to Form BD, financial statements, registration renewal materials, withdrawal notice Form BD-W, disciplinary information, and related support materials and correspondence.

Retention Period:

Retain 3 years after current registration or exclusion period ends.

## Notes:

1. Carry forward any materials from previous registrations necessary to complete the current filing.
2. Materials which are also retained on the Central Registration Depository (CRD) or the Investment Adviser Registration Depository (IARD) and materials that were unnecessarily sent to the Division need not be retained.

110A MGL 202,203; 950 CMR 12.202, 12.203, 14.401.

**3 Investment Adviser Registration and Federal Covered Advisor Notice Filings**

Documents the registration of investment advisers and the notice filings of federal covered advisers. Includes initial registration Form ADV, amendments to ADV, disclosure brochures, surety bonds and financial statements, advisory contracts, registration renewal materials, Form ADV-W, disciplinary information, and related support materials and correspondence.

Retention Period:

Retain 3 years after current registration or notice filing period ends.

## Notes:

1. Carry forward any materials from previous registrations or notice filings necessary to complete the current filing.
2. Materials which are also retained on the Central Registration Depository (CRD) or the Investment Adviser Registration Depository (IARD) and materials that were unnecessarily sent to the Division need not be retained.

110A MGL 202, 203; 950 CMR 12.205.

**4 Broker-Dealer Agent and Investment Adviser Representative Registration**

Documents the registration of agents of broker-dealers and representatives of investment advisers. Includes initial application Form U-4, amendments to Form U-4, section 202(a) affidavits, evidence of meeting examination or certification requirements, registration renewal materials, termination notice Form U-5, disciplinary information, and related support materials and correspondence.

Retention Period:

Retain 3 years after current registration ends.

## Notes:

1. Carry forward any materials from previous registrations necessary to complete the current filing.
2. Materials which are also retained on the Central Registration Depository (CRD) or the Investment Adviser Registration Depository (IARD) and materials that were unnecessarily sent to the Division need not be retained.

110A MGL 202,203; 950 CMR 12.202, 12.203, 12.205.

**5 Securities Registration and Exemption Filings**

Documents the registration of securities for entities offering securities for sale. Includes Massachusetts notice form or federal notice form (SEC Form D), consent to service of process (Form U-2), and may include offering materials and related correspondence.

## G7 Securities

### Retention Period:

- (a) Documents duplicated on the federal Securities and Exchange Commission's EDGAR Database: Retain until administrative use ceases.  
 (b) All other records: Retain 3 years after final determination.

110A MGL.

### **6 Investment Company Notice Filings**

Documents the filing of notices by investment companies (investment companies, face amount certificate companies, closed-end management companies, and unit investment trusts) offering mutual funds for sale but exempted from registration. Includes notice form (Form NF), Consent to Service of Process (Form U-2), cover letters, and related correspondence.

### Retention Period:

Retain until data is verified on database

### **7 Issuers Consent to Service of Process Filings**

Documents the filing of Uniform Consent to Service of Process notices by issuers (non-investment companies) of securities who are exempted from registration. Includes Uniform Consent to Service of Process (Form U-2) and related support materials and correspondence.

### Retention Period:

Retain until data is verified on database.

110A MGL 414(g).

### **8 Sales and Advertising Literature Filings**

Documents the filing of sales and advertising literature from brokerage firms for review by the Securities Division to determine that advertising and promotional materials are not false or misleading pursuant to 110A MGL 403 and that materials reflect full and fair disclosure and readability. Includes prospectus, pamphlet, circular, form letter, advertising or other sales literature intended for distribution to prospective investors, and related correspondence.

### Retention Period:

Retain until review is completed.

Note: A destruction application does not need to be filed with the Records Conservation Board before discarding these records.

### **9 Interpretative Opinion Records**

Documents the General Counsel of the Securities Division's responses to public inquiries or requests for legal clarifications, opinions, or explanations of the Securities Act and Rules in order to assist persons in complying with the law. Includes initial requests for information, background support materials and notes, formal legal opinion releases or other products, and related correspondence.

### Retention Period:

- (a) Final products and substantive support materials: Permanent.  
 (b) All other records: Retain 3 years.

### **10 Inquiries and Complaints Records**

Documents the handling of routinely disposed of inquiries and complaints from individual investors or potential investors relating to security firms, agents, or transactions. Includes inquiries, letters of complaint, support materials, and related correspondence.

### Retention Period:

- (a) Withdrawn, non-jurisdictional, or incomplete inquiries and complaints: Retain 1 year.  
 (b) All other records: Retain 3 years.

### **11 Investigation and Enforcement Records**

Documents the investigation of public or private firms, agents, or persons and any subsequent enforcement of violations of the Uniform Securities Act 110A MGL, Blue Sky Law). Includes letters of complaint, subpoenas, background and evidentiary materials, depositions, oaths and affirmations, requests for opinions, administrative sanction documentation, and related correspondence.

### Retention Period:

- (a) Landmark or policy setting cases: Permanent.  
 (b) All other records: Retain 6 years after final settlement or action.

Note: Some cases may be referred to the Attorney General or other enforcement bodies.

**G7 Securities**

110A MGL.

**12 Administrative Hearing Enforcement Action Case Files**

Documents the adjudicatory proceedings of investigations initiated by the Secretary of State's filing of an administrative complaint. Includes administrative complaints, requests for hearings, answers, pre-hearing conference materials, background support materials, motions, subpoenas, orders and answers, exhibits, evidence, settlement or consent order documentation, decisions and final orders, notices of appeal, and related correspondence.

**Retention Period:**

Permanent.

110A MGL; 950 CMR 10.06.

**13 Investor Education Program Records**

Documents the Securities Division program created to provide potential investors with information on methods to protect themselves against unnecessary risks, determining their personal financial situation and needs, and setting realistic investment objectives. Includes investor education forum materials, publications, program administrative records, testimonials, and related correspondence.

**Retention Period:**

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

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

**G8 Deeds****1 Deed Registration Records**

Documents the registration of deeds to commonwealth land. Includes applications, lien histories, easements and right of ways, and related correspondence.

**Retention Period:**

Permanent.

**G9 State Matters****1 State Seal and Other Records**

Documents the Secretary's keeping of the State Seal including any determinations or complaints about its use as regulated by 2 MGL 5. Includes complaints, determinations, and related correspondence.

**Retention Period:**

Permanent.

2 MGL 5.

**2 Abolished County Records**

Consists of any records left over from counties that have been abolished.

**Retention Period:**

Review by the Archives.

**3 State Citations and Awards Records**

Documents awards by the state to the public for achievement or merit.

**Retention Period:**

Permanent.

**G10 Historic Property****1 Property Appraisers Certification Records**

Documents the registration of property appraisers.

**Retention Period:**

Retain 3 years.

## G10 Historic Property

### 2 Historic Preservation Information Source Files

Documents the development of preservation planning and resources in the community. Includes field reports, photographs, inventory forms, pre-registry inquiries, and related correspondence.

Retention Period:

Permanent.

### 3 Historic Preservation Restrictions Agreement Records

Documents the agreements between owners of land and the Massachusetts Historical Commission or a non-profit organization regarding the future use of historic and archeological properties.

Retention Period:

Permanent.

Note: Some records duplicated at the Registry of Deeds.

### 4 National Historic Preservation Act Compliance Records

Documents the monitoring and review of public projects and their effects on historic and archeological properties.

Retention Period:

Permanent.

National Historic Preservation Act of 1966; 9 MGL 26-27C.

### 5 National Register of Historic Places Compliance Records

Documents the monitoring of properties in, or eligible for inclusion in, the National Register of Historic Places. Includes written summaries, photographs, drawings, and related correspondence.

Retention Period:

Permanent.

### 6 Historic Preservation Certification Records

Documents Massachusetts Historical Commission help to property owners, developers, architects, and preservation consultants apply for certification that qualify them to apply for federal tax credits for the rehabilitation of historic buildings. Certifications are granted by the National Park Service. Includes historic preservation certification applications, photographs, architectural drawings, and related correspondence.

Retention Period:

Permanent.

Tax Reform Act of 1976, the Revenue Act of 1978, the Tax Treatment Extension Act of 1980, the Economic Recovery Tax Act of 1981 amended by the Tax Reform Act of 1984, and the Tax Reform Act of 1986.

### 7 Archeology Records

Documents state archeological programs to find and protect archeological remains.

Retention Period:

Permanent.

## G11 Library/Archives

### 1 Library/Archives Accession Log

Documents the acceptance of materials into libraries, archives, or special collections.

Retention Period:

Permanent.

### 2 Archives and Records Center Vault Records

Documents the monitoring of records storage areas for security purposes. Includes security logs and environmental data sheets.

Retention Period:

Retain 3 years.

## G 11 Library/Archives

### 3 Library/Archives Reference Requests

Documents patron requests for information or materials from the holdings of the State Library or the Massachusetts Archives or other agency where the researcher is using permanent archival materials from vaults or closed stack areas.. Includes request and response communications, fee payment documentation.

Retention Period:

- (a) Archival collections request forms: Permanent.
- (b) Where payments are made: Retain 3 years.
- (c) All other records: Retain until administrative use ceases.

Notes:

- 1. Gather any necessary statistics before discarding any materials.
- 2. See also record series "Public Records Request Records (B2-1)".

### 4 Library/Archives Call Slips

Documents in-house movement of materials from shelves.

Retention Period:

Retain until administrative use ceases.

Note: Take any necessary statistics before destroying any records.

### 5 Archives Researcher Registers

Documents the registration of researchers to the Massachusetts Archives or other agency facility for identification, security and statistical purposes.

Retention Period:

Permanent.

### 6 State Publications Listing

Consists of a listing of state publications received by the State Library, published quarterly with an annual compilation.

Retention Period:

Retain 2 copies permanently in the State Library collection.

### 7 Librarian Certification Records

Documents the certification of public librarians in the Commonwealth pursuant to 78 MGL 19B; 605 CMR 4; 78 MGL 22-31; 605 CMR 3.

Retention Period:

Retain 75 years.

78 MGL 19B; 605 CMR 4; 78 MGL 22-31; 605 CMR 3.

### 8 Reference Activity Reports/Statistics

Periodic compilation of statistics of reference requests, researcher visits, collection use, and fees received.

Retention Period:

Permanent

### 9 LSTA (Library Services and Technology Act)

The LSTA State Program has a five-year funding cycle that starts with the submission and approval of the Five Year Plan, continues with the awarding of five consecutive Grant Awards and their respective Reports, and ends with a Five-Year Evaluation. All of these parts are directly related and cannot function independently of the others.

Retention Period:

Since the entire five-year package of documents is pertinent to the State Program, records for all documents associated with that five-year period must be kept until three years after the last report is submitted. Typically the last report to be submitted for a given five-year is the fifth year's Annual Report.

Notes: (a) In 45 CFR 1183.42 (a) and (b), Federal regulations state that records must be kept for three years after the grantee (a.k.a., the State Library Administrative Agency) submits the last expenditure report for that period.  
 (b) Audits for any of the state's fiscal year LSTA activities can extend the records retention period; documents must be retained for a period of three years following the resolution of an audit.

**G 11 Library/Archives****10 LSCA (Library Services and Construction Act) Title II-Public Library Construction**

The period of use for LSCA Title II funds is not limited, and federal regulations maintain that a "Federal Interest" is attributable to all state projects funded in part by Title II for a period of twenty years after the completion of those projects. For state construction projects that have already been completed, IMLS will maintain completion reports; the states, however, must maintain all records pertaining to their projects, including blueprints. Accurate records are always important, but they become critical when a library that is constructed with Title II funds outgrows the facility and needs to be remodeled or moved to another building, or is no longer used as a library and needs to be sold. Approval for any changes to the property must be approved by IMLS, and the percentage of federal interest must be updated.

Retention Period:

20 years after completion of project.

## H1 Administration

### 1 HEGIS Report Records

Documents reports on the institution sent to the U.S. Department of Education.

Retention Period:

Permanent.

### 2 Dean's Records

Document's the Dean's activities. Includes subject or correspondence files maintained for monitoring and decision making purposes.

Retention Period:

Review by the Archives after administrative use ceases.

Note: See also record series "Executives' Correspondence/Subject Files (A3-1)".

### 3 Satellite Campus Oversight Records

Documents the management of satellite campuses. Includes reports, memos, directives, and related correspondence.

Retention Period:

Review by the Archives after administrative use ceases.

## H2 Admissions

### 1 Student Admissions/Registration Records

Documents applications to the school and subsequent progress. Includes transcripts, acceptance letters, transfer records, course credit sheets and evaluations, veteran information, and related correspondence.

Retention Period:

- (a) Matriculated students' records: Retain 5 years after graduation or separation from institution.
- (b) All other records: Retain 3 years.

Note: See also record series "Official Course and Grade Records (H5-6)".

### 2 Student Immunization Records

Documents the immunization of students entering the institution. Includes immunization record and related correspondence.

Retention Period:

- (a) Students entering health training programs: Retain 5 years after separation from the program.
- (b) All other records: Retain 10 years.

Note: See also record series "Student Health Clinic Records (H9-5)".

105 CMR.

### 3 Tuition and Fees Records

Documents tuition and fee structure, analysis, and policy.

Retention Period:

- (a) Policy documentation: Permanent.
- (b) Actual payments: Retain 3 years after settlement.

### 4 Student Financial Aid Records

Documents aid given to students to help pay for schooling. Includes financial aid applications, federal student aid forms, federal tax forms, award letters and confirmations, verification records, and interview documentation.

Retention Period:

Retain 5 years after separation.

34 CFR.

## H2 Admissions

### 5 Student Scholarships, Fellowships, and Awards Records

Documents the process to give scholarships and other aid awards.

Retention Period:

- (a) Summary records: Permanent.
- (b) All other records: Retain 5 years.

### 6 Student Record Transcript Requests Records

Documents requests for student transcripts.

Retention Period:

Retain 1 year.

## H3 Academic Program

### 1 Academic Program Administration Records

Documents the routine daily administration of courses and programs of the institution. Includes referral, orientation, facilitative and other administrative correspondence and materials.

Retention Period:

Retain 3 years.

### 2 Academic Advisement Records

Documents faculty or academic advisors advisement of students.

Retention Period:

Retain 3 years after student graduates or separates from academic program.

### 3 Student Internships and Practicums Records

Documentation of field experience.

Retention Period:

Retain 5 years after separation. Record with registrar.

### 4 Independent/Cooperative or Alternate Study Records

Documents alternative course programming.

Retention Period:

Retain 3 years.

### 5 International Studies Program Records

Documents programs of foreign study sponsored or in conjunction with other colleges.

Retention Period:

Review by the Archives after 6 years.

### 6 Award Establishment Records

Documents the establishment of awards.

Retention Period:

- (a) Summary documentation: Permanent.
- (b) All other records: Retain until administrative use ceases.

### 7 Commencement and Awards Records

Documents graduation ceremonies and awards given to outstanding students. Includes programs, program revisions, logistical support documentation, and related correspondence.

Retention Period:

- (a) Final programs with edits: Permanent.
- (b) All other records: Retain 3 years



## H4 Course and Curriculum

### 1 Curriculum Development Records

Documents the development of courses.

Retention Period:

Review by the Archives after administrative use ceases.

### 2 Class Schedule Records

Documents courses scheduled to be taught.

Retention Period:

Official copy: Permanent.

### 3 Course Outlines and Descriptions Records

Documents descriptions of courses taught by institution.

Retention Period:

Permanent.

## H5 Testing and Grades

### 1 Student Tests and Examinations

Documents tests taken by students as part of course requirements.

Retention Period:

- (a) Final tests taken as requirements for degree programs: Permanent.
- (b) All other records: Retain 1 semester.

### 2 Student Evaluations of Teachers

Documents student evaluations of courses and instructors. Includes questionnaires and summary reports.

Retention Period:

- (a) Where information is summarized: Retain summary report 6 years and discard data forms, otherwise:
- (b) Retain data forms 6 years.

Note: Records may be used for tenure review.

### 3 Masters Theses

Documents papers completed as partial fulfillment of degree requirements.

Retention Period:

Permanent.

### 4 Academic Degree Audit Records

Documents review of student coursework to determine if they have met the requirements to receive their degree. Includes degree applications, degree audits, credit evaluations, course substitution forms, honors recommendations, and related notes and correspondence.

Retention Period:

- (a) Approved degree application documents: Retain 5 years after graduation or separation.
- (b) Denied or withdrawn application materials: Retain 1 year.

Note: Denied students are required to reapply and submit a new application to be considered for graduation.

### 5 General Educational Development (GED) Certification Records

Documents the certification that an individual has passed the GED test as equivalent of a high school education.

Retention Period:

- (a) Official copy: Retain 60 years.
- (b) All other records: Retain 3 years.

## H5 Testing and Grades

### 6 Academic Degree Audit Records

Documents review of student coursework to determine if they have met the requirements to receive their degree. Includes degree applications, degree audits, credit evaluations, course substitution forms, honors recommendations, and related notes and correspondence.

Retention Period:

- (a) Approved degree application documents: Retain 5 years after graduation or separation.
- (b) Denied or withdrawn application materials: Retain 1 year.

Note: Denied students are required to reapply and submit a new application to be considered for graduation.

### 7 General Educational Development (GED) Certification Records

Documents the certification that an individual has passed the GED test as equivalent of a high school education.

Retention Period:

- (a) Official copy: Retain 60 years.
- (b) All other records: Retain 3 years.

### 8 Official Course and Grade Records

Provides a permanent record of student's courses taken and grades received as maintained by the Registrar.

Retention Period:

- (a) Official course and grade books, transcripts, listings, or narrative degree evaluation materials: Permanent.
- (b) Transcript requests: Retain 1 year.

## H6 Faculty

### 1 Faculty Personal and Professional Papers

Consists of faculty research or other materials where left in the institutions care.

Retention Period:

Review by the Archives if left in custody of institution.

### 2 Tenure and Promotion Records

Documents changes in faculty employment.

Retention Period:

Retain 6 years.

### 3 Teacher Certification Records

Documents the certification of teachers by the Department of Education in compliance with 71 MGL 38G.

Retention Period:

- (a) Records before 1980: Retain 40 years.
- (b) All other records: Retain 6 years after expiration.

Educational Reform Act of 1993. 71 MGL 38G.

### 4 Faculty Appointment Records

Documents the appointment and subsequent history of individuals to join the institution's faculty.

Retention Period:

- (a) Summary record: Permanent.
- (b) All other records: Retain 6 years after separation.

### 5 Faculty Workload Records

Documents work assignments of individual faculty.

Retention Period:

Retain 3 years.

Note: These records may be used for tenure review.

**H6 Faculty****6 Sponsored Research Records**

Documents grants to pursue academic research.

Retention Period:

Review by the Archives after 6 years after close.

**H7 Student Activities****1 Student Event/Activities Applications Records**

Documents student participation in special activities.

Retention Period:

Retain 3 years.

**2 Student Clubs and Associations Records**

Documents the activities of student run clubs and associations.

Retention Period:

Review by the Archives after administrative use ceases.

**3 Student Government Records**

Documents activities of student government groups.

Retention Period:

Review by the Archives after administrative use ceases.

**4 Student Newspaper**

Documents the publication of the student newspaper.

Retention Period:

- (a) Final publications: Permanent.
- (b) Photographs and artwork: Review by the Archives after administrative use ceases.
- (c) Newspaper staff memorabilia: Permanent.
- (d) Summary policy and administrative records: Permanent.
- (e) All other records: Retain 3 years.

**5 Student Athletic Participation Records**

Documents student participation in sports.

Retention Period:

- (a) Retain summary documentation, films, and photos: Permanent.
- (b) All other records: Retain 6 years after separation.

**H8 Student Affairs****1 Student Grievance/Complaint Records**

Documents student complaints.

Retention Period:

Retain 3 years after closure.

**2 Student Discipline Records**

Documents the discipline of students for infraction of school policy.

Retention Period:

- (a) Expulsion records: Retain 25 years.
- (b) All other records: Retain 3 years after separation.

**H8 Student Affairs****3 Student Disability Records**

Provides a record of disability information on students.

Retention Period:

Retain 5 years after student graduates or withdraws.

**4 International Students Case Files**

Documents international students enrolled at the school.

Retention Period:

Retain 5 years after separation.

**H9 Student Services****1 Student Support Services Records**

Documents programs to support student life.

Retention Period:

- (a) Substantive summary data: Permanent.
- (b) All other records: Retain 3 years.

**2 Special Services Program Records**

Documents special programs for students not within normal course schedule.

Retention Period:

- (a) Summary records: Permanent.
- (b) All other records: Retain 3 years.

**3 Student Counseling Records**

Documents social services provided to students.

Retention Period:

Retain 6 years after separation.

**4 Student Career/Placement Records**

Documents records kept on file for placement purposes.

Retention Period:

Retain 10 years.

**5 Student Health Clinic Records**

Documents student clinic health histories. Includes visit documentation and charts, medical notes, and related correspondence.

Retention Period:

Retain 30 years.

111 MGL 70.

**H10 Library and Learning Center****1 Borrowers Records**

Documents library use by patrons.

Retention Period:

Retain until items are returned.

## I1 Environmental Conservation and Protection

### 1 Environmental Natural Resources Management Records

Documents plans and studies for state facilities on how to best manage the natural and recreational resources at those facilities. Includes project documentation, studies, areas of environmental concern (ACEC) records, surveys, site assessments, GIS maps, resource plans, and related correspondence.

Retention Period:

Review by the Archives 6 years after inactive.

### 2 Environmental Historic Preservation Program Records

Documents projects, including grant projects, proposals, studies, and programs to conserve, preserve and protect historic landscapes and regions. Includes plans, proposals, final products and reports, photographs and slides, archaeological surveys, restoration guidelines, structural studies, specifications and drawings, curatorship documentation, and related correspondence.

Retention Period:

Review by the Archives 6 years after completion.

### 3 DEP and Brownfields Grant Program Records

Documents the process to grant monies to clean up polluted brown fields sites. Includes applications, attorney notes, site materials, grant program materials, and related correspondence.

Retention Period:

Review by the Archives 25 years after closure.

### 4 Environmental Disaster Planning and Relief Records

Documents efforts to protect areas from environmental disasters.

Retention Period:

- (a) Summary documentation: Permanent.
- (b) All other records: Retain 10 years.

### 5 Conservation District Election Certificates Records

Documents areas that have been designated as protected.

Retention Period:

Review by the Archives after administrative use ceases.

### 6 Coastal Community Relations Records

Documents the coordination and planning between state and coastal communities for the purposes of environmental protection. Includes issues and problems notes and reports, technical assistance given, and summaries of work and projects undertaken.

Retention Period:

Review by the Archives after administrative use ceases.

### 7 Coastal Resources and Wetlands Deed Restriction Case Files

Documents land deed restrictions placed on inland and coastal wetlands for the purpose of protection of natural resources. Includes restriction orders, aerial photos, plans and related correspondence. The management and monitoring of areas that have been designated as protected.

Retention Period:

Permanent.

### 8 Wetlands Project Approval Records

Documents appeals to DEP regarding applications for construction projects within wetland restricted deed areas as determined by local municipal Conservation Commissions. Includes notices of intent, order of conditions, determinations of applicability, denials, and appeals.

Retention Period:

- (a) Unappealed determinations of applicability and orders of conditions: Retain 30 days following municipal decision.
- (b) Appealed orders of condition: Retain 1 year after certificate of compliance has been issued.
- (c) Appealed determinations of applicability: Retain 3 years from DEP's final determination.

## I2 Construction and Engineering

### 1 Environmental Maps, Plans, and Photos

Documents resources required for planning and implementation of policies. Includes aerial photos, GIS maps, and other related materials.

Retention Period:

Review by the Archives after administrative use ceases.

### 2 Environmental Impact Studies, Site Analyses, and Reports

Documents reports and studies summarizing environmental impact of proposals and plans.

Retention Period:

Permanent.

### 3 Environmental Systems Records

Documents the regulation of the design, building, and operation of environmental systems such as wastewater sludge and septic sewage and septic systems. Includes permit applications, engineering plans, variance requests, and related correspondence.

Retention Period:

Retain 10 years.

### 4 Environmental Engineering Reports and Plans

Documents the use of appropriate technology, the proper operation and maintenance of equipment and to determine site suitability. Includes descriptions of pollution control equipment, design criteria, site plans, system schematic diagrams, construction drawings and specifications, and related correspondence.

Retention Period:

Retain 15 years after final acceptance of project.

111 MGL 142A-142M; 21 MGL 27(13).

## I3 Laboratory

### 1 Environmental Lab Certification Records

Documents the certification of labs under the USEPA Laboratory Certification Program, DEP, or other agency, and also documents daily quality assurance monitoring. Includes logs, equipment calibration and testing, data reports and workbooks, and related correspondence.

Retention Period:

Retain 3 years.

310 CMR 22.17; 310 CMR 42.00, 42.14.

### 2 Environmental Laboratory Records

Documents the laboratory testing of environmental samples containing contaminants, toxins, and pollutants. Includes bacteriological and chemical samples, tests and reports, lab log books, chromatograms, data reports and workbooks, and related correspondence.

Retention Period:

(a) Analytical reports, logs, and charts: Retain 10 years.

(b) Proficiency tests: Retain 3 years.

310 CMR 7.00; 310 CMR 22.17; 310 CMR 42.00; 40 CFR part 58.

## I4 Regulation and Compliance

### 1 Environmental Administrative Law Appeal Case Files

Documents non-criminal cases relating to environmental regulations and laws. Includes administrative record, pleadings, and final decisions.

Retention Period:

Retain 15 years after closure or last action.

## I4 Regulation and Compliance

### 2 Environmental Licensing Course Approval Records

Documents the contracting of services relating to the offering of courses suitable for the continuing education requirements of professionals with environmental licenses.

Retention Period:

Retain 6 years after contract expires.

### 3 Mass Environmental Protection Act (MEPA) Review Records

Documents comments and inputs submitted in accordance with MEPA review requirements prior to EOEА permit issuance. Includes MEPA documents, engineering reports, environmental assessments, Clean Water Act (Watershed) documents NPDES permit applications and documentation, and related correspondence.

Retention Period:

- (a) Agency copy: Retain 2 years after EOEА decision.
- (b) EOEА copy: to be determined.

Note: EOEА is the office of record.

30 MGL 61-62H; 310 CMR 7.01(1); 301 CMR 11.00.

### 4 Environmental Strike Force Case Files

Documents complaints about possible criminal violations.

Retention Period:

- (a) Landmark or noteworthy cases: Permanent.
- (b) Case referral and screening notes: Retain 10 years.
- (c) Non-investigated cases: Retain 10 years.
- (d) Investigated cases: Retain 20 years after case is closed.
- (e) Attorney General civil judgments: Retain 20 years.

### 5 Environmental Professional Licensing Records

Documents the licensing of Hazardous Waste Cleanup, transporters, and other professionals. Includes applications, transcripts, license issuance letters, disciplinary action letters, continuing education, and related correspondence.

Retention Period:

Retain 15 years after inactive.

21A MGL 19.

### 6 Environmental Facilities Licensing, Permits, and Certification Records

Documents the licensing of environmental facilities covering operating procedures, facility design, emission limits, groundwater discharge, holding tanks, handling of hazardous waste, recycling, and compliance review. Includes applications, transcripts, fact sheets and plan approval letters, license issuance letters, disciplinary action letters, inspection reports, and related correspondence.

Retention Period:

Retain 15 years.

310 CMR 7.00; 111 MGL 142A-142M; 21 MGL 43.

### 7 Environmental Regulation and Licensing Records

Documents the licensing, permitting, and subsequent status updating of buildings, facilities, or operations that could adversely impact the environment. Includes applications, site plans, operations and procedures reviews, testing, hazardous waste handling change of status forms, hazardous waste state generator registration forms, and related correspondence.

Retention Period:

Retain 15 years.

310 CMR 7.00.

### 8 Environmental Monitoring and Inspection Records

Documents the ongoing monitoring of environmental conditions such as air emissions or water discharges to determine and document a facility's compliance status. Includes facility activity descriptions, operating status of pollution control equipment, test results, discharge monitoring reports, and record-keeping evaluations.

Retention Period:

Retain 15 years.

111 MGL 142A-142M; 21A MGL 16; 310 CMR 5.13; 310 CMR 30.00; 21C MGL; 21 MGL 27(7).

## I4 Regulation and Compliance

### 9 Environmental Investigation and Enforcement Records

Documents the investigation into licensing violations or other activity adversely impacting the environment. Used to enforce the requirements of 21 MGL as stated in 21A MGL 16; 310 CMR 5.13; and 111 MGL 142A-142M. Includes notices of non-compliance, enforcement orders, penalty assessment notices, return to compliance documents, notice of enforcement conference, includes Ad judicatory hearings and related correspondence.

Retention Period:

Retain 15 years.

21A MGL 16; 310 CMR 5.00, 5.13; 111 MGL 142; 91 MGL; 131 MGL 40.

## I5 Hazardous Waste Management

### 1 Hazardous Waste Cleanup Cost Recovery Records

Documents DEP invoicing to recover costs incurred by the State in the cleanup of oil and/or other hazardous materials. Includes invoices, site specific reports, annual compliance fees support, and related correspondence.

Retention Period:

Retain 15 years after costs recovered or written off.

21E MGL; 310 CMR 40.0000; 310 CMR 4.00.

### 2 Federal Superfund Sites Records

Documents the cleanup of sites designated as Federal Superfund Sites on the National Priorities List (NPL). Superfund sites consist of the most toxic waste sites in the US. 31 had originally been identified in Massachusetts. Includes feasibility studies, proposed plans, remedial design, progress documentation, and delisting documentation.

Retention Period:

Permanent.

21E MGL; 310 CMR 40.000; 42 USC 9605 as amended; 40 CFR 300-399.

### 3 Hazardous Materials Right-To-Know Records

Provides hazards information for the purpose of chemical spill and other emergency planning. Includes hazardous materials user lists, substances lists, and related other listings.

Retention Period:

3 years

Note: Official copy is held by the Local Emergency Planning Commission.

42 USCA 11021; 639 MGL.

### 4 Hazardous Materials Contingency Plan Records

Documents facility plans to respond hazardous waste emergencies to prevent and minimize hazards to public health, safety, and the environment. Plans are reviewed during inspections, compliance reviews, and enforcement investigations. Includes plans, support materials, and related correspondence.

Retention Period:

Retain 15 years after inactive.

Note: Contingency Plans are filed with local authorities as defined in 310 CMR 30.522.

21C MGL; 310 CMR 30.000; 310 CMR 30.522.

### 5 Hazardous Waste Sites and Spills Records

Documents the process to apply for, maintain and/or delist (from National Priorities List) hazardous waste sites in compliance with Superfund site regulations. Includes applications, engineering plans, variances, log of materials deposited, and related correspondence.

Retention Period:

Permanent.

42 USC 9605.



## I 15 Hazardous Waste Management

### 6 Contaminated Site Cleanup Records

Documents cleanups of involving hazardous waste spillage or leaks.

Retention Period:

- (a) Summary reports: Permanent.
- (b) All other records: Retain 10 years.

### 7 Hazardous Materials Regulation Records

Documents the licensing or other regulation of buildings, areas, or activities that could impact the environment.

Retention Period:

Retain for the life of the structure or installation plus 6 years.

### 8 Facilities Hazardous Substances Records

Documents hazardous materials use at facilities such as toxic, caustic, flammable and combustible materials. Includes material safety data sheets and related lists and reports.

Retention Period:

Retain 30 years.

Note: Reports are sent to DEP and to local Fire Marshals.

### 9 Toxics Use Reduction Records

Documents programs to encourage industry and others to lower toxic byproducts created during industrial processes. Includes data from industries relating to developments in the control and reduction of toxins and generic summaries of developments in the control and reduction of toxins.

Retention Period:

- (a) Generic Summary reports: Permanent.
- (b) All other records: Retain until summary report is produced, then destroy.

Note: Data may contain trade secret and other exempted materials.

### 10 Asbestos Regulation Records

Documents the process to inspect, review, and enforce asbestos regulations. Includes inspection/test reports, decontamination plans, blanket approvals, waiver requests, field notes, asbestos sampling results, and related correspondence.

Retention Period:

- (a) Notification forms: Retain 3 years.
- (b) All other records: Retain 15 years.

Note: DEP is the office of record.

310 CMR 7.15.

### 11 Hazardous Waste Transport and Disposal Records

Documents the transportation and disposal of hazardous waste shipments from generator to final disposal. Includes Uniform Hazardous Waste Manifests (US EPS form 8700-22) and monthly operating report summaries from each transporter.

Retention Period:

- (a) Manifests and receipts: Retain 3 years.
- (b) Waste disposal sites: Retain summary data permanently.

### 12 Radioactive Waste Disposal Records

Documents the transportation and disposal of hazardous waste.

Retention Period:

- (a) Manifests and receipts: Retain 30 years.
- (b) Waste disposal sites: Retain summary data: Permanent.

## I6 Waste and Emissions

### 1 Air Quality Testing and Monitoring Records

Documents testing of air quality for reporting to the federal EPA as required by 310 CMR 7.99 and 40 CFR 58.

Retention Period:

Retain 6 years.

310 CMR 7.00; 40 CFR 58.

### 2 Environmental Equipment Quality Assurance Records

Documents the status of equipment and proper operation and maintenance. Includes site log books, monitoring equipment calibration forms, quality control forms, precision and accuracy, data records, and related correspondence.

Retention Period:

Retain 6 years.

40 CFR 58.

### 3 Air Quality Public Health Studies Records

Documents special studies of air quality in areas of special concern for the protection of public health. Includes log books, reports, field notes, and other related documents.

Retention Period:

Retain 15 years.

310 CMR 7.00; 40 CFR 58.

### 4 Clean Air and Water Records

Documents the regulation, monitoring and control of facilities that may produce air or water pollution or other areas of special concern for the protection of public health. Includes facility design and equipment design, operating procedures, permit applications, tests, inspections, field reports and log books, enforcement orders, assessment notices, and related correspondence.

Retention Period:

Retain 15 years.

310 CMR 6-8,60; 21 MGL 111; 40 CFR part 58.

### 5 Medical, Biological, and other Waste Disposal Records

Documents the disposal of materials from hospitals, laboratories, and other facilities.

Retention Period:

Retain 3 years.

105 CMR 480.400

## I7 Water Resources

### 1 Drinking Water Certification, Permits, and Approval Records

Documents the process to review and approve drinking water sources and uses, water withdrawal in excess of threshold, system operators, vending machines, and other. Includes submission review materials, approvals, waivers, monitoring and compliance, and related correspondence.

Retention Period:

(a) Central Office Copy (DWP Boston): Retain for active period plus 3 years.

(b) Other DWP copies: Retain for active period plus 3 years.

Note: Records may be duplicated in PWS history file.

### 2 Safe Water Act Monitoring and Compliance Records

Documents the monitoring of PWS and private systems for compliance with the Safe Drinking Water Act. Includes water chemical analysis and testing, lead and copper analysis reports, schedule of sampling and analysis, fluoridation reports, sanitary surveys and reports, and related correspondence.

Retention Period:

(a) Retain 12 years.

Notes:

1. Materials partially duplicated in PWS history files.

2. Essential data is entered onto database.

## I7 Water Resources

### 3 Safe Water Act Investigation and Enforcement Case Files

Documents the investigation and enforcement of drinking water standards pursuant to Safe Drinking Water Act. Includes complaints, field notes, support materials, actions taken, and related correspondence.

Retention Period:

Retain 6 years from final action.

Note: Records may be partially duplicated in PWS history files.

### 4 PWS History Records

Documents all substantive activities and events relating to individual public water systems. Includes permits, certifications, approvals, land acquisition, surveys and inspections, complaints, enforcement documentation, clippings, and related correspondence.

Retention Period:

- (a) Central office copies (Boston DWP): Permanent.
- (b) Town and regional copies: Retain 12 years.

Note: Boston DWP is the Office of Record for all documentation except correspondence between the Public Water System and the public.

310 CMR 22; 40 CFR 1.

### 5 PWS Construction Plan Review Records

Documents the process to review and approve new construction, modifications and improvements pursuant to 310 CMR 22.04 and the Department's "Guidelines and Policies for Public Water Supplies".

Retention Period:

- (a) Consultant's Engineering Reports: Permanent.
- (b) Plans and Specifications: Retain 6 years after project is completed.
- (c) Denied or otherwise unapproved projects: Retain 3 years.

### 6 PWS/Cross Connection Records

Documents the program to approve permits and to monitor compliance relating to cross connections or other plumbing that may adversely impact with PWS water. Includes Cross Connection Testers certifications, permit approvals, waivers, credits and exemptions, inspection materials, enforcement notices, filter backwash records, underground injection control records, annual reports, and related correspondence.

Retention Period:

- (a) Central Office Copy (DWP Boston): Retain for the life of the connection plus 3 years.
- (b) Other DWP copies: Retain 3 years.

### 7 Water Management Annual Reports, Surveys, and Statistics Records

Documents the annual water consumption and long-term water usage and trends.

Retention Period:

- (a) Final reports, maps, and substantive unique documentation: Permanent.
- (b) All other records: Retain 3 years.

### 8 Water Supply Protection Program Records

Documents any programs set up to help locate and protect sources of drinking water. Programs include groundwater protection, aquifer land acquisition, wellhead protection, community technical assistance, drinking water compliance awards. Includes grant documentation, reports, general administration records, and related correspondence.

Retention Period:

- (a) Award winners list, water consumption reports, final reports, and substantive unique data and correspondence: Permanent.
- (b) All other records: Retain 6 years after grant or last activity.

Note: Records may be partially duplicated in PWS history files.

### 9 Water Supply Contamination Records

Documents the monitoring of contamination or potential contamination of drinking water due to release of hazardous waste or other toxins into the environment. Includes federal superfund site reports, 21-E hazardous waste site monitoring records, and related correspondence.

## I7 Water Resources

### Retention Period:

Retain 12 years.

Note: DEP Bureau of Waste Site Cleanup is the office of record for cleanup enforcement.

### **10 Water Emergency Program Records**

Documents the declaration of Water Emergencies pursuant to 21G MGL 15, 17 as amended by 240 MGL Acts of 1989. Includes determination of emergency, water conservation plan, public notices and order letters of determination, reports, water conservation plan checklists, and related correspondence.

### Retention Period:

- (a) Central Office Copy (DWP Boston): Permanent.
- (b) Other DWP copies: Retain for active period plus 3 years.

Note: Records may be duplicated in PWS history file.

## I8 Public Utilities and Energy

### **1 Energy Conservation Services and Assistance Records**

Documents programs to assist the public to conserve energy. Includes grant applications, field notes, and related correspondence.

### Retention Period:

Retain 6 years after close of grant.

### **2 Public Utilities Case Files**

Documents the hearing of cases relating to the regulation of public utilities creation, operation, and use as brought before the public utility through the Public Utilities Commission pursuant to 159-164 MGL. Matters may include licensing, rate and tariff setting, land use, accidents, consumer affairs, and other matters. Includes annual returns petitions, applications, hearing notice, exhibits, notice of appearance, briefs, transcripts, Commissioner orders and decisions and related correspondence.

### Retention Period:

Permanent.  
Annual Returns 10 years  
159-164 MGL.

### **3 Utility Company Annual Returns Reports**

Documents final required reports of utility companies.

### Retention Period:

Permanent.

### **4 Cable Television**

For Cable Television Please See B7

## I9 Forestry, Parks, and Recreation

### **1 Parks Shift Records**

Documents incidents and activities on state owned recreational lands. Includes incident reports, shift log books, day use permits, assignments, inventories, and related correspondence.

### Retention Period:

- (a) Shift log books (Red-Books): Review by the Archives 6 years after inactive.
- (b) All other records: Retain 3 years.

### **2 Timber Harvesting Licensing Records**

Documents the process to issue licenses for persons to harvest lumber. Includes applications, support materials, exams, licenses, and related correspondence.

### Retention Period:

- (a) Summary list of licensees: Permanent.
- (b) Denied or withdrawn applications: Retain 3 years.
- (c) Approved license materials: Retain 3 years after license expires.

### **3 Fishing and Hunting Licensing Records**

## I9 Forestry, Parks and Recreation

Documents the process to issue licenses for persons to hunt or fish. Includes applications, support materials, licenses, and related correspondence.

### Retention Period:

- (a) Summary list of licensees: Permanent.
- (b) Denied or withdrawn applications: Retain 3 years.
- (c) Approved license materials: Retain 3 years after license expires.

### **4 Forester Licensing Records**

Documents the process to issue forestry licenses for persons to offer their professional services such as forest inventory forest management planning, and timber appraisal. Includes applications, support materials, exams, licenses, and related correspondence.

### Retention Period:

- (a) Summary list of licensees: Permanent.
- (b) Denied or withdrawn applications: Retain 3 years.
- (c) Approved license materials: Retain 3 years after license expires.

Note: Carry forward any materials from previous applications as deemed necessary.

132 MGL 47.

## I10 Department of Conservation and Recreation Well Driller Program

### **1 Completion Reports**

The submission of a Completion Report is required by St 1962, c513, the Well Driller submits these reports to DCR, they are generally one-page reports, and some are submitted with attached maps. Since 2000 the data from these reports has been entered into a MS Access database.

### Retention Period:

- (a) Paper Reports: Permanent at office of deposit.
- (b) Database: Permanent at office of creator.

### **2 Initial Registration Well Driller Application**

This series includes: the driller's credentials, licensing test scores, social security number and or federal id number and affidavits.

### Retention Period:

Retain for the life of the driller.

### **3 Renewal Applications**

The Well Driller Renewal Application is filed annually, and documents the well driller's pattern. These applications include the driller's social security number, and or federal id number, and copies of checks. This series is arranged by year then by renewal application number. This is a separate series from the Initial Application.

### Retention Period:

10 years

## J1 Administration

### 1 Uniform National Crime Reports

Documents the production of federally mandated reports. Crime data are, for the most part, supplied by federal, state, and local law enforcement agencies to the FBI on a monthly basis. The FBI assembles, publishes, and distributes the data to contributing agencies, state UCR programs, to government bodies, and to others interested in the nation's crime problem.

Retention Period:

Retain 3 years.

### 2 Crime Reports

Documents reports of crimes as sent to State Crime Office.

Retention Period:

- (a) Murder reports: Permanent.
- (b) All other reports: Retain 10 years.

### 3 Special Events and Activities Records

Documents the agency's role in the caring out of special events or activities such as parades, sporting events, or concerts. Includes planning documentation, logistical reports, incident reports, narrative and summary reports, and related correspondence.

Retention Period:

- (a) Summary reports: Permanent.
- (b) All other records: Retain 3 years or until administrative use ceases, whichever period is longer.

### 4 Emergency Planning and Response Records

Documents planning and reaction to major emergency or disaster situations. Includes plans, background support materials, and related correspondence. Documents official reaction to disasters and emergencies. Includes incident reports, field reports, notes, and related correspondence.

Retention Period:

- (a) Summary reports and substantive correspondence: Permanent.
- (b) All other record: Retain 6 years.

### 5 Criminal History Files

Includes information collected on subjects such as arrests, detentions, convictions, acquittals, indictments, corrections history, fingerprints, photographs, and related correspondence.

Retention Period:

Permanent.

### 6 Sexually Dangerous Person Case Files

Documents petitions for release of sexually dangerous persons. Includes pleadings, legal research, psychiatric records, investigator materials, and correspondence.

Retention Period:

Retain 35 years.

123A MGL 9; 6 MGL 167; 66A MGL.

## J2 Licensing and Regulation

### 1 Special Licenses and Permits Records

Documents special licenses and permits such as firearms license to sell and carry, permits and registrations, private detective licenses, gunsmith licenses.

Retention Period:

Licenses and Permits: Retain 4 years after inactive.

140 129b,131,122,122a.

## J3 State Police

### 1 Death Investigations and Reports Records

Documents investigations into sudden or unexplained deaths. Includes death reports, investigation work product, and related correspondence.

### J3 State Police

Retention Period:

Permanent.

#### 2 Criminal Investigation Case Files

Documents investigations pursued for the purposes of obtaining evidence relating to criminal acts in the Commonwealth. Includes police reports, field interrogation and observation reports, investigation notes and research data, evidence, attorney notes, and related correspondence.

Retention Period:

- (a) Any cases involving noteworthy persons or which set precedent: Review by the Archives after retention period has elapsed.
- (b) Death cases such as homicides, suicides, and sudden or unattended deaths: Retain 50 years after case is closed.
- (c) Attorney General's prosecution files: Retain 35 years after case is closed.
- (d) Attorney General Files not prosecuted: Retain 25 years after case closed.
- (e) Sexual assault: Retain 15 years after case is closed or if involving a minor victim retain 15 years after minor becomes 16 years old.
- (f) Felonies: Retain 10 years after case is closed.
- (g) All other cases: Retain 6 years after case is closed.

6 MGL 167; 265 MGL 17,18,19,21; 22, 22A, 23, 24, 24B; 272 MGL 17; 277 MGL 63 as amended 1996.

#### 3 Special Investigation Records

Documents the investigation of jurors, missing persons, businesses, and other situations that criminal activity may be present.

Retention Period:

- (a) Any cases involving noteworthy persons or which set precedent: Review by the Archives after retention period has elapsed.
- (b) All other records: Retain 6 years after case is closed.

234 MGL 4.

#### 4 Criminal Activity Surveillance Records

Documents the monitoring of sources and locations of potential criminal activity. Includes background materials and notes, reports, tapes, photographs, and related correspondence.

Retention Period:

Retain 3 years or until administrative use ceases, whichever period is longer.

#### 5 Incident/Complaint Investigation Records

Documents responses to incidents that did not require formal charges.

Retention Period:

Retain 3 years.

### J4 State Police Shift

#### 1 Missing Persons Reports Records

Documents reports of missing persons.

Retention Period:

Retain while active plus 6 years.

#### 2 Evidence/Property Control Records

Documents the control of evidence, confiscated materials, and lost and found materials. Includes chain of custody logs and sheets, controlled substances seizure reports, Notice of Sale of Unclaimed Property Control, disposal certifications, and related correspondence.

Retention Period:

- (a) Murder and rape evidence: Retain 50 years.
- (b) All other evidence: Retain 6 years after case and appeals closed.
- (c) Found or confiscated property: Retain 1 year.

#### 3 Crime Scene Documentation Records

Documents the recording of crime scenes through photography and fingerprint taking.

Retention Period:

- (a) Noteworthy cases: Review by the Archives after retention period elapses.

## J4 State Police Shift

- (b) Murder and rape evidence: Retain 50 years.
- (c) All other evidence: Retain 6 years after case closed.

### 4 Dispatch and Communications Recordings

Documents all radio, telephone, or electronic communications received or generated during a shift relating to incidents, complaints, patrols, or response. Includes digital, audio, or video recordings of dispatch calls, ambulance calls, E-911 calls, field response, and communications between units and/or command centers.

#### Retention Period:

Retain 1 year.

6A MGL 18A-F.

### 5 Shift Logs

Provides supplemental tracking of shift activities in addition to the central activity log.

#### Retention Period:

Retain 3 years.

Note: See also record series Central Activity/Log Blotter Records.

### 6 Shift Administration Records

Documents the internal administration of shifts. Includes work schedules and assignments, roll calls, premises inspections, equipment and weapons inventories and check out logs, equipment and vehicles maintenance checks, and related materials.

#### Retention Period:

Retain 3 years.

### 7 Lost and Recovered Property Records

Documents property where the owner cannot be determined.

#### Retention Period:

Retain 1 year.

### 8 Firearm/Gunshot Wound Reports

Documents any incidents involving weapons that resulted in wounds. Includes reports and related correspondence and notes.

#### Retention Period:

Retain 50 years.

### 9 Arrest Records

Documents the process to arrest and book individuals for alleged violations of civil or criminal law. Includes warrants, subpoenas, booking sheets, fingerprint cards, RMV Reports, vehicle inventories, and related reports and correspondence.

#### Retention Period:

- (a) Official posting of adult records: Permanent.
- (b) Official posting of juvenile records: Retain 35 years
- (c) Sexual assault records: Retain 15 years after final appeal.
- (d) All other records: Retain 10 years after final case activity or appeal.

22B MGL 7; 90 MGL 24N.

### 10 Cell Monitoring Records

Documents the monitoring of detainees as part of routine or special watch such as medical or suicide watch. Includes log postings, reports, or other notes.

#### Retention Period:

Retain 3 years.

### 11 Central Activity Log/Blotter Records

Documents all incidents, investigations, and activities of each shift.

#### Retention Period:

Permanent.

### 12 Officers Daily Journal

Documents notes taken by individual officers in the course of routine shift assignments.



**J4 State Police Shift**Retention Period:

Retain until all required reports and narratives are completed and filed.

**13 Protective Custody Records**

Report containing name and address of citizen placed in protective custody, results of field sobriety test, breath analyzer test results (if applicable) and narrative. In order to record and document the process of placing a citizen into protective custody.

Retention Period:

Retain 3 years.

Note: See also record series "Arrest Records (J4-9)".

111B MGL 8.

**14 Detainee Property Records**

Documents a detainee's personal possessions placed in safekeeping.

Retention Period:

Retain 3 years after release.

**15 Use of Force Reports**

Documents the use of force by officers in the response to incidents while on patrol or otherwise. Includes discharge of weapons reports, K-9 use reports, injuries sustained, justifications, and related correspondence.

Retention Period:

Retain 10 years.

140 MGL 155A.

**16 Ramp Permits**

Documents vehicle information used to record ramp stickers from various airlines and tenants at Logan airport. These files are used for reference purposes.

Retention Period:

2 years

**J5 Motor Vehicles****1 Motor Vehicle Operators Merit Rating Records**

Documents operator's record of driving infractions affecting status of license as determined by the courts and the merit rating board.

Retention Period:

Retain 50 years.

**2 Motor Vehicle Drivers License Exams**

Documents exams given to license drivers.

Retention Period:

Retain until administrative use ceases.

**3 Motor Vehicle Accident Investigation Records**

Documents motor vehicle related investigations of hit and run, bodily harm, property damage, death, and theft. Includes incident reports, witness statements, police reports, background support materials, and related correspondence.

Retention Period:

- (a) Fatalities: Permanent.
- (b) Hit and run and personal injury: Retain 6 years after close of case.
- (c) All other records: Retain 3 years.

**4 Motor Vehicle Title Registration and Renewal Records**

Documents the process to register the owners of motor vehicles and to provide them with Certificates of Title. Includes applications (RMV-1), registration renewal cards (RMV-2), surrendered title, application for amendments, and any other supporting affidavits.

Retention Period:

Retain 75 years.

## J5 Motor Vehicles

90 MGL 30.

### 5 Uniform Traffic Citations Records

Documents the issuance of traffic tickets.

Retention Period:

Retain 3 years after paid.

### 6 Motor Vehicle Accident Reports

Consists of Police Accident Reports (CRA-65) and Operator Accident Reports (CRA-23).

Retention Period:

- (a) Registry of Motor Vehicles: Retain 6 years.
- (b) Police Departments: Retain 6 years.

### 7 Motor Vehicle Operators Licensing and ID Card Records

Documents the process to register motor vehicle operators and to provide them with drivers licenses and to register individuals requiring photo ID. Includes auto and school bus applications and ID card applications (RMV-30/34) and related correspondence.

Retention Period:

Retain 75 years.

### 8 Motor Vehicle Inspection Stations Records

Documents the inspection of vehicles to meet environmental and safety standards.

Retention Period:

- (a) Program annual reports to the EPA: Retain 5 years.
- (b) Test results: Retain 3 years.

310 CMR 7.20; 540 CMR 4.00.

### 9 Motor Vehicle License Plate Applications Records

Documents applications for license plates.

Retention Period:

Retain 75 years.

### 10 Motor Vehicle Reports

Documents stolen vehicles, license plate loss, and other reports required to be filed with the Registry of Motor Vehicles.

Retention Period:

Retain 3 years.

### 11 Motor Vehicle Towing Reports

Documents reports of towed vehicles.

Retention Period:

Retain 3 years.

### 12 Motor Vehicle Citations, Parking Records

Documents the issuance of parking tickets.

Retention Period:

Retain 3 years after final payment or incident closure.

### 13 Motor Vehicle Citations, Moving Violations Records

Documents moving violations involving motor vehicles that did not result in arrest.

Retention Period:

Retain 3 years.

### 14 Boat; Recreation Vehicle; Snow Vehicle Operator; Accident Reports

Consists of Operator Accident Reports.

Retention Period:

- (a) Fatalities: Permanent

## J5 Motor Vehicles

(b) All other reports: Retain 6 years

### 15 Boat; Recreation Vehicle; Snow Vehicle; Accident Investigation Records

Documents boat, recreation vehicle, and snow vehicle related investigations, of deaths, hit and run, bodily harm, property damage, and theft. Includes incident reports, witness statements, police reports, background support materials, and related correspondence.

Retention Period:

(a) Fatalities: Permanent

(b) All other records: Retain 6 years

### 16 Registry of Motor Vehicles (Revenue Operations) Revenue Reports

These reports are used to create an audit trail and to review transactions. These reports include: Daily Activity Report, Sales Tax Report, Over/Short Report, Failed Cash Report, Interims Report, Daily Deposit Listing, Override Report, CPR Report, Drawer Delete Report, mmars rr/ct forms report, and MMARS 466c report.

Retention Period:

1 year after audit or 7 years whichever is sooner.

### 17 Registry of Motor Vehicles (Revenue Operations) Bad Check Information

These are the reports and supporting documentation for bad checks. These documents include: bad checks, alars system printout, supporting documentation, and customer correspondence.

Retention Period:

7 years

### 18 Registry of Motor Vehicles (Revenue Operations) Deposit Information

These are the reports and all the supporting documentation for bank deposits. This series includes: deposit slips and attachments, alars cpe, ciz, cpc, cash transfer logs, and bankDeposit logs, locking cash bag logs, override logs, backup activity forms, letters of notification, monthly over/short, clerk over/short form, clerk justification form, Sweda register tapes, daily revenue sheets, and bank statements.

Retention Period:

1-year after audit or 7 years whichever is sooner.

### 19 Registry of Motor Vehicles (Revenue Operations) Rebate Documentation

These are reports and all the supporting documentation for Rebates. These reports include: Refund requests, customer correspondence, rebate denials, rebates issued, MMARS RF forms, funding request book, cashed rebate checks, bank statements, scanner transaction report, unused checks old account, funding report, cross reference register, and funding requests reports.

Retention Period:

7 years

## J6 Laboratory

### 1 Laboratory Quality Assurance Records

Documents crime laboratory quality control monitoring and reporting.

Retention Period:

Retain 3 years.

### 2 Crime Lab Case Records

Documents laboratory testing to find forensic evidence of arson, drugs, explosives, toxins, personal or material identification, or other related areas. Includes evidence samples, continuity sheets, chain of evidence custody logs, inventories, and receipts, test results and reports, background support materials, and related correspondence.

Retention Period:

(a) Criminal activity testing: Retain 15 years or 6 years after case closed and appeals exhausted.

(b) Non-criminal activity testing such as fabric safety tests: Retain 1 year after analysis.

### 3 Forensic Lab Reports

Documents lab work relating to the identification of confiscated drugs or crime scene analysis. Includes chain of custody receipts and logs, samples for analysis, laboratory test reports and results, and related support materials and correspondence.

Retention Period:

**J6 Laboratory**

Retain 15 years.

Note: Information may be needed to support court testimony.

**4 Medical Examiners Autopsy Case Files**

Documents the investigation process to determine the cause of death where an individual met death by violence, such as suicide, murder, gunshot, automobile accident, under the authority of 38 MGL 6,7. Includes history sheet describing medical history and fatal incident, hospital and police reports, final Autopsy Report, a detailed narrative describing the examination, drawings, and examiner's conclusions.

Retention Period:

- (a) Medical Examiner's copy: Permanent.
- (b) District Attorney's copy: Retain 50 years.

**J7 Fire Marshal****1 Massachusetts Fire Incident Reports**

Documents reports from Fire Chiefs to State Fire Marshal regarding all fires with a dollar loss or human casualty as required by 148 MGL 2.

Retention Period:

Retain 7 years.

**2 Massachusetts Burn Injury Reports**

Documents reports by treating Physicians of burns involving 5% or more of the body surface as required by 112 MGL 12A.

Retention Period:

Retain 7 years.

**3 Massachusetts Property Insurance Loss Reports**

Documents reports by insurance companies regarding claims of \$1,000 or more for structure as required by 148 MGL 32.

Retention Period:

Retain 7 years.

**4 Massachusetts Burned/Recovered Motor Vehicle Reports**

Documents the compilation of reports pursuant to 266 MGL 29B.

Retention Period:

Retain 7 years.

**5 Fire Services Statistical Reports**

Documents the compilation of reports and data received by the Department of Fire Services.

Retention Period:

Permanent.

**6 Fuel Tank Facility Permit Records**

Documents the application for permits for underground storage tanks, above ground storage tanks, marine fueling facilities, and self-service gas stations.

Retention Period:

Retain for the life of the tank plus 6 years.

**7 Fire Professional Certificates/Licensing Records**

Documents the application of individuals to engage in fireworks, special effects displays, cannon and mortar operations, blasting operations, users and possessors of explosives or black/smokeless powder, fire equipment testing, and maintenance activities. Includes applications, test scores, supporting documents, renewal documents, background checks, and license status documents.

Retention Period:

- (a) Exams and testing materials: Retain 3 years.
- (b) All other records: Retain 10 years after inactive.

**J7 Fire Marshall****8 Fire Marshal Inspection Records**

Documents regulatory inspections of facilities or individuals certified, permitted, or licenses by the State Fire Marshal.

Retention Period:

- (a) If civil, administrative or criminal action is taken: Retain 10 years after case is closed.
- (b) If no civil, administrative or criminal action is taken: Retain 3 years after last activity.

**9 Fire Code Investigation Records**

Documents investigations conducted by civilian compliance officers relating to alleged or actual fire code violations.

Retention Period:

- (a) Cases involving noteworthy persons or a death: Permanent.
- (b) All other records: Retain 3 years after case is closed.

**10 Firefighting Academy Course and Curriculum Records**

Documents the training of Massachusetts firefighters. Includes curriculum and course records and student admissions and registrations.

Retention Period:

- (a) Official copies of scheduled courses and course descriptions: Permanent.
- (b) Instructor and training manuals: Permanent.
- (c) Curriculum development records: Retain 10 years.

**11 Firefighting Academy Admissions/Registration Records**

Documents the application and subsequent histories of students. Includes applications, acceptance letters, course rosters, medical /injury reports, testing and evaluations, and related correspondence.

Retention Period:

- (a) Recruit summary records: Retain 75 years.
- (b) In-service summary records: Retain 75 years.
- (c) Pre-screening materials, tests, and quizzes: Retain until 6 months after separation from program.
- (d) All other records: Retain 3 years after program end date.

**12 State Fire Station Administration Records**

Documents activities while on shift, reporting, and other administrative functions. Includes incident reports, shift summaries, shift log journals, environmental inspection summaries, emergency response reports, and related correspondence.

Retention Period:

- (a) Shift logs and reports: Permanent: Where not held elsewhere as permanent.
- (b) All other records: Retain 3 years.

**J8 Corrections/Inmate****1 Inmate Commitments/Discharges Logs and Indexes**

Documents the posting of inmate commitments and discharges for the institution. Includes commitment and/or discharge logs or registers, and register index cards.

Retention Period:

Permanent.

**2 Inmate Booking Records**

Documents the official booking and registration of an individual inmate. Includes booking sheets, fingerprint cards, and photographs.

Retention Period:

- (a) Fingerprint cards and photographs: Permanent.
- (b) All other records: Retain until administrative use ceases.

Note: Substantive booking information becomes incorporated into the "Inmate Institutional Case File (J8-5)".

127 MGL 23, 28.

## J8 Corrections Inmate

### 3 Inmate/Detainee Personal Property Records

Documents inmate/detainee personal property received in, sent out, stored, or in the possession of. Includes property sheets, changes, and related correspondence.

Retention Period:

Retain 3 years after final release.

127 MGL 3.

### 4 Inmate Account Records

Documents any inmates personal monies or savings kept under their own account for purchases from the canteen, store or other. Includes receipts, release authorizations and receipts, balance reports, stipend records, and related correspondence.

Retention Period:

Retain 3 years.

127 MGL 3. 96A MGL.

### 5 Inmate Institutional Case File

Documents the history of individual inmates within a given facility. Folders subcategories include legal, classification, institutional programming, community programming, health, and parole.

Retention Period:

- (a) State prison records: Permanent.
- (b) House of Correction records: Retain 6 years after release
- (c) Jail records: Retain 6 years after release.

127 MGL 135.

### 6 Inmate Central Case File

Provides a secondary record of individual inmates as retained by the Central Records Office of the Department of Corrections.

Retention Period:

Permanent.

Note: The "Inmate Institutional Case File (J8-5)" is the primary inmate file.

### 7 Inmate Medical Records

Documents inmate medical histories while incarcerated. Includes initial screening, medical background materials, doctor or clinic visit documentation, prescriptions, dental records and x-rays, special diets, and related information.

Retention Period:

Retain 30 years from close of file.

111 MGL 70; 127 MGL 17; 105 CMR 205; 103 CMR 918.06, 932.07.

### 8 Inmate Program Records

Documents institutional programs for inmates such as the Correctional Recovery Academy (CRA), the sex offender program, and the education program. Includes program administration materials, program volunteer files, inmate program acceptances, background materials, progress notes and plans, evaluations, attendance rosters, course completions, and related correspondence.

Retention Period:

- (a) Program routine administration records including program volunteer files: Retain 3 years.
- (b) Inmate GED scores: Permanent.
- (c) All other records: Retain 5 years after inmate final release.

Note: Be sure no substantive policy, decision-making, or other important records are contained within these files before discarding any records.

27 MGL.

### 9 Inmate Earned Good-Time Rosters (129-D)

Documents support for inmate good-time determinations.

Retention Period:

Retain 60 years.

**J8 Corrections Inmate****10 Inmate Industrial and Institutional Work Records**

Documents inmate participation in work for compensation programs. Includes acceptance documentation, job assignments, work status reports, hours, and related correspondence.

**Retention Period:**

Retain 5 years after final release.

127 MGL 51.

**11 Inmate Furlough/Work Release Files**

Documents inmate temporary release from the institution for work or other reasons. Includes authorizations, background materials, reports and notes, transportation and arrangement documentation, and related correspondence.

**Retention Period:**

Retain 10 years after final release.

**12 Inmate Parole Records**

Documents the release on parole of an inmate from the institution. Includes Parole Board decisions and discussions, release documentation, and related correspondence.

**Retention Period:**

Permanent.

**13 Inmate Pardons and Commutations Records**

Documents decisions to grant or deny pardons or commutations of individuals sentenced to serve time in correctional institutions. Includes requests, background materials, discussion notes, and related correspondence.

**Retention Period:**

Permanent.

**14 Inmate Drug Testing**

Documents testing of inmates for use of contraband substances.

**Retention Period:**

Retain 3 years.

**15 Awaiting Action Unit (AAU) Records**

Documents the special temporary housing of individuals under protective, sanctioned, or other type of custody.

**Retention Period:**

(a) Weekly/monthly AAU status review reports: Retain 3 years.

(b) Daily AAU sheets: When filed separately from Inmate Institutional Case File: Retain 10 years.

**16 Inmate Restraint, Seclusion, and Monitoring Records**

Documents orders to authorize and regulate chemical and non-chemical restraint and/or seclusion or isolation administered to inmates who may be a danger to themselves or others. Includes restraint and seclusion orders, logs, and related correspondence.

**Retention Period:**

Retain 10 years when filed separately from "Inmate Institutional Case File (J8-5)".

127 MGL 4.

**17 Inmate Disciplinary Records**

Documents infractions of rules and regulations leading to official disciplinary charges being presented to inmates. Includes notices to appear before Disciplinary Board or Committee, findings, appeals, summary of evidence.

**Retention Period:**

(a) Primary copies: Retain 10 years when filed separately from "Inmate Institutional Case File (J8-5)".

(b) Secondary copies: Retain 3 years.

(c) Hearing tapes: Retain 1 year.

## J8 Corrections Inmate

### 18 Inmate Surveillance Records

Documents general monitoring and investigation of inmates in order to identify possible infractions warranting special investigation. Includes surveillance tapes, background materials and notes, and related correspondence.

Retention Period:

- (a) Materials maintained as evidence in disciplinary action, use of force incident, or civil/criminal litigation: Retain 10 years.
- (b) All other materials: Retain until administrative use ceases.

27 MGL.

### 19 Inmate Investigation Records

Documents investigations of inmates for misconduct or illegal activities. Includes incident or shift reports, investigation notes and reports, and related correspondence.

Retention Period:

Retain 10 years.

### 20 Inmate Visitor Records

Documents requests to visit inmates. Includes request to visit inmate forms, visitor background information, inmate visitor cards and related correspondence.

Retention Period:

- (a) Request to visit inmate forms: Retain 3 years.
- (b) Barred visitor case files: Retain 20 years.
- (c) Inmate visitor cards ( itemizing all visits per inmate): Permanent in "Inmate Institutional Case File (J8-5)".
- (d) Jail visitor records: Retain 5 years.

126 MGL 16.

### 21 Inmate Grievance Logs and Records

Documents inmate written complaints filed by an inmate in accordance with 103 CMR 491.00. Includes grievance logs, grievances, resolution documents, and related correspondence.

Retention Period:

Retain 7 years.

Notes:

- 1. Secondary copies with support materials are maintained by the Institutional Grievance Coordinator. Primary copies are filed in the "Inmate Institutional Case Files (J8-5)".
- 2. The grievance log tracks all formal grievances filed at the institution.

103 CMR 491.00

### 22 Inmate Institutional Correspondence

Documents correspondence to and from inmates.

Retention Period:

Retain 3 years.

### 23 Inmate Telephone System Number Requests

Documents inmate requests to add or delete persons from the Inmate Telephone System.

Retention Period:

Retain until entered onto system.

### 24 Inmate Marriage Records

Documents the marriage of an individual who is incarcerated.

Retention Period:

Permanent



## J9 Corrections Institutional

### 1 Shift Commanders Daily Reports/Package

Documents shift activity, significant occurrences, security shift post/daily assignments, time off, etc. for that specific day for all 3 shifts. Includes shift reports, significant occurrences, incident reports, disciplinary reports, master shift rosters, roll call information, daily activities, and related materials.

Retention Period:

Retain 7 years.

260 MGL 3A.

### 2 Unit Log Books

Documents the daily activities in institution units such as inmate movement into and out of unit and incidents.

Retention Period:

Retain 10 years.

127 MGL 5.

### 3 Shift Post Orders

Documents instructions to guide staff in the performance of their duties. Orders are signed off by individual staff each shift.

Retention Period:

Retain 7 years.

### 4 Shift Assignment Bid and Swap Records

Documents the completion of swap slips by staff members requesting to swap one of their shifts with another staff member with the understanding that each staff member is responsible to cover each others shift. Also documents security staff bidding on an available shift and days off, or available job, or vacation week that becomes available. Includes swap slips, swap log books, bid slips, and time-off log books.

Retention Period:

- (a) Swap Slips: Retain 1 year.
- (b) Swap Log Books: Retain 5 years.
- (c) Bid Slips: Retain 1 year.
- (d) Time-off Log Books: Retain 5 years.

Notes:

1. Swap log books accurately account for the approved swap between two staff members: noting their names, and the date and shifts the swaps are to occur.
2. Time-off log books are used by security staff to request time off in advance by writing their name in the log book. It will also note what they are requesting to use for time (Vacation, Personal, and Comp.). These requests are reviewed and signed off on in this book.

### 5 Dietary/Meal Records

Documents the provision of food and meals to persons under care in state facilities. Includes menu plans, special diet plans, and related correspondence.

Retention Period:

Retain 3 years.

### 6 Census and Population Counts

Documents the tracking of the population of persons under care of DOC.

Retention Period:

Retain until information is captured on electronic record-keeping system.

### 7 Authorization to Enter Forms

Documents authorizations for non-institutional persons to enter facility. Includes background support materials, and related correspondence.

Retention Period:

Retain until administrative use ceases.

## J9 Corrections Institutional

### 8 Vehicle and Persons Trap Logs

Documents movement of vehicles and persons into and out of prison grounds.

Retention Period:

Retain 10 years.

103 CMR 924.01.

### 9 Inmate Movement Records

Documents the daily population and movement tracking of inmates within the institution.

Retention Period:

Retain 3 years.

### 10 Mittimus Records

Consists of court writs instructing the jailor to hold the prisoner.

Retention Period:

(a) When kept in institutional case file: Permanent.

(b) Otherwise: Retain 6 years after release.

127 MGL 7; 103 CMR 155.

### 11 Habeas Corpus Records

Documents court orders requesting the presence of an inmate.

Retention Period:

Retain until administrative use ceases.

### 12 Code or Alert Records

Documents routine events requiring emergency response such as medical incidents, fights, or small fires.

Retention Period:

Retain 3 years.

### 13 Use of Force Reports/Package

Documents the use of force by employees within DOC. Includes use of force reports, incident and d-reports, summary from shift commander, cover letter from Superintendent to Special Operations, and applicable video.

Retention Period:

Retain 10 years.

### 14 Corrections Emergency Planning and Response Records

Documents planning and reaction to emergency or disaster situations. Includes plans, background support materials, and related correspondence. Documents official reaction to disasters and emergencies. Includes incident reports, field reports, notes, follow-up, final reports, and related correspondence.

Retention Period:

(a) Summary reports and substantive correspondence: Permanent.

(b) All other records: Retain 10 years.

### 15 Urgent Matter Reports

Documents filing of reports with the Secretary of State's office regarding public safety communications relating to major emergencies or events such as riots, escapes, or serious injury to or by department personnel.

Retention Period:

(a) Secretary of State copy: Permanent.

(b) Commissioner's copy: Permanent.

(c) Other copies within Public Safety: Retain 10 years.

**J9 Corrections Institutional****16 Certification and Notification Records**

Documents notifications to certified petitioners of changes in inmate incarceration status such as lower security transfer, escape, release, or death.

Retention Period:

Retain 4 years.

**17 Overtime Call Lists**

Documents notification of available overtime to union employees. Information includes staff member who was hired for overtime, date, shift, number of hours hired for, reason for hire, no phone contact made, refusal to take overtime, and person who made calls.

Retention Period:

Retain 3 years.

**J10 Middlesex Sheriff's Office****1 Inmate Commitments/Discharges Logs and Indexes**

Documents the posting of inmate commitments and discharges for the institution. Includes commitment and/or discharge logs or registers and register index cards.

Retention Period:

Permanent on an electronic record keeping system.

**2 Inmate/Detainee Central Case Record**

Documents the official booking and registration of an individual inmate. Includes fingerprints, FBI official response to fingerprint identification, commitment mittimus, booking memos, any warrants or habeas corpus documents, discharge and property slip.

Retention Period:

- (a) Fingerprint Cards and photographs: permanent on an electronic record keeping system.
- (b) All other records: Retain 6 years then move to electronic record keeping system.

**3 Inmate/Detainee Personal Property Records**

Documents inmate/detainee personal property received in, sent out, stored or in the possession of. Includes property sheets, changes, and related correspondence.

Retention Period:

Retain 3 years after final release then move to electronic record keeping system.

**4 Inmate/Detainee Account Records**

Documents any inmates personal monies or savings kept under their own account for purchases from the canteen, store or other. Includes receipts, release authorizations and receipts, balance reports, stipend records and related correspondence.

Retention Period:

Retain 3 years after final release then move to electronic record keeping system.

**5 Inmate/Detainee Institutional Case File**

Documents the history of individual inmates within a given facility. Folders subcategories include legal, classification, institutional programming, community programming, health and parole.

Retention Period:

- (a) House of Correction records: Retain 6 years after release then move to electronic record keeping system
- (b) Jail Records: Retain 6 years after release then move to electronic record keeping system.

**6 Inmate/Detainee Medical Records**

Documents inmate medical histories, including but not limited to initial screening, medical background materials, x-rays, and psychiatric evaluations and visits.

Retention Period:

Retain 10 years after final release then move to electronic record keeping system.

**J10 Middlesex Sheriff's Office****7 Shift Commanders Daily Reports/Package**

Documents shift activity, significant occurrences, security shift posts/daily assignments, etc.

Retention Period:

Retain 5 years.

**8 Mittimus Records**

Consists of court writs instructing the jailor to hold the prisoner

Retention Period:

Retain 6 years after release.

**J11 All Sheriffs****1 Annual Report to the Commissioner**

This is an annual report to the Department of Corrections, pursuant to c. 127 s. 10 103 CMR 915.14.

Retention Period:

After use

Note: Department of Corrections maintains a copy.

**2 Application to Conduct Social Research**

This series is to record and provide access to inmate's records pursuant to c. 127 ss. 1A , 1B: c. 127 ss. 1(d), 1(q) 103 CMR 918.02.

Retention Period:

5 years after request

**3 Arsenal Log**

This series is used to record items in the arsenal and identify the personnel who received them.

Retention Period:

5 years after date of last entry

**4 Calendar of Inmates (Inmate log or Convict Register)**

This series is used to track admittance and activity of inmate, pursuant to c. 126 s.5, c. 127 s. 7 103 CMR 915.05.

Retention Period:

Transfer to Archives for Selective Retention.

**5 Calendar of Inmates (Prepared for Superior Court)**

This series is used to track inmates for appearance in court pursuant to c. 126 s. 5, 103 CMR 915.05.

Retention Period:

Destroy after closure of court session.

**6 Daily Court Lists**

This series is used to track inmates for appearance in court.

Retention Period:

Destroy after use

**7 Day Sheets**

This series is used to track activity of inmates.

Retention Period:

Destroy after use.

**8 Disapproval of Correspondence**

This series is used to monitor inmate correspondence Pursuant to 103 CMR 948.07.

Retention Period:

5 years, unless pending litigation.

**J11 All Sheriffs****9 Health Records**

This series is used to record physical exams of inmates pursuant to, c. 127 s. 17, 103 CMR 915.03.

Retention Period:

5 years after release or termination of parole.

Note: Department of Corrections maintains a copy.

**10 Individual Institutional Case Records (Case Files)**

This series is used to record information on inmates pursuant to c. 127 s. 135.

Retention Period:

5 years after release or termination of parole.

Note: Parole Board maintains a copy.

**11 Index to Inmates**

This series records admission and discharge of inmates.

Retention Period:

Transfer to archives for selective retention.

**12 Industries Records**

This series is used to record the activities of industries pursuant to c. 127, s. 51.

Retention Period:

1 year after audit

Note: The Department of Corrections maintains a copy.

**13 Inmate Cash Receipts**

This series records the amount of money in the possession of an inmate upon commitment pursuant to c. 127, s. 3.

Retention Period:

1 year after completion of audit following release.

**14 Inmate Personal Property Record**

This series records personal property in the possession of an inmate upon commitment pursuant to c. 127, s. 3.

Retention Period:

1 year following release of inmate.

**15 Inmate Cash Records**

This series is used to record interest accrued from money that was deposited after it was received from an inmate upon commitment pursuant to c. 127, s. 3, c. 96A.

Retention Period:

3 years after following release, escape, or death of inmate provided an audit has been completed.

Note: The State Treasurer maintains a copy.

**16 Institution Logs**

This series is used to record daily inmate and isolation counts, incidents and duty logs pursuant to c. 127, s. 5.

Retention Period:

5 years after date of last entry.

**17 Isolation Log**

This series records inmates punished by isolation pursuant to c. 127, s. 4.

Retention Period:

5 years from date of last entry

Note: A copy is located in the Institution Log.

**J11 All Sheriffs****18 Media Waivers**

This series is used to record an inmates consent to be interviewed by the news media pursuant to 103 CMR 131. 10.

Retention Period:

5 years after release or termination of parole.

Note: Department of Corrections maintains a copy.

**19 Mittimus File**

This series is used to record and process the admission, transfer and release of an inmate pursuant to c. 127, s. 7 103 CMR 155.

Retention Period:

10 years after release or termination of parole.

**20 Monthly Report of Admissions and Releases**

This series is used to record admissions and release of inmates pursuant to c. 127, s. 5.

Retention Period:

After Use

Note: A copy of this information is in the Institution Log.

**21 Noncompliance Files**

This series is used to record actions taken to comply with the Department of Corrections standards pursuant to c. 127, s. 1B.

Retention Period:

After use

Note: Department of Corrections maintains a copy.

**22 Orders of Removal**

This series is used to record the removal or transfer of an inmate to another institution pursuant to c. 127, s. 120.

Retention Period:

5 years after release or termination of parole.

Note: Department of Corrections maintains a copy.

**23 Personnel Files**

This series is used to record all activities related to an employee's service.

Retention Period:

75 years following termination of employment or until termination of employment and after microfilm.

**23a Personnel Files Master Microfilm**

See Item 23.

Retention Period:

75 years following termination of employee.

**23b Duplicate Microfilm**

See Item 23.

Retention Period:

Destroy after use.

**24 Personnel Trap Log**

This series is used to record people entering and exiting the institution 103 CMR 924.01.

Retention Period:

5 years after date of last entry.

**J11 All Sheriffs****25 Petitions to Visit**

This series is used to record and identify people requesting to visit an inmate pursuant to c. 126, s. 16.

Retention Period:

After use

**26 Photographs**

This series is to provide a photographic record of the inmate's appearance at time of Incarceration pursuant to c. 127, ss. 23, 28.

Retention Period:

10 years until superseded.

**27 Procedures Manual**

This series is used to the detailed operating procedures for the institution pursuant to 103 CMR 910.04.

Retention Period:

Transfer to archives for selective retention.

**28 Reports of Noncompliance**

This series is used to record violations of Department of Corrections regulations noted during state inspections of institution pursuant to c. 127, s. 1B.

Retention Period:

After use.

Note: Department of Corrections maintains a copy.

**29 Transportation Log**

This series is used to record the condition and use of security transport vehicles.

Retention Period:

5 years after date of last entry.

**30 Vehicle Trap Log**

This vehicle is used to record vehicles entering and departing the institution.

Retention Period:

5 years after date of last entry

**31 Visitors Cards**

This series is used to record the name, relationship, or purpose of person visiting an inmate pursuant to c. 127, s.36.

Retention Period:

5 years after release or termination of parole.

**32 Visitors Log**

This series is used to record all visitors to the institution pursuant to c. 127, ss. 36, 37.

Retention Period:

5 years after date of last entry.

**K1 Administration****1 Safety and Health Records**

Documents the monitoring and planning for a safe and healthy work environment within the agency. Includes safety minutes, studies, and other support materials and notes.

Retention Period:

- (a) Substantive reports and summary materials: Permanent.
- (b) All other records: Retain 5 years.

**2 Health Studies and Surveys Records**

Documents special studies of medical research or practices.

Retention Period:

- (a) Summary Reports: Permanent.
- (b) All other records: Retain until administrative use ceases.

Note: See also record series "Sponsored Research Records (H6-6)".

**3 Long Term Care Cost Reports**

Documents reports on costs of medical institutions and programs as required by mandate.

Retention Period:

Retain 20 years.

**4 Guardianships and Conservatorships Records**

Documents situations where the state becomes guardian of persons within institutions or in the community.

Retention Period:

Retain 6 years after final action, or until child reaches age of 21, and plus 6 years, whichever period is longer.

**5 Controlled Substances Destruction Records**

Documents controls over drugs and other narcotics to prevent mishandling, loss, or theft. Includes inventory sheets, dispersion sheets, and related correspondence.

Retention Period:

Retain 3 years.

**6 Medicaid Non-Institutional Care Review**

Documents the utilization review of non-institutional health care providers to monitor quality of care, fraud, and level of services as mandated by federal requirements. Includes peer review board minutes, medical case files, background notes and materials and related correspondence.

Retention Period:

- (a) Final annual reports to federal government: Permanent
- (b) Desk audit case files: Retain 8 years.

Note: K1-6 Medicaid Non-Institutional Care Review is a new series and replaces Health Care Utilization Review Records which is now K1-7.

**7 Health Care Utilization Review Records**

Documents mandatory report.

Retention Period:

Permanent.

**8 Cemetery, Grave and Burial Records**

Documents any records of cemeteries and burials that identify individuals and their final resting place.

Retention Period:

Permanent.

**K2 Social Services****1 Health and Insurance Claim Records**

Documents claims by employees to receive benefits or insurance payments.



**K2 Social Services**Retention Period:

Retain 3 years.

**2 Social, Medical, and Economic Assistance Case Files**

Documents the state economic assistance in the form of benefits monies, food stamps, welfare payments, food or clothing, or other type or disbursement. Includes eligibility and acceptance documentation, special conditions, claims and disbursements, and related correspondence.

Retention Period:

Retain 3 years.

66 MGL 17A requires destruction within 10 years after discontinuance of aid granted under 69,117, and 118.

**3 Client Advocacy Case Files**

Documents agency assistance to clients requiring help navigating the state system. Includes contact information, notes, problem resolution, referral, and related correspondence.

Retention Period:

Retain 3 years.

Note: Take any necessary statistics before discarding files.

**4 Social Services Appeals Case Files**

Documents client appeals when eligibility for services is denied. Includes appeals, eligibility support materials, and related correspondence.

Retention Period:

Retain 6 years after final resolution.

**5 Social Services Case Files**

Documents the referral, application, and subsequent issuance of services and or supplies, or other aid outside of direct economic relief.

Retention Period:

Retain 6 years after last activity.

**6 Disabled Persons Abuse and Neglect Records**

Documents cases of abuse against disabled persons from age 19 to age 59.

Retention Period:

- (a) DPPC file: Retain for 10 years.
- (b) All other records: Retain 6 years after case closed.

**7 Elder Abuse and Neglect Case Files**

Documents abuse of elders. Includes complaints, investigation notes, determinations, and related correspondence.

Retention Period:

- (a) Elder Affairs copy: Retain 10 years.
- (b) All other records: Retain 6 years after case closed.

**8 Institutional Abuse and Neglect Records**

Documents complaints and investigations of abuse of institutionalized persons.

Retention Period:

Retain for life of institution plus 6 years and subject to review by the Archives.

**9 Disability Rehabilitation Case Files**

Documents the application for and subsequent issuance of services, supplies, and other aid to assist in the rehabilitation of disabled individuals through programs such as Employment Service Program and the Statewide Head Injury Program. Includes referrals, applications, application support materials, service plans, follow-up documentation, and related correspondence.

**K2 Social Services**Retention Period:

- (a) Statewide Head Injury Program Case Files: Retain 25 years after case closure.
- (b) Employment Service Case Files: Retain 6 years after case closure.
- (c) All other program case files: Retain 3 years after case closure.

Note: Aid does not include direct economic relief.

**K3 Child and Family Services****1 Child Abuse and Neglect Case Files**

Documents complaints and investigations into alleged child abuse and neglect. Includes reports, screening and investigation materials, consumer registration data, medical reports, evaluations of children and family, and related correspondence.

Retention Period:

- (a) Unsupported reports of abuse and neglect: Destroy and/or expunge identifying information 1 year after 51A report is found to be unsubstantiated.
- (b) All other records: Retain until child reaches age 21 plus 6 years.

119 MGL 51E.

**2 Children in Need of Services (CHINS) Case Files**

Documents social services investigations into family situations which may require assistance in order to protect children within the home. Includes assessments and other intake materials, examinations, evaluations, narratives and reports, and related correspondence.

Retention Period:

Retain 3 years.

Note: See also record series Child Abuse and Neglect records.

**3 Family and Child Protective Services Case Files**

Documents social services assistance given to families to protect children's welfare within the home. Includes assessments and other intake materials, service plan and authorizations, narratives, examinations, evaluations, legal documents and other materials on child and family receiving services in the home where the initial contact was a 51 A report (These cases do not involve state custody).

Retention Period:

- (a) Intact family records: Permanent.
- (b) Volunteer family records: Retain 3 years.
- (c) Single service such as day care, homemaking, and babysitting: Retain 3 years.
- (d) Services refused, found ineligible, referred, or otherwise deferred: Retain 3 years.

**4 Child Substitute/Foster Care Case Files**

Documents the removal of children from the home and subsequent placement with substitute care facilities. Includes assessments and other intake materials, service plans and authorizations, correspondence, narrative, examinations, evaluations, legal documents, and other materials.

Retention Period:

Permanent.

Notes:

- 1. The HHS regional office is the office of record.
- 2. Substitute Care Facilities are licensed by HHS.

**5 Adoption Legal Tracking Records**

Documents DSS tracking of legal actions relating to the separation of a child from its birth parents and its adoption by others. Includes legal action log, copies of court documents, reports, and related support materials and correspondence.

Retention Period:

- (a) Where child was placed: Permanent.
- (b) Where child was not placed: Retain 30 years

### K3 Child and Family Services

#### 6 Adoption and Foster Home Studies Records

Documents evaluations of child placement situation for submission to the court for consideration. Includes evaluations, reevaluations, references, background materials on family seeking to adopt, service provision documents, and related correspondence.

Retention Period:

- (a) Where child was placed: Permanent, where file is not part of adoption or foster care case file.
- (b) Where child was not placed: Retain 5 years.

#### 7 Adoption Case Files

Documents the process to approve adoptions and subsequent care. Includes applications, background support materials, petitions, court rulings, Adoption Home Studies of adoption family, legal documents, narratives, follow-up documents, and other materials on the adoptive child, and related correspondence.

Retention Period:

- (a) Where child was placed as ward of state: Permanent.
- (b) Independent adoptions where child was placed through relatives or private agencies: Permanent.

Note: Independent adoptions require DSS evaluation since 1931.

210 MGL 5D.

### K4 Laboratory

#### 1 Patient Autopsy Records

Documents the forensic examination of patients to determine the cause of death. Includes transport and identification materials, examination reports, and related correspondence.

Retention Period:

- (a) Final reports: Permanent.
- (b) All other records: Retain 30 years.

Note: See also record series "Medical Examiners Autopsy Case Files (J6-4)".

#### 2 Laboratory Licensure and Certification Records

Documents the certification and monitoring of medical laboratories by the state and by federal agency CLIA.

Retention Period:

- (a) Original license and licensing summary: Retain for the life of the lab plus 6 years.
- (b) Inspection reports, complaint investigations, and related correspondence: Retain 6 years after closure.
- (c) All other quality assurance records: Retain 3 years.

111 MGL D; 105 CMR 180.000; P. Law 100-578; 42 CFR 493.

#### 3 Blood, Tissues, and Organs Administration Records

Documents the monitoring and control of blood maintained for use during medical emergencies and operations.

Retention Period:

Retain 3 years.

#### 4 Health Laboratory Tests, Clinical

Documents biological and medical tests performed as part of patient care.

Retention Period:

Retain 3 years.

#### 5 Quality Assurance Records

Documents efforts to monitor and recommend areas of care that can or should be improved. Includes patient variance reports, client status studies, and related correspondence.

Retention Period:

- (a) Summary reports: Permanent.
- (b) All other records: Retain 3 years.

## K5 Vital Records

### 1 Birth Index

Consists of birth indexes to birth returns.

[Retention Period:](#)

Permanent.

Note: Municipalities retain their own indexes.

374 MGL; 486 MGL 17.

### 2 Birth Returns

Documents the official recording of all births in Massachusetts as reported to the Registry of Vital Records. Includes registers, transcribed certificates, copies of certificates, or any other formatted information that officially captures birth information for the Commonwealth.

[Retention Period:](#)

Permanent.

Note: Municipalities also retain official birth records for their localities.

374 MGL; 486 MGL 17.

### 3 Birth Certificate Risk Data Consent Forms

Documents mother consents to have birth risk data forwarded to be assessed for service needs.

[Retention Period:](#)

Retain until entered onto Registry of Vital Records First Link data base, then destroy.

### 4 Marriage Index

Consists of marriage indexes to marriage returns.

[Retention Period:](#)

Permanent.

Note: Municipalities retain their own indexes.

374 MGL; 486 MGL 17.

### 5 Marriage Returns

Documents the official recording of all marriages in Massachusetts as reported to the Registry of Vital Records. Includes registers, transcribed certificates, copies of certificates, or any other formatted information that officially captures marriage information for the Commonwealth.

[Retention Period:](#)

Permanent.

Note: Municipalities also retain official marriage records for their localities.

374 MGL; 486 MGL 17.

### 6 Death Index

Consists of death indexes to death returns.

[Retention Period:](#)

Permanent.

Note: Municipalities retain their own indexes.

374 MGL; 486 MGL 17

### 7 Death Returns

Documents the official recording of all deaths in Massachusetts as reported to the Registry of Vital Records. Includes registers, transcribed certificates, copies of certificates, or any other formatted information that officially captures death information for the Commonwealth.

[Retention Period:](#)

Permanent

**K5 Vital Records**

Note: Municipalities also retain official death records for their localities.

374 MGL; 486 MGL 17.

**8 Live Birth Certificates R3**

Documents the indexing or other compiling of live birth information for reference or statistical purposes and not for official recording purposes.

Retention Period:

- (a) Final index or compilation: Permanent.
- (b) All other records: Retain until administrative use ceases.

Note: Information may be included in annual report.

374 MGL; 486 MGL 17.

**9 Change of Name Reports R600**

Documents the indexing or other compiling of name change information for reference or statistical purposes and not for official recording purposes.

Retention Period:

- (a) Final index or compilation: Permanent.
- (b) All other records: Retain until administrative use ceases.

Notes:

1. Probate Courts keep official records.
2. Information may be included in annual report.

374 MGL; 486 MGL 17.

**10 Divorce or Annulment Reports R408**

Documents the indexing or other compiling of divorce information for reference or statistical purposes and not for official recording purposes.

Retention Period:

- (a) Final index or compilation: Permanent.
- (b) All other records: Retain until administrative use ceases.

Notes:

1. Probate Courts keep official records.
2. Information may be included in annual report.

374 MGL; 486 MGL 17.

**11 Abortion Summary Reports R109**

Documents the indexing or other compiling of abortion information for reference or statistical purposes and not for official recording purposes.

Retention Period:

- (a) Final index or compilation: Permanent.
- (b) All other records: Retain until administrative use ceases.

Notes:

1. Information may be included in annual report.
2. Summaries do not include personal identifiers.

374 MGL; 486 MGL 17.

**K6 Patient****1 Drug Reactions, Adverse Records**

Documents reactions to medications and drugs.

Retention Period:

Retain 3 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable

**K6 Patient****2 Mental Health Inpatient Files**

Documents the inpatient care of individuals for mental health care in state facilities. Includes commitment papers and background support documentation, medical charts, progress reports, evaluations, and related correspondence. Also any other materials considered part of the individual's inpatient medical record.

Retention Period:

Permanent.

**3 Patient X-Ray Records**

Documents laboratory test results or recordings that are filed separately from a patients' main case file.

Retention Period:

- (a) Radiation exposure films (X-Rays): Retain 10 years.
- (b) Digital X-Rays: Retain 10 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

**4 Patient Admission and Discharge Records**

Documents the admission and discharge of inpatients. Includes admission and discharge forms, support documentation, logs and registers, and related correspondence.

Retention Period:

- (a) Logs and registers: Permanent.
- (b) Discharges where patient has died: Permanent.
- (c) All other records: Retain 30 years after discharge.

Notes:

1. Logs and registers may be useful as indexes to patient files.
2. Where patient has died onsite there may be separate death registers and accompanying files.
3. Note: 3 DMH, if filed in the client/patient record see K6-2 or K6-5 as applicable<sup>3D</sup>

**5 Mental Health Client Outpatient Clinic and/or Community Service Records**

Documents the mental health care of patients/clients provided by state operated outpatient clinics, emergency services, crisis stabilization and/or the provision of mental health care by state operated mental health Community services (including Case Management/Case Coordination, residential services, transitional housing and any other state operated Community Service). Includes eligibility determination records, medical information, Individual Service Plans and/or other treatment plans evaluations, assessments, progress notes, correspondence, and any other materials considered part of the patient/client record.

Retention Period:

Review by the Archives 30 years after close.

**6 Dental Records**

Documents dental work on residents.

Retention Period:

Retain 30 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

**7 Patient/Resident Accounts Records**

Documents cash accounts of patients/ residents.

Retention Period:

Retain 3 years after separation.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

**8 Medical Patient Case Files**

Documents the medical histories of patients admitted to hospitals, long term care facilities, soldiers homes, and nursing homes. Includes eligibility, admittance, medical charts and notes, prescriptions, diet, reports, evaluations and plans, death reports, discharge papers and related correspondence.

Retention Period:

Retain 30 years after discharge subject to review by the Archives.

Note: For mental health records see K6-2.

## K6 Patient

### 9 Patient Rehabilitation Program Records

Documents programs within the institution to promote recovery or well-being.

Retention Period:

- (a) Summary documentation: Permanent.
- (b) All other records: Retain 3 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

### 10 Institutional Client Property and Valuables Records

Documents patient personal property held in storage for them by the institution. Includes inventory listings, releases, additions, or changes, and related correspondence.

Retention Period:

Retain 3 years after final release.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

### 11 Resident/Patient Consent Decree Records

Documents consents for medical assistance, care, or surgery. Includes consent decrees, court orders, and Office of Quality Assurance correspondence.

Retention Period:

When not filed with patient case files: Retain 6 years and subject to review by the Archives.

Note: Copy is sent to the Attorney General's Office.

Note: Where these records are part of a client's DMH inpatient or community records, Refer to K6-2 or K6-5, as applicable.

### 12 Resident Emergency Fact Sheets

Provides information on patients such as personal contacts to be used in case of emergency.

Retention Period:

Retain until patient separates.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

### 13 Resident Commitment Papers

Documents the legal commitment of individuals to institutions. Includes mittimi, legal docs authorizing commitments and transfers, applicant statements, physician certifications, and other papers, voluntary admissions.

Retention Period:

Permanent.

Note: Probate Courts may retain copies.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

### 14 DMH Client Human Rights Complaint/Investigation Records

Documents complaints of a "dangerous, illegal or inhumane" nature from or pertaining to DMH patients, clients, or other "recipient of services" and also documents any subsequent follow-up, investigation, or referral. Includes complaints, support materials, interview notes, fact-finding reports, decisions, referral for action, and related correspondence.

Retention Period:

- (a) Public Log of complaints with redacted personal identifiers: Permanent.
- (b) Out-of scope, incomplete, or withdrawn complaints: Retain 3 years.
- (c) Departmental Case File: Retain 6 years after final case activity including any referred case activity.
- (d) Central Office of Investigations File: Retain 6 years after final case activity including any referred case activity.
- (e) Cases involving children: Retain 6 years after child reaches age 22 and after final case activity including any referred case activity. If age of child cannot readily be determined: Retain 30 years.

Notes:

1. Record series applies to all programs and facilities licensed, contracted for, or operated by the Department of Mental Health.
2. Cases may be required to be referred to other agencies if criminal activity, abuse and neglect, death, or where licensing infractions may have occurred.

19 MGL 1, 10; 19A MGL 15; 19C MGL; 30A MGL 1(1); 38MGL 3; 119 MGL 51A; 104 CMR 32.00.

**K6 Patient****15 MH Forensic Evaluation Records**

Documents forensic mental health services provided by the Department of Mental Health including evaluations performed (and supporting materials) by DMH pursuant to court orders or statutory mandate.

Retention Period:

(a) Court ordered evaluations (statutory and non-statutory) and Parole Reports/Evaluations: Retain 10 years after latest evaluation.

(b) Forensic Transition Team Records. Mandatory Forensic Reports, MI/PSB reports, and Jail Treatment Reports: Retain 6 years, where not otherwise part of a DMH record.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

**16 External Reviews**

Documents the appeals filed by consumers under M.G.L. chapter 1760. Includes patient demographic information, patient medical records, health plan grievance files, and supporting documentation from physicians and other clinicians, decisions by the external review agencies.

Retention Period:

4 years after case closure

Note: Some or all of the information contained in these cases is also maintained by the external review agency, the health plan, and in many cases, by the appellant. OPP only acts as the administrator and in many cases, does not have the complete file in its possession. In addition, OPP maintains an electronic database of cases including patient demographics, case summaries, the health plans involved, and the outcomes. It is also important to note that most of the information contained in these records is not public information as it contains personal and medical information.

**17 Managed Care Inquiries Through the Office of the Managed Care Ombudsman**

This series documents inquiries filed by consumers regarding health plan denials of care appeals for services. Includes records of phone calls, facsimiles, copies of bills, medical records and related correspondence.

Retention Period:

2 years after case closure

Note: in many of the above inquiries, OPP provides the consumer with information about the appropriate state agency or organization that can assist with the situation being described. Most of the information is not a public record. OPP has no enforcement authority but will refer callers to the appropriate agency or organization.

**18 Health Plan Inspections**

OPP periodically conducts random on site inspections of health plan grievance and appeal files.

Retention Period:

(a) OPP check list and supporting documentation: 1 year

(b) Summary letters and health plan corrective action plans: 5 years

**K7 Pharmacy****1 Pharmacy and Prescriptions Records**

Documents the filling of individual prescriptions for patients. Includes prescriptions, inventories, and related logs, reports, and correspondence.

Retention Period:

Retain 3 years.

Note: Prescriptions may also be kept in individual patient files.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

260 MGL 4a.

**K8 Program Administration****1 Insurance Policies and Rate Setting Records**

Documents rate setting for health care and insurance programs.

Retention Period:

(a) Hearing Transcripts: Permanent.



**K8 Program Administration**

(b) All other records: Retain 10 years.

**2 Social Needs Assessments Reports**

Documents assessments for planning and policy determinations.

Retention Period:

- (a) Final reports: Permanent.
- (b) All other records: Retain until administrative use ceases.

**3 Program Monitoring and Review Records**

Documents the monitoring of programs and individual case work to insure quality care. Includes sampling studies, interviews, field notes, statistical reports, notes, recommendations, and related correspondence.

Retention Period:

Retain 3 years.

Note: Excludes monitoring done to make decisions about treatment of an individual that is done for research.

**4 Medical Rate Setting Case Files**

Documents the setting of rates to be paid to providers of health services such as Medicaid and other state insurance programs and to determine charges for state care and services. Includes hearing transcripts, public comment, and related correspondence.

Retention Period:

- (a) Final hearing transcripts: Permanent.
- (b) All other records: Retain 10 years.

**5 Service Provider Monitoring and Investigation Records**

Documents the monitoring of contracted service providers for the state.

Retention Period:

Retain 3 years.

**K9 Public Health****1 Infectious Disease Case Files**

Documents Department of Public Health identification of cases of infectious disease and any subsequent follow-up. Includes intake documents, laboratory reports, physician notes, outreach notes, preventative actions, and related correspondence.

Retention Period:

- (a) Verified cases: Retain 10 years.
- (b) Withdrawn, non-jurisdictional, or revoked cases: Retain 1 year.

**2 Medical Staff Complaints/Discipline Records**

Documents complaints against medical staff or personnel.

Retention Period:

- (a) Medical doctors: Retain 25 years.
- (b) All other practitioners and staff: Retain 6 years after final activity.

**3 Infectious Disease Outbreak Records**

Documents Department of Public Health identification of infectious disease outbreaks and any subsequent follow-up. Includes intake documents, laboratory reports, physician notes, interview notes, questionnaires, data analysis, summary reports, preventative actions, and related correspondence.

Retention Period:

- (a) Summary reports and substantive analysis and support data: Permanent.
- (b) All other records: Retain 10 years.

**4 Immunization Records**

Documents the immunization of staff, patients, students, or the general public where the facility provided the immunization.

Retention Period:

Retain for the life of the immunization.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

**K9 Public Health****5 Community Sanitation Inspection Records**

Documents inspections of recreational camps, minimal housing, correctional facilities, farm labor camps, lockups. Includes complaints, inspectional reports, responses, and related correspondence.

Retention Period:

Retain 6 years after close.

111 MGL 127A; 111 MGL 5; 140 MGL 32A; 111 MGL 20; 11 MGL 128G; 105 CMR 420.00, 470.000.

**6 Food and Drug License and Permits Records**

Documents the process to grant and monitor licenses and permits to individuals and business handling food and drugs. Includes permit applications, inspection reports, labels, corrective action plans, interstate shellfish forms, and related correspondence.

Retention Period:

Retain 6 years after inactive.

105 CMR 533.000.

**7 Animal Care Regulation and Monitoring Records**

Documents care of animals kept for research purposes in compliance with 9 CFR 2.75. Includes individual care charts, animal id, diets, brooder charts, and related correspondence.

Retention Period:

Retain 3 years.

9 CFR 2.75.

**8 Human and Animal Subjects Protection Records**

Documents the monitoring of humans and animals for research purposes. Includes research protocols, background support materials, animal conditions reports, and Institutional Review Board decisions and notes.

Retention Period:

- (a) IRB minutes: Permanent.
- (b) Materials kept as part of sponsored research projects: Retain 6 years after close of grant.
- (c) All other materials: Retain 3 years.

**9 Quarantine Health Records**

Documents the quarantine of patients or staff due to fear infection or disease spreading to others. Includes quarantine orders, background materials, and related correspondence.

Retention Period:

- (a) Retain summary documentation: Permanent.
- (b) All other records: Retain 10 years.

**10 Infection and Communicable Disease Control Records**

Documents the monitoring and control of infectious disease within the institution. Includes monitoring and reporting documents, reports, and related correspondence.

Retention Period:

- (a) Retain summary documentation: Permanent.
- (b) All other records: Retain 10 years.

**11 Radioactive Materials Monitoring and Control Records**

Documents the control of radioactive materials in state institutions and facilities.

Retention Period:

- (a) Materials inventories: Permanent.
- (b) All other records: Retain 30 years.

**12 Ambulance Licensure Records**

Documents licensure of ambulances and drivers.

Retention Period:

- (a) Candidate exam sheets: Retain 1 year.
- (b) All other records: Retain 6 years.

## K9 Public Health

### 13 Community Based Services Case Files

Documents individuals serviced by programs created to provide public health services to local communities. Includes needs assessments and profiles, services case files, and related correspondence.

Retention Period:

- (a) Children's files: Retain 30 years.
- (b) All other case files: Retain 6 years after close.
- (c) Denied or withdrawn applicants files: Retain 3 years.

### 14 Epidemiology Case Records

Documents the positive results of communicable reportable diseases. Test results of communicable diseases: Malaria, Typhoid, Measles, Mumps, Rubella, Leprosy, Salmonellas, Rabies, and Encephalitis. Doctors and hospitals submit samples.

Retention Period:

30 years

Note: A duplicate resides in a database (electronic) at the Local Board of Health.

### 15 Report of Infectious Diseases

This is a record of incidence of infectious disease reported by a doctor, laboratory, clinic or hospital. These reports from the Boards of Health of cities and towns listing: name, data, age, sex, address and disease. Towns list them alphabetically.

Retention Period:

7 years

### 16 Forensic Test Results

These results confirm identity of drug samples confiscated by police. This information may be used in court proceedings to support testimony of a chemist. They are mass spectra of drug analyses. Laboratory number identifies them. This series includes any electronic records.

Retention Period:

10 years

Note: A certificate is sent to the court and to the police department.

### 17 Initial EMT Certification Files

Documents the certification of basic and advanced EMTs and tracks testing performance, which also includes challenge and reinstatement candidates pursuant to 105 CMR 170.000. This series includes memos correspondence, application forms and fees, exam answer sheets, exam group rosters, reinstatement applications and exam challenge applications. Arranged numerically.

Retention Period:

3 years

Note: This series is contained in a computer system.

### 18 Initial Course Approval Files

Documents approved courses for initial certification of basic and advanced EMTs pursuant to 105 CMR 170.900. This series includes: application forms, letter of approval, and class roster. Arranged numerically.

Retention Period:

3 years

- (a) Candidate Exam Sheets 1 year

Note: This series is contained in a computer system.

### 19 Recertification Application Files

Documents the rectification of basic and advanced EMTs pursuant to 105 CMR 170.900. This series includes: memos, correspondence, application form and fee, CPR card, special credit letters, and discrepancy letters. Arranged alphabetically.

Retention Period:

2 years from expiration date.

Note: In-house computer system.

### 20 Continuing Education Files

This series documents the approved training programs for EMTs pursuant to 105 CMR 170.960. Included in this series are: memos, correspondence, application for a course, course approval notice, roster of course attendees, and EMT numbers. Arranged numerically.

Retention Period:

**K10 Shift**

3 years

Note: In-house computer system.

**21 Ambulance Licensing Files**

This series documents license ambulance services and certify ambulances pursuant to MGL c. 111C and 105 CMR 170.200. Included in this series are: memos, correspondence, applications for licenses/renewals and fee, inspection reports, and copies of licenses. Arranged alphabetically.

Retention Period:

7 years

Note: In house computer system

**K10 Shift****1 Resident Death Report Records**

Documents deaths of residents under the care of a state institution.

Retention Period:

Permanent.

**2 Restraint and Seclusion Records**

Documents forcible restraint and/or seclusion of patients.

Retention Period:

Retain 3 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

**3 Death Records**

Documents deaths of individuals. Includes doctor's report, death certificates, logs and registers, and related correspondence.

Retention Period:

Permanent.

**4 Ambulance Trip Institutional Records**

Documents movement of patients to or from facility.

Retention Period:

Retain 3 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

**5 Birth Records**

Documents the recording of the birth of individuals. Includes standard certificates of live birth, corrections, logs and registers, and related correspondence.

Retention Period:

Permanent.

**6 Shift Code Emergency Response Records**

Documents any emergencies taking place during a shift where a code was called. Includes incident reports, notes, and related correspondence.

Retention Period:

- (a) Retain summary documentation: Permanent.
- (b) All other records: Retain 10 years.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

**7 Shift Reports**

Documents the activities of shifts. Includes logs, inspection reports, inventories, shift reports, and related correspondence.

Retention Period:

Retain 3 years.

**K10 Shift****8 Visitors Records**

Documents visitors to institutions to see patients.

Retention Period:

- (a) Permanent, where patient files are kept as permanent.
- (b) Otherwise, retain 3 years.

**9 Intern and Resident Training Records**

Documents the training files of interns and resident doctors.

Retention Period:

Retain 6 years after separation.

**10 Daily Census**

Documents the recording of the number of institutionalized persons.

Retention Period:

- (a) Summary data reports: Permanent.
- (b) All other records: Retain 3 years.

**11 Paramedics Communication Logs**

Documents communications between ambulances and paramedics and the institution.

Retention Period:

Retain 1 year.

Note: Where these records are part of a client's DMH inpatient or community records, refer to K6-2 or K6-5, as applicable.

**K 11 Division of Health Care Finance and Policy****1 Hospital Field Audit Work Papers**

This series includes the reports HFC-100, 300 RSC 403 and 22/80.

Retention Period:

10 years

Note: This series is subject to audit.

**2 Hospital Cost Reports**

This series includes the reports HCF 300, 400A 500, RSC-403, 410, 420, 430, 440, and 22/80.

Retention Period:

10 years

Note: This series is subject to audit.

**3 Hospital Maximum Allowable/MAC Cost Reports**

This is a defunct series. Superseded.

Retention Period:

10 years

**4 Long Term Care Cost Reports**

This series includes the reports HCF 1,2,3, 4.

Retention Period:

20 years

Note: This series is subject to audit.

**5 Educational Social and Mental Health Services Cost Reports**

This is a defunct series.

Retention Period:

7 years

**K 11 Division of Health Care Finance and Policy****6 Ambulatory Care Reports**

This series also includes: Home Health Agency Reports, Visiting Nurses Reports, and Community Health Cost Reports.

Retention Period:

10 years

Note: This series is subject to audit.

**7 Hospital Charge books**

These books tally the charges passed on to the patient.

Retention Period:

4 years

Note: This series is subject to audit.

**8 Long Term Care IC FMR Cost Reports**

This is a defunct series.

Retention Period:

10 years

**9 Uniform Financial Reports (UFR's)**

Included in this series are: Temporary Nursing Service Agencies (TNS) reports, and Private Duty Nurse Reports.

Retention Period:

10 years

Note: This series is subject to audit.

**10 Ambulance Day Health (ADH) Cost Reports**

This series is the actual reports.

Retention Period:

10 years

Note: This series is subject to audit.

**11 Hospital Annual Financial Fillings**

This series is the actual fillings.

Retention Period:

10 years

Note: This series is subject to audit.

**12 Certified Nursing Assistants CNA**

This series is made up of Reports and audits.

Retention Period:

20 years

Note: This series is subject to audit.

**13 Blue Cross Blue Shield Contracts**

This series is made up of contracts with Blue Cross Blue Shield.

Retention Period:

10 years

**14 Medicare 2552**

This series is made up of Medicare 2552 Reports. This is a Defunct Series.

Retention Period:

8 years

Note: This series is subject to audit.

**K 11 Division of Health Care Finance and Policy****15 Public Hearing Records**

This series is made up of Public Hearing Records and Business Meeting folders.

Retention Period:

Permanent

Note: This series is subject to audit.

**16 Long Term Care Wage Surveys**

This is a defunct series.

Retention Period:

10 years

Note: This series is subject to audit.

**17 Legal Appeals**

This series includes: LTC, NH, RH, and MC Folders.

Retention Period:

20 years

Note: This series is subject to audit.

## L1 Tax Policy and Administration

### 1 Uniform Commercial Code Financial Statements

Documents reports for regulation purposes.

Retention Period:

- (a) Official copy: Permanent.
- (b) All other records: Retain 6 years.

### 2 Tax Policy and Analysis Reports

Documents DOR analysis of potential impacts of tax law changes including forecasts for Commonwealth tax collection. Reports may also analyze impacts of special internal programs such as tax amnesty. Reports may be written for internal use or as special projects for Administration and Finance, the Legislature, or the Governor.

Retention Period:

- (a) Final reports: Permanent.
- (b) Report data and notes: Retain until administrative use ceases.

### 3 Tax Issues and Policy Proposal Records

Documents the recommendation or proposal of tax policy or procedural changes to internal or external rules and regulations or legislation. Includes issues background information, recommendations, proposed legislation, and related correspondence.

Retention Period:

Review by the Archives after administrative use ceases.

## L2 Tax Customer Service

### 1 Taxpayer Advocate Case Files

Documents agency help for individuals with tax problems or issues referred to the taxpayer advocate, problem resolution, or customer services. Includes intake documents, support and background materials, audit papers, rate and calculation sheets, adjustments and corrections, and related correspondence.

Retention Period:

Retain 6 years after final case activity.

### 2 Taxpayer Customer Service Records

Documents the intake and handling of taxpayer inquiries or complaints. Includes intake documents, background and support documentation, audit papers, rate and calculation sheets, adjustments and corrections sheets, and related correspondence.

Retention Period:

Retain 3 years.

Note: Some cases may be referred to other units of DOR depending on the nature of the problems to be addressed.

### 3 DOR Problem Resolution Case Files

Documents the handling of taxpayer inquiries, disputes, and complaints. Includes intake documents, background support, rate and calculation sheets, corrections sheets, and related correspondence.

Retention Period:

Retain 6 years after final activity.

### 4 Tax Practitioner Electronic Filing Authorizations

Documents that individual income tax clients have given the tax practitioner, such as H&R Block, authorization to file their returns electronically. Consists of Individual Income Tax Declaration for Electronic Filing (M-8453) forms. This is a defunct series.

Retention Period:

3 years

Note: Forms are now held by the practitioners and not sent to DOR

## L3 Tax Filing

### 1 Tax Return Filings

Documents the monthly, quarterly, or annual filing by individuals, corporations, employers, or other entities of taxes owed to the



### L3 Tax Filing

Commonwealth of Massachusetts. Tax categories include Income Tax (Personal and Corporate), Corporate Excise, Excise, Exempt Property, Meals Tax, Room Occupancy Tax, Sales and Use, and Withholding Tax. Includes tax forms, postmarks, form support receipts, checks payable to DOR, and related correspondence.

Retention Period:

- (a) Intake tax filings source documents scanned into MASSTAX system: Retain until verified as captured onto MASSTAX system.
- (b) Electronic filings: Retain until verified as captured onto MASSTAX system.
- (c) Hardcopy records that have not been scanned or not fully scanned (partials): Retain 6 years.
- (d) All other records: Retain 6 years.

839 CMR 62C.24; 62C MGL 24; 62-64 MGL; 138 MGL.

#### 2 W4s

Consists of W-4 forms received by DOR which employees must complete before claiming withholding allowances on income tax returns or changing their tax status.

Retention Period:

Discard hardcopy after information is captured on MASSTAX System.

#### 3 Taxpayer Estimated Tax Payment Forms

Documents payments to DOR during the year to alleviate an especially large payment at time of official tax filing. Includes Estimated Tax Payment Form 1-ES.

Retention Period:

Discard hardcopy after information is captured on MASSTAX System.

#### 4 Employer Wage Reports

Documents employers reporting of employee wages to DOR. Includes Employer's quarterly Report of Wages Paid (WR-1).

Retention Period:

Retain hardcopy until captured on MASSTAX System.

62E MGL.

#### 5 Estate and Inheritance Tax Case Files

Documents the process to determine and collect payments relating to the annual filing of estate and inheritance taxes. Includes tax forms, postmarks, estimated payments documentation, commissioner determinations of value, probate court materials, copies of wills, abatement and appeals documentation, and related correspondence.

Retention Period:

Retain 10 years.

830 CMR 65C; 65A-C MGL.

#### 6 Taxpayer Payment Voucher Slips

Consists of slips that accompany taxpayer check payments to insure that checks are credited to the correct individual when posted to the computer system. Includes Income Tax Payment Vouchers (Form PV).

Retention Period:

Discard hardcopy after information is captured on MASSTAX System.

#### 7 Business Tax Status Registrations

Documents business registrations of their applicable tax categories such as for meals or sales tax. Includes Application for Original Registrations (Form TA-1) and Organization Information (TA-3).

Retention Period:

- (a) Retain hardcopy until information is captured onto MASSTAX System.
- (b) Hardcopy that predates MASSTAX may be discarded due to its obsolete nature.

### L4 Tax Collection

#### 1 Taxpayer Appeal Case Files

Documents formal appeals by taxpayers to correct tax assessments. Includes appeals requests, hearing documentation including typed hearing notes, dispute resolution support documents, tax support documents such as receipts, final settlement agreements, final letters of determination, and related correspondence.

Retention Period:

Retain 10 years after final settlement or determination.

## L4 Tax Collection

### 2 Profession, Trade, or Business License Listings

Consists of annual lists sent to DOR by Commonwealth agencies of all professional, trade, and business licenses issued or renewed during the preceding year.

Retention Period:

Retain 2 years.

62C MGL 47A.

### 3 Taxes in Litigation Certification Records

Documents the Commissioner's response to a tax collector's request for certification that an unpaid tax is presently uncollectible because of litigation or certain other reasons. The Commissioner's certification authorizes the collector to transfer the uncollectible amounts to a 'Taxes in Litigation' account. Includes written request from local tax collector with supporting documentation where appropriate, and letter of certification from the Commissioner.

Retention Period:

Retain 6 years.

60 MGL 37A, 95.

### 4 Potential Taxpayer Locator Records

Documents attempts to identify and locate taxpayers not currently registered on the MASSTAX system. Includes lists, background support materials, and related correspondence.

Retention Period:

Retain 1 year.

### 5 Promoter's Business Rental Reports

Consists of reports provided by promoters who rent space to businesses for the purpose of conducting retail sales. The businesses may have sales tax obligations.

Retention Period:

Retain 2 years.

### 6 Bankruptcy Claim Records

Documents files on taxpayer bankruptcy maintained to assist state revenue agents request their fair share of disbursements. Includes copies of federal petitions for bankruptcy, proof of claim forms, background support documentation, and related correspondence.

Retention Period:

Retain 6 years after closed, dismissed, or when no further action can be taken by administrative (non-litigation) means.

### 7 Tax Litigation Case Files

Documents cases brought before DOR and/or the Appellate Tax Board, or the courts to resolve tax payment issues. Includes investigation and evidence materials, motions and briefs, proceeding transcripts, decisions and determinations, probate court materials, and related correspondence.

Retention Period:

- (a) Letters referring cases to the Attorney General's Office: Permanent.
- (b) Landmark or policy setting cases: Permanent.
- (c) Cases involving payment agreements: Retain until expiration of the payment agreement or until the amount owed is paid off, or 10 years, whichever period is longer.
- (d) All other records: Retain 10 years after case closing and all appeals are exhausted unless a longer period is required by legal counsel.

### 8 Appellate Tax Board Appeals Records

Documents appeals to the Board to hear and decide an individuals' or entity's claim for a tax abatement. Includes pleadings, exhibits, hearing transcripts, briefs, notices of decision, notices of appeal, requests for Findings of Fact and Report, notice of extension of time to issue Findings of Fact and Report, and related correspondence.

Retention Period:

- (a) Appeal Decision Books: Permanent.
- (b) Findings of Fact and Report Books: Permanent.
- (c) Exhibits: Retain until appeal is closed, appeal period has expired, and all appeals through the Court of Appeals and the Supreme Judicial Court are exhausted.
- (d) Dismissed and otherwise withdrawn appeals: Retain 3 years.

## L4 Tax Collection

(e) All other records retain 6 years after appeal is closed, appeal period has expired, and all appeals through the Court of Appeals and the Supreme Judicial Court are exhausted.

58 MGL 7,7A, 7B.

### 9 Tax Collection Case Files

Documents the Commissioner's attempts to collect unpaid taxes due to non-filing or other circumstance as allowed for in 62C MGL 46 and other statutes. Includes taxpayer notifications, levy and seizure documentation, payment agreements, financial worksheets, staff case worker supplemental files, and related correspondence.

#### Retention Period:

- (a) Tax lien documentation: Retain 10 years after date of assessment or 6 years after final action: whichever period is longer.
- (b) All other records: Retain 6 years from declaration of uncollectible, payment, or other final settlement.

62C MGL 65; House Bill 4744.

### 10 Tax Warrant Listings

Documents the signing off of assessment lists by authorized DOR employees indicating that DOR is authorized to assess the listed taxes and has begun the process to collect the amounts shown. Listing is a computer generated printout with the addition of an inked signature.

#### Retention Period:

Retain 6 years.

### 11 Uncollectible Tax Records

Documents the write-off of unpaid taxes not warranting collection as allowed for in 62C MGL 43. Includes listings, support documentation and work papers, and related correspondence.

#### Retention Period:

Retain 6 years.

62C MGL 43.

### 12 Tax Liability Settlement Agreement Records

Documents agreements between the Commissioner and taxpayers to settle unpaid tax cases. Lists of settlement are included in the commissioner's annual report. Includes offers and final settlements, background support materials, attorney general reviews, and related correspondence.

#### Retention Period:

Retain 6 years from final settlement, or 20 years, whichever period is shorter.

62C MGL 37A.

### 13 Tax Revenue Accounting Records

Documents the management of cash and revenues as part of the state tax collection process. Includes cash transactions, electronic funds transactions, bank deposit documentation, cancelled checks, reconciliation reports, and related correspondence.

#### Retention Period:

- (a) Account general ledger (year-to-date) and monthly Blue Book revenue summary reports: Permanent.
- (b) All other records: Retain 10 years

## L5 Tax Investigation and Research

### 1 Tax History Inquiry Records

Documents responses to inquiries from bureaus within DOR, elected officials, the Governor's Office, and outside agencies related to tax filing histories or other tax related information.

#### Retention Period:

Retain 6 years.

### 2 Tax Information Transmittal Records

Documents any receipts or transfers of information between DOR Federal/State Exchange Unit and the IRS, other states, or other units within DOR. Includes transmittal documentation such as IRS memorandum, letters, forms 3210 and M3210, DOR Unit requests, information routing and tracking documentation, the transferred tax information, destruction of transferred tax information documentation, and related correspondence.

#### Retention Period:

Retain 6 years.

## L5 Tax Investigation and Research

Note: All information is channeled through the Exchange office before being distributed to appropriate locations. IRS publication 1075 "Tax Information Security Guidelines for Federal, State, and Local Agencies".

### 3 Taxpayer Audit Case Files

Documents audits of taxpayers. Includes copies of tax returns, bank statements, hearing notes, audit reports and responses, and related correspondence.

#### Retention Period:

Retain 6 years after final resolution or determination.

62C MGL 26B; 30 MGL 7C.

### 4 State/Federal Tax Information Exchange Records

Documents the exchange of information between DOR and IRS and IRS monitoring of the use and handling of IRS data by the state. Includes agreements, arrangements, reports, yearly audit review documentation, process support documentation, and related correspondence.

#### Retention Period:

- (a) Agreements and understandings: Retain 6 years after expiration.
- (b) All other records: Retain 6 years.

IRS publication 1075 "Tax Information Security Guidelines for Federal, State, and Local Agencies".

### 5 Tax History Research Records

Documents responses to inquiries from bureaus within DOR, elected officials, the Governor's office, and outside agencies related to tax filing histories or other tax related information.

#### Retention Period:

Retain 6 years.

### 6 Special Tax Research Records

Documents special research on areas such as DOR and the Governor's office employees tax filing histories. Includes certificates of filing (form CC-1, SR-1, SR-2, SR-3), background checks, and related correspondence.

#### Retention Period:

Retain 6 years.

### 7 Tax Criminal Investigation Records

Documents investigations into tax system abuse. Includes tax returns and submissions, investigatory documentation, audit reports, and related correspondence.

#### Retention Period:

Retain 6 years after closure.

### 8 Employee Tax History Records

Documents research into DOR, Governor's office or other employees. Includes certificates of filing (form CC-1, SR-1, SR-2, SR-3), background checks, and related correspondence.

#### Retention Period:

Retain 6 years.

Note: Bargaining unit employees may not need to complete certificates of filing.

## L6 DOR Bureau of Accounts

### 1 County Budget Records

Documents the Departmental Budget request and allotment process for the purposes of monitoring and analysis. Includes departmental budget requests, budget review documents, approval votes, Financial Committee correspondence, departmental budget appropriation, and related support materials and correspondence.

#### Retention Period:

Permanent.

Note: Includes information on the abolished counties of Berkshire, Essex, Franklin, Hampden, Hampshire, Middlesex and Worcester and the active counties of Barnstable, Bristol, Dukes, Nantucket, Norfolk, Plymouth, and Suffolk.

### 2 City Town Debt Sale Records

Provides a record of the bidding process of city or town debt for the purpose of sale to securities brokers. Includes city and town

## L6 DOR Bureau of Accounts

debt publications, disclosure statements, applications for credit rating, and competitive sealed bid documentation.

### Retention Period:

Retain 3 years.

### 3 Municipal Schedule A Report Records

A year-end statement from the municipality detailing revenues, expenditures, financial sources and uses, changes in fund balance and certain balance sheet information. It is entered into the Municipal Data Bank for the use of various agencies interested in analyzing the scope of services provided and in making policy decisions.

### Retention Period:

Retain 3 years.

### 4 Municipal Cash Reconciliation Report Records

Documents the year-end reconciliation of cash for all municipal funds. Report is submitted by communities to DOR for monitoring and analysis purposes.

### Retention Period:

Retain 3 years.

### 5 Municipal Tax Rate Certification Records (Recap Sheets)

Documents submissions by local officials to DOR for approval and certification of the (recapitulated) rate of taxation to be levied upon taxable property. After approval, a community may issue its property tax bills. Includes Tax Rate Recapitulation Sheets, annual levy growth calculations, tax rate calculations, and related correspondence.

### Retention Period:

Retain 3 years.

59 MGL 23.

### 6 Municipal Audit Report Records

Documents the Bureau of Accounts' review and approval of municipal audit reports of a city or town's financial statements as prepared by an independent certified public accountant. Includes a combined balance sheet; a combined statement of revenues, expenditures and changes in fund balance; a combined statement of revenues and expenditures, approval documentation, and related correspondence.

### Retention Period:

Retain 3 years.

### 7 County Financial Reports

Documents reports submitted by municipalities detailing treasurer's receipts, disbursements and cash balances, registers of deeds receipts, sheriff receipts and disbursements. Used for monitoring and analysis purposes.

### Retention Period:

Retain 3 years.

### 8 Municipal Proposition 2 1/2 Records

Documents DOR monitoring of yearly changes to local levy limits, including overrides and debt exclusion, debt service timing shifts by votes of city or town in compliance with Proposition 2 1/2 (59 MGL 21C) which places a limit and other restrictions on the amount of property taxes a community can levy each year. Used for monitoring and analysis.

### Retention Period:

Permanent.

Notes:

1. A levy is the amount a community can raise through real and personal property tax.
2. The Commissioner of Revenue has the authority to issue guideline requirements to communities for the purposes of Proposition 2 1/2. (59 MGL 21 C Note 3. Authority of commissioner).

59 MGL 21C, 40 MGL 56.

### 9 State House Note Certificate Records

Documents the sale of short-term debt through State House serial notes which are certified by DOR Bureau of Accounts rather than a bank. Details type of loan, purpose, supporting documentation of authorization. Note certificates are filed by city, town, and district clerks.

### Retention Period:

Retain 3 years.

**L6 DOR Bureau of Accounts****10 Municipal Compensating Balance Report Records**

Documents compensatory payments to a bank for treasury services rendered regarding the deposit, investment, and disbursement of monies collected by the municipality. Submitted by the municipality, it is used by the DOR Bureau of Accounts for monitoring and analysis purposes.

Retention Period:

Retain 3 years.

**11 County Government Finance Review Board Records**

Documents the activities of the board that oversees county fiscal matters. Includes agendas, minutes, and related support materials and correspondence.

Retention Period:

Permanent.

Note: These records are maintained by DOR Bureau of Accounts on the behalf of the Undersecretary of Administration and Finance.

**12 Municipal Balance Sheet Reports**

Documents a community's financial position at the end of the fiscal year. Includes summary information on assets, liabilities, and fund equity. Submitted by the municipality to DOR, it is used by the Bureau of Accounts to calculate and certify a community's free cash (available funds for appropriation) and for monitoring purposes.

Retention Period:

Retain 3 years.

**L7 DOR Local Assessment****1 Tax Exemption Reimbursement Request Records**

Documents local government requests for reimbursement from the state for property tax exemptions granted to veterans, surviving spouses, blind persons, and the elderly.

Retention Period:

Retain 3 years.

58 MGL 5,8.

**2 Municipal Budget Schedules (Cherry Sheets)**

Schedules form the basis for municipal budgets, subject to revision during the course of the year, setting forth estimated state aid to be paid and charges to be assessed. Schedules are used to determine the portion of local budgets supported by state aid, which is used to calculate the annual property tax rate. Sheets are distributed to municipalities by DOR after final enactment of the state budget or Legislative Local Aid Resolution. Records consist of notifications to each town by the Commissioner of Revenue to local assessors of the estimated receipts to be paid to the town by the state during the next fiscal year (CS 1-ER); estimated assessments and charges which the town must pay for the services performed by the state, county, and certain regional districts (CS 1-EC); state aid for education (CS 2-ER).

Retention Period:

Retain 3 years.

Note: Cherry sheets are named for the cherry colored paper on which they were originally printed. The sheets are computer printouts generated from the Municipal Data Bank Database.

58 MGL 20A, 25A.

**3 Education Reform Waiver Records**

Documents local government applications for waivers of the requirements imposed by the Education Reform Act of 1993.

Retention Period:

Retain 3 years.

**4 Municipal Emergency Aid Records**

Documents the application for emergency aid from the state.

Retention Period:

Retain 5 years.

## L7 DOR Local Assessment

### 5 State Owned Land (SOL) Valuation Records

Documents the identification and valuation of state owned land (SOL). Municipalities are reimbursed annually by the state for the subsequent lost tax revenues as legislated. Reimbursement is made through municipal budget schedules (Cherry Sheets) or through direct billing if it is MDC watershed land. Includes eligible parcel listings; quinquennial valuation summaries by community; flood control land documentation; site appraisal and review reports; eligibility determination documentation such as deeds, property record cards, land schedules, zoning maps; field staff notes, and related correspondence.

Retention Period:

- (a) Parcel eligibility listings, quinquennial valuation summaries, flood control land documentation: Permanent.
- (b) Site appraisal and review reports: Retain until administrative use ceases.
- (c) All other records: Retain 5 years.

58 MGL 13-17B; 59 MGL 5G.

### 6 Unassigned Assets and Property Reports

Documents information relating to abandoned property, undistributed funds, unidentified collections, or otherwise undesignated assets and property held by the agency.

Retention Period:

Retain until disposition determination has been made plus 6 years.

Note: See also record series "Abandoned Property Records (L12-6)".

### 7 Municipal Land Valuation Records

Documents the Identification and valuation of land in one municipality owned by another municipality. Used by the Bureau of Local Assessment during the property valuation certification process to review current values of parcels based on the historical figures.

Retention Period:

Permanent.

Note: 1988 was the last year of state valuation of these properties.

59 MGL 5D-F.

### 8 Property Valuation Certification Records

Documents the review process of city and town local assessment classification and valuations of taxable property to certify that they represent full and fair cash value. Includes LA-3 sales reports and analysis; LA-9-12 certification audit forms; LA-10 assessment adjustment list and the locally assessed utility certification summary, certification LA-4, community submissions, field advisors' notes and folders, and related correspondence.

Retention Period:

Retain 3 years.

58 MGL 1, 1A, 4-4C; 59 MGL 2, 2A, 3F, 18, 38.

### 9 Tax Abatement Authority Requests Records

Documents DOR Local Services processing and response to specific requests from local officials for the Commissioner of Revenue's authorization to abate locally assessed taxes or excises, interest or penalties; rates or other charges. Includes initial written request from petitioner, requests for additional information from the Commissioner, and related correspondence.

Retention Period:

Retain 3 years.

58 MGL 8.

### 10 Land of Low Value (Affidavit to Foreclose) Records

Documents the Commissioner's action upon a request for an affidavit of land of low value for foreclosure purposes and, where appropriate, the execution and issuance of such an affidavit. Includes written requests, statements and documentation from applicant demonstrating essential facts, affidavit if approved or letter of denial.

Retention Period:

Permanent.

60 MGL 79.

### 11 Property Valuation Compliance Program Records

Documents ongoing efforts to assure that municipalities are in compliance with full and fair cash value standards. Includes local studies and initiatives, interim year adjustment reports, program recommendations, and related correspondence.

Retention Period:

## L7 DOR Local Assessment

Retain 6 years.

58 MGL 1, 1A, 4-4C; 59 MGL 2, 2A, 3F, 18, 38.

### 12 Equalized Property Valuations (EQVs)

Documents the Bureau of Local Assessments establishment of Equalized Valuations every 2 years. These are the estimate of the full and fair cash value of all taxable property in the Commonwealth as of a certain taxable date. Includes for each municipality: appraisal reports, community sales report submissions, summary analysis forms and proposed and final EQV determinations. Also includes biennial report as accepted by the legislature.

#### Retention Period:

- (a) Biennial Reports: Send copies to the State House Library.
- (b) All other records: Retain 4 years.

58 MGL 9-10C.

### 13 Utility Valuation Certification Records

Documents the valuation process of certain taxable utility personal property to establish the full and fair cash value. Includes annual reports of telephone, gas, and petroleum pipeline values; company returns; bureau analysis and valuation determinations; and related notes and correspondence.

#### Retention Period:

- (a) Utility Valuation Reports: Permanent.
- (b) All other records: Retain 3 years.

59 MGL 38A; 59 MGL 39-42.

### 14 Farmland Valuation Advisory Commission Records (FVAC)

Documents the activities of the five member multiagency commission which is responsible for determining and publishing annually the acre value ranges for agricultural and horticultural land. Includes minutes, valuation reports, and related notes and correspondence.

#### Retention Period:

Permanent.

Note: DOR is chairman and holds the official minutes.

61A MGL 11.

### 15 Omitted and Revised Assessments and Rollback Tax Records

Provides a record of annual information reports of Omitted and Revised Assessments and Rollback taxes submitted by municipalities with supporting documentation. Used for monitoring purposes.

#### Retention Period:

Retain 1 year.

59 MGL 75, 76; 61A MGL 13.

### 16 Owners Unknown Assessment Records

Documents the Commissioner's certification that a board of assessors after reasonable diligence cannot ascertain the true owner of a parcel of taxable real estate. The certification authorizes the Board of Assessors to make an assessment to Owners Unknown. Includes a written request from the board of assessors, a report of the board's efforts to determine the true owner with appropriate supporting documentation, and a letter from DOR firmly authorizing the assessment of owners unknown.

#### Retention Period:

Permanent.

59 MGL 11.

### 17 Assessor Training Records

Documents the training of local assessors as required by DOR regulations. Includes applications, test results, and summary list of certified assessors.

#### Retention Period:

- (a) Summary list of certified assessors: Permanent.
- (b) All other records: Retain for the potential licensing period plus 3 years.

## L8 Child Support

### 1 Child Support Enforcement Case Files



## L8 Child Support

Documents cases relating to applications from individuals seeking to establish or enforce orders for child support. Includes application for Child Support Enforcement Services, parent's support agreements, copies of court orders, financial background support materials, levy and lien documentation, and related correspondence.

Retention Period:

Retain 3 years after close of case.

14 MGL 1A; 119A MGL; Title IV, Part D of the Social Security Act (42 USCA 651); 273 MGL; 273A MGL; 45 CFR 74.53; 45 CFR 301, 302.15, 303.2.

### 2 Child Support Unassigned Assets and Property Records

Documents information relating to abandoned property, undistributed funds, unidentified collections, or other undesignated assets in Child Support accounts.

Retention Period:

Retain 10 years.

Note: Review report titles before any destruction to determine if any reports warrant a longer retention period.

### 3 DOR Child Support Problem Resolution Case Files

Documents the review and enforcement of child support payment provisions. Includes inquiries, wage attachments, worksheets, support, and related correspondence.

Retention Period:

Retain 6 years after final activity.

### 4 Child Support Account System Monitoring and Control Reports

Documents information relating to the processing and monitoring of Child Support accounts. These reports are computer generated.

Retention Period:

3 years or until administrative use ceases, whichever period is longer.

Note: Review report titles before any destruction occurs to determine in any reports warrant a longer retention period.

## L9 Underground Tank

### 1 Municipal Underground Storage Tank Reimbursement Program Records

Documents the program that grants funds to municipalities as reimbursements for costs incurred in removing and/or replacing underground storage tanks. Reimbursements are met by matching municipal funds. Includes reimbursement requests and approvals, background support materials, and related correspondence.

Retention Period:

Retain 6 years after final claim activity.

Note: Files of the 'Underground Storage Tank Petroleum Product Cleanup Fund Administrative Review Board' are maintained by the Department of Revenue.

21J MGL.

### 2 Underground Storage Tank Claim Records

Documents claims for reimbursement from underground tank owners for environmental cleanup costs. Includes reimbursement claims, proof of payment of all cost obligations, inspection field notes and reports, board approvals and denials, claim appeals, claim litigation records, reimbursement payment vouchers, and related correspondence.

Retention Period:

Retain 6 years after final claim activity.

Note: Files of the 'Underground Storage Tank Petroleum Product Cleanup Fund Administrative Review Board' are maintained by the Department of Revenue.

21J MGL.

### 3 Underground Storage Tank Fees Records

Documents the payment of fees imposed on the use of a dispensing facility at the site of delivery of petroleum product. Fees are assessed for each delivery and an annual fee per tank. Includes fee collected and payable documentation, fee deposit documentation, and related correspondence.

## L9 Underground Tank

### Retention Period:

Retain 6 years after final claim activity.

Note: Files of the 'Underground Storage Tank Petroleum Product Cleanup Fund Administrative Review Board' are maintained by the Department of Revenue.

21J MGL.

## L10 Bank

### 1 New Charter and Holding Company Acquisition Records

Documents petitions for which public hearings are required and involve the Board of Bank Incorporation's decisions relative to depository institutions. Includes petitions and support materials, hearing transcripts, board decisions, and related correspondence.

### Retention Period:

- (a) Massachusetts based institution is a party to transaction. Permanent
- (b) All other transactions, 6 years

### 2 Annual Report Submissions

Documents reports required to be submitted to the commissioner of banks by banks, credit unions, consumer finance companies, financial services companies, mortgage companies, and other fiscal entities. Includes locations of offices and branches, operating officers, directors or trustees, and conduct and condition.

### Retention Period:

Retain 3 years.

167 MGL 13.

### 3 Bank Structure Records

Documents the process to petition changes to the organization or physical structure of banks and credit unions such as office closure or relocation, adding branches, mergers, acquisitions, asset purchase-liability assumptions, or by-law changes. Includes petitions legal briefs, public comments, public hearing documentation, approval or denial letters or "decisions" and related supporting materials.

### Retention Period:

Retain 6 years.

Note: Changes will be reflected in annual reports.

### 4 Bank Examination Records

Documents the commissioner of banks' annual examination of all banks and credit unions under his supervision to determine if they can fulfill their obligations and if they are in compliance with applicable law. Includes examination reports by Division of Banks examiners, returns to the commissioner, records of examinations, certificates and acknowledgements, and related correspondence.

### Retention Period:

- (a) Bank examination work papers: Retain 3 years.
- (b) All other records: Retain 6 years.

Note: Records may be subject to court proceedings and must be kept for 6 years under the provisions of 167 MGL 9.

167B MGL; 167 MGL 2; 167 MGL 9.

### 5 Special Examinations Records

Documents examinations that may be required to respond to important situations that may require remedial action by entities under Division of Banks oversight such as Y2K. Includes reports and background work papers.

### Retention Period:

- (a) Reports: Retain 6 years.
- (b) Work papers: Retain 3 years.

### 6 Licensing Records

Documents the process of issuing and monitoring licenses to all Division of Banks licensed entities such as check cashiers, collection agencies, mortgage brokers, and small loan agencies. Includes applications, financial disclosures, surety bond copies, regulatory oversight documents, fees and revenues documentation, and related correspondence.

**L10 Bank**Retention Period:

- (a) Summary logs or listings of current and former licenses as well as unsuccessful applications with status cited: Permanent.
- (b) Original licenses and substantive support materials: Permanent.
- (c) Routine license renewal records: Retain 3 years.
- (d) Surrendered, Withdrawn, Non-renewed, Exempt, or Denied Applications: Retain 3 years.

169A MGL.

**7 Licensee Examination Records**

Documents the annual examination of Division of Banks licensed entities for compliance with regulations and statutes. Includes examiners work papers and final reports.

Retention Period:

- (a) Licensee Examination Reports: Retain 6 years.
- (b) Work papers: Retain 3 years.

93 MGL 140 MGL; 167 MGL; 167F MGL; 169 MGL; 169A MGL; 255B MGL; 255C MGL 255D MGL; 255E MGL.

**8 Banks Under Regulatory Order Records**

Documents banks whose status has been suspended due to dire circumstance or crisis.

Retention Period:

Review by the Archives 6 years after administrative use ceases.

**9 Liquidation and Conversion Records**

Documents the case histories of banks that have failed, been converted, or liquidated. Includes a consolidation of substantive information and documents about the bank.

Retention Period:

Permanent.

**10 Consumer Complaint Records**

Documents consumer complaints into bank business practices. Includes complaints, hearing materials and transcripts, and related correspondence.

Retention Period:

- (a) Routinely disposed of complaints: Retain 3 years.
- (b) All other records: Retain 6 years after case closure.

**11 Loan Appeal Board Case Files**

Documents consumer and financial institution appeal to the Division of Banks loan review board regarding mortgage and small business loan denials. Includes appeals, case materials, determinations, and related correspondence.

Retention Period:

Retain 3 years.

167 MGL.

**L11 Insurance****1 Insurance Licensing and Filings Register**

Provides a listing of agent/broker producers of insurance policies and sales. Lists include individual advisors licensed in Massachusetts, agencies licensed in Massachusetts, A and H agencies, Public Fire Loss Adjusters, Surplus Line Brokers, Life Agencies, Motor Vehicle Damage Appraisers, P and C agencies, and others.

Retention Period:

Permanent.

Note: An insurance producer is a person required to be licensed to sell, solicit, or negotiate insurance in the state.

**L11 Insurance****2 Insurance Company Licensing Records**

Documents the licensing of insurance companies such as property and casualty, life accident and health, title, fraternal, and health insurance companies to issue policies or contracts in Massachusetts. Includes insurance company applications, examinations of companies (including out of state foreign doing business in Massachusetts), history and activities, personnel and earnings, annual report submissions, financial statements, renewal materials, withdrawal notifications, Articles of Organization, foreign corporate certifications (showing licensure in another state), partnership agreements, Amended Articles of Organization and dissolution, corporate merger documents, and related correspondence.

Retention Period:

- (a) Routine facilitative processing materials: Retain 1 year.
- (b) Denied applications: Retain 3 years.
- (c) Insurance Company Licensing documentation: Retain 6 years after current licensing period ends.

## Notes:

- 1. Carry forward any materials from previous registrations necessary to complete the current filing.
- 2. Annual Statements also retained by National Association of Insurance Commissioners. 175 MGL 25.
- 3. Viatical Settlement or Loan Corporations (who sell the policies of individuals who are dying) must submit filings but are not required to be licensed. Retain records as per above.

175 MGL 25, 32, 151.

**3 Insurance Company Powers of Attorney Records**

Allows an insurance company to insure an applicant for registration of a motor vehicle. Includes powers of attorney and related business transactions and correspondence.

Retention Period:

Retain 6 years after inactive.

90 MGL 34 A,B.

**4 Surplus Lines Company Licensing Records**

Documents the licensing of surplus lines insurance companies to sell insurance not handled well by standard carriers and aids in the collection of a premium tax on premiums written by the agent and placed with a surplus lines company. Includes company applications, affidavits, examinations of companies (including out of state foreign doing business in Massachusetts), history and activities, personnel and earnings, financial statements, renewal materials, withdrawal notifications, Articles of Organization, foreign corporate certifications (showing licensure in another state), partnership agreements, Amended Articles of Organization and dissolution, corporate merger documents, and related correspondence.

Retention Period:

- (a) Routine facilitative processing materials and affidavits: Retain 1 year.
- (b) Denied applications: Retain 3 years.
- (c) Insurance Company Licensing documentation: Retain 6 years after current licensing period ends.

## Notes:

- 1. Carry forward any materials from previous registrations necessary to complete the current filing.
- 2. Annual Statements also retained by National Association of Insurance Commissioners.

**5 Risk Retention/Purchasing Group Registration Records**

Documents the application to form a Risk Retention Group as required by 176L MGL. Includes applications, support materials such as annual statements and related correspondence.

Retention Period:

- (a) Routine facilitative processing materials: Retain 1 year.
- (b) Denied, incomplete, or withdrawn applications: Retain 3 years.
- (c) Licensing case files and all other records: Retain 6 years after current licensing period ends.

## Notes:

- 1. Carry forward any materials from previous registrations necessary to complete the current filing.
- 2. Annual Statements also retained by National Association of Insurance Commissioners.

176L MGL.

**L11 Insurance****6 Workers Compensation Self-Insurance Group Registration Records**

Documents the application to form a workers' compensation self-insurance group as required by 152 MGL e-u. Includes applications, support materials such as annual statements and related correspondence.

Retention Period:

- (a) Routine facilitative processing materials: Retain 1 year.
- (b) Denied, incomplete, or withdrawn applications: Retain 3 years.
- (c) Licensing case files and all other records: Retain 6 years after current licensing period ends.

Note: Carry forward any materials from previous registrations necessary to complete the current filing.

152 MGL E-U

**7 Business Entity Insurance Licensing Records**

Business entity producer licensing documents the application, examination, and licensing of insurance business entity producers; allowing them to sell, solicit or negotiate insurance in the state, this includes both resident and non-resident producers. Business entity licensing records also include new applications and renewal applications. Business entity records may include the following: banks, auto clubs, public insurance adjusters, advisers, reinsurance intermediaries, viatical settlement or loan brokers and viatical representatives, agent batched appointments, agent renewals. Business entity records may include articles of organization, foreign corporate registrations, certificates of existence, letters of good standing, partnership agreements, corporate member lists, complaint, and disciplinary, summaries and related correspondence.

Retention Period:

- (a) Batched agent appointments, faxes articles of dissolution, foreign corporate registration, certificate of existence, letters of good standing, partnership agreements, corporate member lists, complaint and disciplinary summaries, name changes and terminations: 1 year
- (b) Business entity agent renewals: 3 years
- (c) Duplicate license requests: 1 month

Notes:

1. Carry forward any materials from previous registrations necessary to complete the current filing including the original licensing application.
2. Information on producers is also maintained by the insurance companies, the National Association of Insurance Commissioners (NAIC), the Producers Database PDB (NIPR), and the DOI PDB database. Any information in files duplicating information in the NAIC or PDB database may be discarded after administrative use ceases.
3. An insurance agent is an individual who is licensed by a state to sell insurance for one or more specific insurance companies.
4. A broker is an independent agent who represents the buyer, rather than the insurance company, and tries to find the buyer the best policy by comparison shopping.
5. An insurance producer (formerly referred to as insurance agent/broker) is an individual who is required to be licensed to sell, solicit, or negotiate insurance in the state.
6. Viatical Settlement or Loan agent/brokers (who sell the policies of individuals who are dying) must submit filings but are not required to be licensed. Retain records as per above.

**8 Individual Insurance Licensing Records**

Individual producer licensing documents the application, examination and licensing of insurance procedures allowing them to sell, solicit or negotiate insurance in the state; includes both resident and non-resident producers. Individual licensing records also include public insurance adjusters, reinsurance intermediaries, advisers, viatical settlement or loan brokers, viatical representatives and motor vehicle damage appraisers. Records may include new applications, renewal applications, exam score report, results, complaint and disciplinary summaries, and related correspondence.

Retention Period:

- (a) Batched individual appointments, faxes, individual name changes, individual name changes, and individual terminations: 1 year
- (b) Batched individual appointment renewals: 3 years
- (c) All individual renewal applications: 6 years
- (d) Original broker applications, original producer applications, original transitional applications: 20 years
- (e) Duplicate license requests: 1 month
- (f) Motor vehicle damage appraiser original applications: 20 years, renewals: retain 6 years

Notes:

1. Carry forward any materials from previous registrations necessary to complete the current filing including the original licensing application.
2. Information on producers is also maintained by the insurance companies, the National Association of Insurance Commissioners (NAIC), the Producers Database PDB (NIPR), and the DOI PDB database. Any information in files duplicating information in the NAIC or PDB database may be discarded after administrative use ceases.
3. An insurance agent is an individual who is licensed by a state to sell insurance for one or more specific insurance companies.
4. A broker is an independent agent who represents the buyer, rather than the insurance company, and tries to find the buyer the best policy by comparison shopping.
5. An insurance producer (formerly referred to as insurance agent/broker) is an individual who is required to be licensed to sell, solicit, or negotiate insurance in the state.

## L11 Insurance

6. Viatical Settlement or Loan agent/brokers (who sell the policies of individuals who are dying) must submit filings but are not required to be licensed. Retain records as per above.

175 MGL 8G, 25; 175 MGL 163-166.

### 9 Special Risk Broker Licensing Records-Surplus Lines

Documents the licensing and subsequent filings of special risk brokers surplus lines brokers who sell insurance that standard carriers cannot handle effectively, such as for floods or earthquakes. Includes applications, examination, and licensing of both domestic and foreign (out of state) brokers, complaint and disciplinary summaries, filings such as Surplus Lines Company Annual Business Activity Report and Special Brokers Annual Return of Business Filings.

#### Retention Period:

All documents: including applications: 20 years

175 MGL 168.

### 10 Insurance Policy Forms and Rate Filings

Documents the approval of life, property, and casualty insurance policies (including workers compensation) for sale by licensed insurance companies and all subsequent policy form, rule and rate filings. Includes policy forms, rule and rate filings, support materials, authorizations and certifications, and related correspondence.

#### Retention Period:

(a) Approved policy documentation: Retain 6 years after inactive.

(b) Disapproved policy materials: Retain 3 years.

Notes:

1. Approved policies have no renewal or expiration date.
2. Carry forward any materials from previous filings to complete the current filing.

175 MGL 22A, 108, 132; 152 MGL.

### 11 Health Insurance Policy Forms, Rates, and Statistical Filings

Documents the process to approve and/or accredit health insurance plans and any subsequent filings as required by statute for insurance companies, nonprofit hospital and medical services corporations, dental service corporations, fraternal organizations, and optometric service corporations offering managed care plans. Includes policy forms, applications, rates, statutory, regulatory, and statistical filings support materials, and related correspondence.

#### Retention Period:

(a) Approved policy forms, applications, rate, statutory and regulatory filings: Retain 6 years.

(b) Rate and statutory, regulatory, and statistical filings reporting: Retain 3 years.

(c) Disapproved or inactive policy form; rate; statutory, regulatory, and statistical filings and reporting, and support materials: Retain 3 years.

(d) individual long-term care insurance form and rate filings: Retain 50 years.

Note: Carry forward any materials from previous applications as deemed necessary.

### 12 Group Marketing Plan Records

Documents the approval of group marketing plans for automobile and homeowners insurance that allows for group discounts pursuant to 175 MGL 193R. Includes submissions and support materials, authorizations and certifications, and related correspondence.

#### Retention Period:

(a) Approved filing documentation: Retain 6 years after inactive.

(b) Disapproved plan materials: Retain 3 years.

Notes:

1. Plan renewal period is 3 years.
2. Carry forward and materials from previous filings to complete current filing.

175 MGL 193R.

**L11 Insurance****13 Workers Compensation Preferred Provider Arrangement (PPA) Records**

Documents the filing and approval of contractual arrangements between insurers, employers, and managed care entities to allow injured workers to be directed to participating managed care facilities pursuant to 211 CMR 112. Includes arrangements and support documentation, review materials, Commissioner's approvals, arrangement monitoring documentation, and related correspondence.

Retention Period:

- (a) Approved arrangements documentation: Retain 6 years after inactive.
- (b) Disapproved arrangement materials: Retain 3 years.

Note: Arrangements are renewed annually.

152 MGL 30; 176I MGL 8(a); 211 CMR 112.

**14 Consumer Insurance Education Program Records**

Documents the DOI program created to provide potential insurance clients with information on methods to protect themselves against unnecessary risks, determining needs, and setting realistic objectives. Includes education materials, publications, program administrative records, testimonials, and related correspondence.

Retention Period:

- (a) Substantive planning documentation and summary presentation materials: Permanent.
- (b) All other records: Retain until administrative use ceases.

**15 Insurance Company Market Conduct Records**

Documents the on-going periodic examination, review, and analysis of insurance companies, self-insurance groups, and small mutual insurance groups' relating to their business practices, fiscal solvency, and fraud potential. Reports may be used to help determine the standing of out-of-state companies wishing to do business within their state. Includes final market conduct reports, support documentation, and out-of-state market conduct reports, letters of good standing, and other information gathered under the authority of 175 MGL 4.

Retention Period:

- (a) Market conduct reports and materials from other states but impacting Massachusetts: Retain 6 years.
- (b) All other records: Retain until potential for licensing has elapsed plus 6 years or 10 years after inactive, whichever period is longer.

174 MGL 4.

**16 Continuing Education Course Review Records**

Documents approval by the Commissioner of continuing education courses to be taken by producers to maintain licensure.

Retention Period:

Retain 3 years (The licensing period).

**17 Insurance Company Fiscal Review/Audit Records**

Documents the ongoing monitoring and review of licensed companies, ( including fraternal benefit societies' such as fraternal orders and lodges) and producers' financial practices. Includes company filings, review documentation, final audit reports, and related correspondence.

Retention Period:

Retain 6 years after review closed or until next review is completed: whichever period is longer.

**18 Prohibited Persons Business Application Records**

Documents applications for written consent to engage in the business of insurance from individuals deemed prohibited persons under 18 U.S.C. 1033, by virtue of state or federal convictions for crimes of dishonesty or breach of trust.

Retention Period:

Retain 20 years.

18 USC 1033.

**19 Consumer Inquiries and Complaints Records**

Documents the handling of routinely disposed of inquiries and complaints from individual insured clients or potential clients relating to insurance firms, agents, or transactions. Includes inquiries, letters of complaint, support materials, and related correspondence.

Retention Period:

- (a) Withdrawn, non-jurisdictional, or incomplete inquiries and complaints: Retain 6 years.

**L11 Insurance**

- (b) Routinely disposed of complaints: Retain 6 years.
- (c) Commissioner's complaint files: Retain 6 years.
- (d) All other records: Retain 6 years after case closure.

Note: Files may contain restricted information.

**20 DOI Legal Process Records**

Documents the receipt of a complaint and summons served to a foreign company via the Division (service of process), and other legal process documentation. Includes complaint, summons, small claims, subpoenas, keeper of records correspondence, and other related correspondence.

Retention Period:

Retain 6 years after inactive.

Note: The Commissioner has authority to accept service of legal process in lawsuits involving insurance companies organized out of state but who are licensed to do business in Massachusetts. Copies of the legally served documents are forwarded to the foreign insurance company.

175 MGL 151(3), 154.

**21 Insurance Investigation and Enforcement Case Files**

Documents the investigation and subsequent prosecution by the DOI Special Investigations Unit (SUI) of brokers, advisors, adjusters, insurance companies, and health maintenance organizations for violations of insurance law and regulations. Includes letters of complaint, subpoenas, background and evidentiary materials, depositions, oaths and affirmations, requests for opinions, foreign service of process filings, administrative action documentation, and related correspondence.

Retention Period:

- (a) Landmark or policy-setting cases: Permanent.
- (b) All other records: Retain 20 years after final settlement or action.

Note: Some cases may be referred to the Attorney General or other enforcement bodies.

26 MGL 7.

**22 Motor Vehicle Insurance Appeal Records**

Documents appeals cases heard by the DOI Board of Appeal on motor vehicle liability policies and bonds. Appeals include motor vehicle accident surcharges, license revocation decisions, and automobile insurance cancellations. Records include appeal applications, witness testimony, documentary and physical evidence, board proceedings, decisions, and related correspondence.

Retention Period:

- (a) Case files: Retain 90 days from final disposition.
- (b) Cases appealed to the Supreme Court: Retain 6 years from final disposition.
- (c) Case logs and decision summaries: Permanent.

26 L 8A; 175 MGL 113B, P; 90 MGL 28; 175 MGL 113D; 801 CMR 1.00. 30A MGL 14.

**23 DOI Administrative Law Case Files**

Documents insurance rate setting cases as well as cases relating to the administration and enforcement of insurance laws. Includes administrative complaints, requests for hearings, answers, background support materials, motions, orders and answers, exhibits, evidence, settlement or consent order documentation, decisions and final orders, notices of appeal, notices of hearings, hearing transcripts, and related correspondence.

Retention Period:

- (a) Routine court procedural administration records such as Docket Clerk correspondence: Retain until administrative use ceases.
- (b) Exhibits that will not be a factor in appeals: Retain until final case closure.
- (c) Decisions: Permanent.
- (d) Landmark or newsworthy cases that set benchmarks or precedent: Permanent (for all records and materials).
- (e) Cases involving fiscal acquisition, merger, or reorganization: Retain 20 years and then subject to review by the Archives.
- (f) Rules and regulations cases: Retain 20 years.
- (g) Rate setting cases: Retain 20 years.
- (h) All other records: Retain 6 years after final action or appeal.
- (i) Hearing proceedings tapes: Retain 3 years.

26 MGL 1; 175 MGL 113P; 90 MGL 28.



**L11 Insurance****24 Insurance Company Restructuring Records**

Documents transactions relating to the restructuring or reorganization of insurance companies necessitating review and approval by DOI such as mergers, acquisitions, re-domestications, de-mutualizations, and conversions. Includes applications, review support materials, hearing documentation, final DOI decisions and orders, post-decision civil docket information of state or federal court, and related correspondence.

Retention Period:

Retain 20 years and then subject to review by the Archives.

**25 Insurance Company Insolvency Records**

Documents DOI's role where either a domestic or foreign insurance company, for reasons of financial instability, has been placed under the supervision of a court appointed receiver such as DOI. The receiver manages the day to day business of the insurer and accounts to the court. Includes petitions to the Supreme Judicial Court for appointment of a receiver or ancillary receiver, receivers reports and accounting, litigation files, claims activity, domestic receiver correspondence, and other related materials and correspondence.

Retention Period:

- (a) Petitions to the Supreme Judicial Court for appointment of a receiver or ancillary receiver: Permanent.
- (b) Receiver's reports and accounting: Permanent.
- (c) All other records: Retain 50 years and then subject to review by the Archives.

**L12 Treasurer****1 Treasurer Accounting Systems Records**

Documents posting of account activity to Treasurer's accounts. Includes deposit sheets, bank statements, bank reconciliation reports, daily transaction register, cash receipt and disbursement records, checks and warrants, and related records and correspondence.

Retention Period:

- (a) Account Establishment records: Permanent.
- (b) Treasurer General Ledgers, Subsidiary Ledgers, Trial Balances, Treasurer/Comptroller year-end reconciliation reports, and reports mandated by statute: Permanent.
- (c) All other records: Retain 6 years.

Note: See also record series "Cash Management Records".

**2 Treasurer Cash Management Records**

Documents the flow of funds within cash management department accounts. Funds originate from federal grant and aid disbursements and matching state funds, general revenues such as lottery sales (State Lottery Fund), are deposited into appropriate treasurer accounts or trusts and then disbursed to appropriate places such as for local aid to municipalities. Includes bank statements, deposit slips, cancelled checks, check registers, electronic funds transfers, cashiers register, and related reconciliation worksheets, reports, and correspondence.

Retention Period:

- (a) Cancelled checks and warrants registers: Permanent.
- (b) Cancelled checks and warrants: Retain 15 years.
- (c) All other records: Retain 6 years.

**3 Cash Forecasting and Positioning Records**

Documents the physical receipt, placement, and tracking of Agency (Authority) revenues and income into Agency designated accounts or short-term investment vehicles. Accounts include current expenditure, trust, maintenance, or debt-service. Includes Daily Cash Sheets, Cash investment documentation, transfer approvals, Trustee Reports: Monthly Journal Entries, Interest income work papers, Investment Holding Reports, electronic files transfers.

Retention Period:

- (a) Retain 6 years.
- (b) Work papers and facilitative transactions such as wire transfers and confirmations: Retain 3 years.

**4 State Depository Agreement Records**

Documents banks wishing to become approved as depositories of state funds. Applications must be approved by State Treasurer who issues a Certificate of Qualified Public Depository upon approval. liability agreements, security agreement, authorized representatives,

Retention Period:

Retain 6 years after withdrawal from program.

**L12 Treasurer****5 Treasurer Investment Records**

Documents the administration and monitoring of state investments for performance. Up to 20% of state's moneys may be invested in US Treasury and US Agency Securities. Includes re-purchase agreements, marketing, domestic equity, and trade reports.

Retention Period:

(a) Summary reports: Permanent.

(b) All other records: Retain 10 years.

**6 Treasurer Land and Deed Records**

Documents lands deeded to the Commonwealth through [escheatment, reverting to the State], eminent domain, gift, or bequest. Includes transfer of title, original recorded deeds, title insurance policies, legal support materials, and related correspondence.

Retention Period:

Permanent.

29 MGL 40.

**7 Public Protection Performance Bond Filings**

Documents bonds filed with the Treasurer to ensure the public and the state are fiscally protected from losses, damages, or injuries relating to those who handle monies, blast rock, put on fireworks displays, and other individuals required to file with the Treasurer per various statutes. Includes bonds and associated correspondence.

Retention Period:

Retain 6 years after bond becomes inactive.

**8 Public Official Performance Bond Filings**

Documents the filing of original executed bonds by officeholders, before entering office, for faithful performance of duty as set forth by statute. Sureties guaranteeing payment in case of officeholder default.

Retention Period:

(a) Official Bond Registers or other summaries: Permanent.

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

Notes:

1. Bonds for municipal officials are filed with the city or town clerk.

2. Oaths of office are retained by the Secretary of State's Office.

11 MGL 1.

**9 Deferred Compensation Plan Records**

Documents the program to provide an alternative and/or supplemental retirement plan for state employees and contract employees. Plan is voluntary for state government workers except for certain temporary and seasonal employees. Includes bid documentation, negotiation documentation, final authorized deferred compensation plan, and monitoring and compliance support materials, filings, and reports.

Retention Period:

(a) Contract plan establishment and approval: Permanent.

(b) All other records: Retain 6 years after contract expires and all claims under the contract have been finalized.

Note: Daily administration of the plan is performed by various payroll offices.

**10 Games Establishment, Development, and Review Records**

Provides a record of the development of games. Includes planning documentation, notes, legal considerations, and related correspondence.

Retention Period:

Permanent.

**11 Games Administration Records**

Documents the Treasurer's role in the daily administration of games. Includes distribution documentation of tickets and books to agents, lost and stolen tickets information winnings summaries, drawing verification of winning numbers, regional offices documentation, lockbox provider records, routinely disposed of inquiries and complaints, and related correspondence.

Retention Period:

Retain 6 years.

## L12 Treasurer

### 12 Lottery Sales Agent Licensing Records

Documents the licensing of persons to sell lottery tickets. Includes applications, support materials, background checks, and related correspondence.

Retention Period:

Retain 6 years after licensing potential expires.

Note: KENO sales agents are included in this record series though they fall under separate legislation 10 MGL 22.

### 13 Charitable Gaming Licensing Records

Documents the licensing of persons to run games of chance, such as bingo, in order to benefit a non-profit charity. Includes applications, support materials, background checks, and related correspondence.

Retention Period:

Retain 6 years after licensing potential expires.

Note: KENO sales agents fall under separate legislation 10 MGL 22.

### 14 Lottery Claim Records

Documents routine and/or disputed claims for prize winnings. Includes claims, background materials, [claim validation form]decision support materials, and related correspondence.

Retention Period:

Retain 6 years.

### 15 Lottery Liens, Levies, and Orders Records

Documents any legal instructions or orders relating to claim payments such as assignments to a trust or estate, or intercepted in the case of child support payments.

Retention Period:

Retain 6 years after inactive.

### 16 Lottery Investigation and Enforcement Records

Documents the investigation of gaming agents, individuals, or entities for improper activities relating to games and gaming and any subsequent enforcement or prosecution actions. Includes complaint letters, subpoenas, background and evidentiary materials, depositions, requests for opinions, administrative sanction information, and related correspondence.

Retention Period:

- (a) Landmark, noteworthy, or policy setting cases: Permanent
- (b) All other records: Retain 6 years after final settlement or action.

### 17 Lottery Administrative Hearing Case Files

Documents Hearings and appeals for any and all aspects falling under delegated powers. Typically claims, agent licensing, agent fiscal solvency.

Retention Period:

Retain 6 years after close.

10 MGL 32.30A MGL.

### 18 Abandoned Property Program Records

Documents the tracking of yearly unclaimed property from financial institutions, cities and towns, insurance companies and corporations, Co-op Banks, National Banks, Trust Companies, Credit Unions, Corporations, Public Utilities, Savings Banks, Savings and Loans, and state agencies holding public funds such as Department of Revenue, as required by statute. Also documents claims to recover the property from potential owners. Includes Unclaimed Property Reports, tangible property and securities, claim documentation, and related correspondence.

Retention Period:

- (a) Unclaimed Property Reports: Permanent.
- (b) Abandoned Property Claims-Successful: Permanent.
- (c) Abandoned Property Claims-Denied: Retain 6 years after final claim activity.
- (d) Unclaimed tangible property and securities: Permanent.

Notes:

1. The State obtains the use of abandoned property assets for investment purposes under custodial law but does not receive title. Title remains open indefinitely until claimed. There is no statute of limitations on abandoned property claims.

**L12 Treasurer**

2. Successful claims need to be retained in case another claim is made for the same property in the future.  
200A MGL.

**19 Estate Public Administration Records**

Documents the tracking of probate estates for which a public administrator has been appointed to serve as the fiduciary of the estate pursuant to 194 MGL. In accordance with law when a public administrator is appointed, the state treasurer is made a party to the petition for administration and shall be given due notice of subsequent proceedings. Documents received by the treasurer include all probate filings and other documents ascertained by the administrator in furtherance of the administration of the probate estate. When a public administrator probates an estate for which there are no heirs, the balance of the probate estate escheats to the commonwealth and is held in the abandoned property fund. Prior to 1996 the function was performed by the attorney general's office.

Retention Period:

- (a) All probate documents received by the Treasurer from Attorney General subsequent to transfer of oversight function: Retain 7 years from the date estate was closed, or if closed at date of transfer, 7 years after date of transfer.
- (b) Probate documents received by the Treasurer for estates administered by public administrator when there are probate heirs: Retain 7 years from date the estate is closed.
- (c) Probate documents received by the Treasurer for estates administered by public administrators when there are no probate heirs and funds are escheated to the Commonwealth: Permanent.

Note: Probate Court has the official probate record.

**20 Treasurer Registered and Bearer Bond Program Records**

Documents the Treasurer's issuance of public bonds and subsequent cancellation of Commonwealth debt to bond holders. Includes bond issuance data, amount owed as principal, and on accrued interest basis, rights and obligations of the bond holder and of the Commonwealth, ownership transfers, bonds of indemnity (duplicate bonds), and coupon or payment support documentation.

Retention Period:

- (a) Bond establishment documentation such as official statements, legal documentation, and financial outlines: Permanent.
- (b) Comprehensive Annual Financial Report (CAFR): Permanent.
- (c) Central Registry of bonds issued and redeemed: Permanent.
- (d) Report of Bond Indebtedness: Permanent.
- (e) Debt-service fund handling, investment, and reporting documentation including for commercial paper and notes: Retain 6 years after all bonds issued under a particular bond title and payment duration reach defeasance.
- (f) Individual bond issuance debt-service histories: Retain 6 years after defeasance.
- (g) Facilitative transactions and work papers such as Debt Service draw downs: Retain 3 years.

Notes:

- 1. Commercial paper and notes are payments in anticipation of bond issuance.
- 2. Individual bond issuance histories may be maintained by contracted service providers.

**21 Obligation Bonds and Notes Program Records**

Documents the program to issue and manage loans to cities and towns in the form of general obligation bonds, special obligation bonds, commercial papers, and revenue notes for construction, public works, or other purpose. Includes bond issuance data, amount owed as principal, and on accrued interest basis, [debt service documentation] and payment support documentation.

Retention Period:

- (a) Summary listing or register of bonds and notes issuances: Permanent.
- (b) Bond establishment documentation such as official statements, legal documentation, and financial outlines: Permanent.
- (c) Comprehensive Annual Financial Report (CAFR): Permanent.
- (d) Debt-service fund handling, investment, and reporting documentation including for commercial paper and notes: Retain 6 years after all bonds issued under a particular bond title and payment duration reach defeasance.
- (e) All other records: Retain 6 years after final payment or settlement.

**22 Water Pollution Abatement Bond Program Records**

Documents the fiscal portion of the DEP program to loan money to cities and towns for construction projects relating to the reduction of water pollution. Federal Funds held in trust by the Treasurer to be disbursed to qualified applicants relating to reducing water pollution in local communities. Documents the application for bonds loans and subsequent disbursements of monies. Includes legal loan approvals and administration documents, Requests for Qualifications (RFQs), accounts payable documentation, disbursement materials, and related correspondence.

Retention Period:

- (a) Program establishment, development, and review documentation: Permanent.
- (b) Comprehensive Annual Financial Report (CAFR): Permanent.
- (c) Loan documentation: Retain 6 years after final loan payment or activity. Typical loans are paid out over a 30-year period.

**L12 Treasurer**

(d) Denied loan application materials: Retain 3 years after process is closed.

29C MGL.

**23 Veterans Bonus Program Records**

The documents the program established to grant bonuses to qualified veterans for military service. Includes applications, support documentation, and fiscal payment reconciliation records, and related correspondence.

Retention Period:

- (a) Summary Records : Permanent.
- (b) Denied applicants: Retain 3 years.
- (c) All other records: Retain 6 years after application process ends.

Note: Official bonus record held permanently by the Adjutant General's office of Military Affairs.

**24 Arts and Humanities Grant Program Records**

Documents the arts lottery program to grant funds for local arts and or humanities projects per 10 MGL. Includes grant applications and support materials, and decision documentation by local arts lottery councils.

Retention Period:

- (a) Summary records and establishment documentation: Permanent.
- (b) Denied applicants: Retain 3 years.
- (c) All other records: Retain 6 years after application process ends.

**25 Treasurer's Savings Bond Program Records**

Documents the program to provide savings bonds to state employees.

Retention Period:

- (a) Program summary records and establishment documentation: Permanent.
- (b) All other records: Retain 6 years.

**L13 Retirement and Benefits****1 Retirement Fiscal System Records**

Documents the administration and management of the Retirement financial system for state employees.

Retention Period:

- (a) General Ledger and other summary reports: Permanent.
- (b) All other records: Retain 6 years.

**2 Retirement Administration Records**

Documents state employees' benefits and retirement coverage from contracted group insurance bodies. Includes applications, personnel enrollment forms and payment histories, and acceptances, conditions and provisions, beneficiary documentation, election and changes to coverage, withdrawals or termination of coverage, COBRA documentation, superannuation retirement documents, disability retirement medical and other qualifying records, and related correspondence.

Retention Period:

- (a) Official records with the Board of Retirement: When filed as a group: Retain 20 years.
- (b) Otherwise, retain as for benefits case files.

32 MGL 1-28; 115 MGL 5; 29 CFR 1627.3(b)(2).

**3 Beneficiary Verification Forms**

Documents the Board of Retirement's mailings of forms to retirees to request any changes in address or other information.

Retention Period:

Retain 5 years.

**4 Pension Fraud Investigation Case Files**

Documents investigation by the Pension Fraud Unit of the Public Employee Retirement Administration Commission (PERAC) into alleged abuses of state pension payments. Includes complaints, copies of tax returns, testimony, investigator notes, and related correspondence.

Retention Period:

Retain 10 years after close.

## L 13 Retirement and Benefits

306 MGL.

### 5 Retirement System Account Audit and Monitoring Records

Documents the monitoring of state retirement accounts to ensure quality fiscal practices. Includes system audits, reports, notes, and related correspondence as required by PERA.

Retention Period:

Retain 6 years.

### 6 Employee Retirement, Disability, and Benefits Case Files

Documents employee enrollments in retirement, life insurance, and other insurance and benefits plans. Includes retirement applications, salary request forms, beneficiary options form, birth certificate, medical records, change of beneficiary forms, claims and payments, death certificates, furlough documentation, buyback and creditable service time documentation, refund and rollover documentation, superannuation documentation, federal tax returns of retirees, annual earning reports, and related correspondence.

Retention Period:

Retain 6 years after final payment or 75 years from date of retirement.

### 7 Retirement Pension Reserves Investment Management Records

Documents the contracting of Master Trust Custody Services, Mass State Teachers Employees Retirement Systems Trust, Domestic Equity Managers, International Equity managers, and to record and monitor the performance activity of the same, and to documents trading and payments into and out of the systems.

Retention Period:

- (a) Summary reports: Permanent.
- (b) All other records: Retain 6 years after close of contract.

Note: Managed by the Pension Reserves Investment Management Board (PRIM).

### 8 Employee Group Insurance Files

Documents the Group Insurance Commission's administration of life, health, long-term disability insurance, and dental/vision coverage for employees and retirees of the Commonwealth and their survivors and dependants. Includes GIC Application and Change Forms (Form 1), Insurance Data Forms (IDF), life insurance beneficiary forms (Form 319 and Form G-500), long term disability forms, dental/vision forms and accompanying documents such as marriage, birth, and death certificates, and related correspondence.

Retention Period:

Retain 6 years after final payment or 75 years, whichever period is shorter.

32A MGL.

### 9 Approval Letters

These are letters sent to boards with calculation approvals to determine benefits. This series includes: submission forms, worksheets, pro-ration letters and calculations.

Retention Period:

20 years

### 10 Appropriation Letters

This series is used to set appropriation amounts for all systems. Annual orders to appropriate sum to pay benefits. Produced annually. C. 32 s.22c

Retention Period:

50 years

Note: The Retirement Board retains a copy.

### 11 Reimbursement Letters

This series documents letters to boards notifying them of their pro-rated share of pension benefits due the State and Teachers' Retirement Systems.

Retention Period:

20 years

## L 13 Retirement and Benefits

Note: The Retirement Board retains a copy.

### 12 Local Actuarial Valuation Reports

This series documents the demographic study of the work force. These reports are required by c.32, s22c, 22d.

Retention Period:

50 years

Note: The Retirement Board retains a copy.

### 13 Commonwealth's Total Pension Obligation

This series includes state and teachers valuations and it is used to create Valuation Reports as required by C32 s. 21c.

Retention Period:

80 years

Note: State and Teachers Retirement Boards retain copies.

### 14 Data Questionnaires

This series is made up of related materials to prepare appropriation letters. This series is also uses in the appropriation letter process.

Retention Period:

5 years

### 15 Valuation Work Papers

This series includes the valuation runs, but is made up of the back –up documents used to produce valuations.

Retention Period:

5 years

### 16 Valuation Data Work Papers

Analysis of data received from board to produce valuation reports.

Retention Period:

2 years after final report

### 17 Non Valuated Data Work Papers

Analysis of data received from boards used to update records.

Retention Period:

1 year

### 18 PRIM Election Ballots

Election of State and Teachers Retirement Board Representatives to the PRIM Board, pursuant to G.L. c.32, s 23. These election are held every three years.

Retention Period:

90 days after election certification

### 19 Disability Unit File

This series provides documentation of disability approvals. This series contains: Medical Panel File, Comprehensive Medical Evaluation Files, Rehabilitation and Restoration to service file, and Restoration to Service Files.

Retention Period:

38 years

### 20 Annual Statements from Retirement Boards

Boards must submit annual statements to PERA. PERA verifies systems books to annual statement during audit.

Retention Period:

15 years

Note: Retirement Board retains a copy.

## L 13 Retirement and Benefits

### 21 Audit Reports of Retirement Boards

Chapter 32 requires PERA to audit all retirement systems once every three years.

Retention Period:

3 years

Note: Retirement board retains a copy.

### 22 Audit Work Papers

This series is work papers resulting from PERA's Audit of Retirement Boards. Chapter 32 requires PERA to audit all retirement systems once every three years.

Retention Period:

9 years

### 23 Supplementary Schedules

This series is a listing of supplementary schedules of member accounts in the retirement systems. Retirement boards are annually required to file supplementary schedules.

Retention Period:

9 years

### 24 Annual Statement of Earned Income

This series is a monitoring tool used to determine the income of retirees.

Retention Period:

10 years

### 25 Investigatory Files

This series are materials documenting possible criminal violations according to c 32, s. 91, 92. This series may include 91a forms, copies of tax returns, affidavits and third party records and testimony.

Retention Period:

10 years

### 26 Investigative Docket/Log

This series is used to record all acts of pension fraud pursuant to C.427 of the acts of 1996. This series includes mechanism of case referral in chronological order, which list includes date the case was referred, name of the caller or correspondent, subject, investigator, action, status and date of completion/file closed.

Retention Period:

10 years

### 27 Financial Statements

PERA is required by statute to monitor the investment performance of 106 retirement systems. This series includes: monthly cashbook entries, trial balances, journal entries, broker confirms, and custodial statements from 106 retirement systems and PRIT. These records are used to develop investment analysis report each year.

Retention Period:

5 years

Note: Retirement Board maintains a copy.

### 28 Year End Files

These files are used in preparation of annual report. This series includes: performance reports, appraisals, and income accruals.

Retention Period:

5 years

### 29 Revoked Waivers

Investment waivers (for investment managers of retirement boards) that have been revoked/terminated by PERA.



**L 13 Retirement and Benefits**Retention Period:

5 years

**30 Manager Waiver Files**

Boards must obtain Waiver approval from each investment manager under the provisions of G.L. c. 32, s. 23 (2) (g).

Retention Period:

Permanent in office

**31 Review of Investment Holdings**

Review of system portfolio to assess compliance with law/regulation.

Retention Period:

5 years

**32 Legal Opinions**

PERA provides legal assistance to retirement boards in the form of written opinions. This series includes, general correspondence for individual named board.

Retention Period:

Permanent

Note: Retirement Boards and PERA retain bound copies.

**33 Disability Remand Files**

Applications for accidental disability and death, and ordinary disability not approved by PERA and remanded to Board for further proceedings. C32, s.21.

Retention Period:

20 years

Note: The Retirement Board retains a copy.

**34 Certificates**

These certificates are used to establish the system and units as part of the retirement system.

Retention Period:

Permanent in office.

Note: The Retirement Board retains a copy.

**35 Litigation/Administration Files**

These files contain all pleadings filed by or served upon PERA, notes from hearings and often research materials utilized to prepare pleadings or to prepare oral arguments before the administrative agency.

Retention Period:

10 years

Note: Administrative agencies are the office of record.

**36 Judicial Litigation Files**

This series contains pleadings, official documents official documents served on PERA and research materials to prepare pleadings or arguments for court. These files are for litigation in both federal and state courts.

Retention Period:

10 years

**37 Subpoenas**

This series is for Worker's Compensation records and subpoenas for PERA records.

Retention Period:

5 years

Note: Office of the attorney who served the subpoena retains a copy.

## L 13 Retirement and Benefits

### 38 Gulf War Files

Information is used to determine creditable service of affected persons and has direct bearing on the liability of the system. This series is used to determine amount to be appropriated to the Special Fund for Military Service Credit for CY 1990 and 1991. c. 32 ss 22 (4) (a) and (7).

Retention Period:

50 years

Note: The Retirement Board retains a copy.

### 39 Acceptance Letters

This series is for the provisions of G. L. c. 254 of the Acts of 1990. This is also the Boards acceptance of ss. 90G 3/4 and 90J (over age 70).

Retention Period:

Permanent in office.

Note: Retirement Board retains a copy.

### 40 Legislative Comments

Comments on proposed and pending legislation.

Retention Period:

3 years

### 41 Department of Industrial Accidents Correspondence

Contains notification from Industrial Accident Board on all decisions, orders and agreements regarding workers compensation benefits for public employees (state and local). These are arranged by calendar year of notification and alphabetically by name, benefit, and recipient.

Retention Period:

3 years

Note: Retirement Board retains a copy.

### 42 Medical Panel Appointment Case Files

PERA is responsible for scheduling medical panel appointments and paying physicians. This series contains completed physicians reports and invoice warrants.

Retention Period:

7 years

Note: Retirement Board retains a copy.

### 43 Disability Retirement Case Files

PERA is responsible for approving all disability retirements granted by retirement boards.

Retention Period:

10 years

Note: Retirement Board retains a copy.

### 44 Supplementary Regulations

PERA approves supplementary regulations governing retirement system operations.

Retention Period:

Permanent in office.

## L 14 Alcoholic Beverages Control Commission

### 1 Commission Documents

The Alcoholic Beverages Control Commission (ABCC) is the general supervisor of the alcoholic beverages industry in Massachusetts. The ABCC documents licensed manufactures, wholesalers, importers, agents, brokers, solicitors, farmer-wineries and farmer-breweries, railroads, airlines, steamships, and other statewide activities including liquor transportation companies and storage warehouses.

Retention Period:

- (a) Retail Licensing Case Files: 7 years after business closes
- (b) Price Filing Compliance Files: 1 year
- (c) Wholesale Price Filing Compliance Files: 1 year
- (d) Credit Delinquents Lists: 1 year

**L 14 Alcoholic Beverages Control Commission**

- (e) Producer Wholesaler Licensing Files: 2 years
- (f) Corporate Certification Files: 2 years

Indices: Destroyed after entering into database, or 2 years from last entry.

## M1 Industrial Accidents and Injuries

### 1 Workplace Hazard Investigation Records

Documents investigations by the Division of Occupational Safety into potential hazards found at the workplace. Includes complaints, field reports and notes, air monitoring results, radiation results, recommendations, employer abatement verifications, employer responses, medical surveillance records, and related correspondence.

Retention Period:

Retain 6 years after close.

### 2 Occupational Safety and Health Reports

Documents safety and health at the workplace including reporting and inspection for compliance. Includes Occupational Injury and Illness reports and logs including OSHA forms 100,101,102,200 as prescribed in 29 CFR 1960 and OSHA pamphlet 2014 to document all recordable occupational injuries and illnesses for each establishment, and inspection notes and reports.

Retention Period:

- (a) OSHA accident logs: Permanent.
- (b) All other records: Retain 6 years.

149 MGL 3-6.

### 3 Workers Compensation Claim Impartial Medical Report (IMR) Records

Documents the processing of IMR requests as ordered by the Administrative Judge under 152 MGL 11A (Weld Reform Act of Workers Compensation, 1992). IMRs are used to assist the Judge in the settling of medical claim appeals. Includes appeal for IMR form 121, appeal filing fees checks, filing fee refund documentation (where request was withdrawn before report was produced), IMR with signed Conflict Disclosure Form, and payment vouchers.

Retention Period:

- (a) Completed requests and refunded requests: Retain 10 years.
- (b) Filing fee support documentation: Retain 10 years.
- (c) Incomplete or non-jurisdictional requests: Retain until administrative use ceases.

Note: IMR Reports and medical information are retained in the "Workers Compensation Administrative Law Court Case Files (M1-5)"

### 4 Workers Compensation Trust Fund Records

Documents the administration of a trust fund used to pay for non-insured worker's compensation claims from monies paid by insurers on a percentage basis. Includes appropriation amounts, payment support materials, fiscal reports, and related correspondence.

Retention Period:

- (a) General ledger reports: Review by the Archives after 75 years.
- (b) Primary copies of payment support documentation and transaction postings: Retain 6 years.
- (c) Lockbox or service providers records: Retain 6 years.
- (d) Secondary copies of payment support documentation and account reconciliation materials: Retain 3 years.

### 5 Workers Compensation Self-Insurers Records

Documents filings from businesses providing their own insurance for their employees. Includes self-insurers identification documentation and support materials, and related correspondence.

Retention Period:

Retain for the life of the business plus 6 years.

### 6 Workers Compensation Administrative Law Court Case Files

Documents determinations of the Industrial Accident Board regarding compensation for accident or job-related illness of any worker employed in the Commonwealth of Massachusetts.

Retention Period:

Retain 40 years.

Notes:

1. Second Reports of injury may be placed at any time after first report of injury for the life of the claimant although for practical purposes reclaims occur within a 20 year period.
2. See also record series "Employee Medical and Personal Records (E4-6)".

## M1 Industrial Accidents and Injuries

### 7 Workers Compensation Insurance Claim Files

Documents insurance compensation claims by state employees for injury or illness incurred during the performance of agency business. Includes incident reports, accident reports, physicians reports, administrative court determinations, hearings and appeals determinations, claims paid with invoice warrants, Department of Industrial Accidents correspondence, and other related correspondence.

Retention Period:

(a) Human Resources Workers Compensation Unit copies: Retain 40 years. (b) Agency Human Resources copies: Retain 6 years unless a longer period is required by agency legal counsel.  
(c) All other copies: Retain 6 years.

Notes:

1. Second Reports of injury may be placed at any time after first report of injury for the life of the claimant although for practical purposes reclaims occur within a 20 year period.
2. See also record series "Employee Medical and Personal Records (E4-6)".

32 MGL 152.

### 8 Workers Compensation Litigation Case Files

Documents the representation of state agencies in worker's compensation cases brought before the Department of Industrial Accidents. Includes IAB documents, medical reports, attorney work product, investigatory surveillance, and related correspondence. Contains all pleadings filed or served upon the Workers Compensation Division of Human Resources, notes from hearings and often research materials utilized to prepare pleadings or to prepare oral arguments before the administrative agency.

Retention Period:

Retain 50 years.

Notes:

1. Second Reports of injury may be placed at any time after first report of injury for the life of the claimant although for practical purposes reclaims occur within a 20 year period.
2. See also record series "Employee Medical and Personal Records (E4-6)".

152 MGL.

### 9 Industrial Accident Investigation Case Files

Documents the investigation of labor accidents within the Commonwealth, especially those involving serious injury or death. Includes incident reports, medical information, clippings, photos, police reports, autopsy reports, and related correspondence.

Retention Period:

Review by the Archives after 6 years.

### 10 Disability Unit File

The Disability Unit File contains Medical panel file Comprehensive Medical Evaluation Files, Rehabilitation and Restoration to service file; and the Restoration to Service Files. The Disability Unit File is the documentation of disability approvals.

Retention Period:

Retain 38 years.

Note: MGL C 32, s. 6, 7, 8, 9, 21, 22D, 94, 94A, 94B

### 11 Valuation Work Papers

The purpose of these papers is to back up documents to produce valuations. Included in these papers are the valuation runs.

Retention Period:

5years

Note: MGL C 32 s. 21c

### 12 Valuation Data Work Papers

Documents the analysis of data received from boards to produce valuation reports.

Retention Period:

2years after final report.

Note: MGL C32 s. 21c

## M2 Labor and Employment

### 1 Labor and Industries Statistics and Reports

Documents labor and industries in the Commonwealth through reports such as labor distribution reports.

Retention Period:

- (a) Official copies: Permanent.
- (b) All other records: Retain 3 years.

### 2 Labor Relations Records

Documents the agency's role in the negotiation of labor union contracts and any subsequent interaction with union representatives. Includes background support materials, notes, discussion papers, issues documentation, contract proposals, union contracts, and related correspondence.

Retention Period:

- (a) Summaries of attempts to establish unions: Permanent.
- (b) Union contracts and substantive policy and issues materials: Permanent.
- (c) Main table negotiation notes: Permanent.
- (d) All other records: Retain 3 years.

Note: See also record series "Employee Grievance/Complaint Records (E5-2)".

### 3 Union Contract Negotiation Mediation Records

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.

Retention Period:

Retain 1 year after case is closed and all appeals are exhausted.

Note: The Board has quasi-judicial authority to make final binding decisions.

Proposition 2 1/2; 150 MGL 10A.

### 4 Apprenticeship Records

Documents the program to train individuals in different trade jobs. Includes applications and support materials, training schedules, final apprenticeship certifications, and related correspondence.

Retention Period:

- (a) Summary listings of apprenticeships: Permanent.
- (b) All other records: Retain 6 years.

### 5 Grievance, Mediation, and Arbitration Administration Records

Documents complaints brought by labor against the commonwealth. Includes complaints, background materials, proceedings of mediation and arbitration, and related correspondence.

Retention Period:

- (a) Summary case listings and abstracts: Permanent.
- (b) All other records: Retain 6 years after case closed.

### 6 Prevailing Wage Rate Records

Documents the setting of labor wage rates. Includes rate setting hearings and materials, and related correspondence.

Retention Period:

- (a) Final hearing transcripts: Permanent.
- (b) All other records: Retain 10 years.

### 7 Employment Services Case Files

Documents individuals eligibility and receipt of social services programs. Includes eligibility documentation, case plans, progress reports, and related correspondence.

Retention Period:

Retain 6 years after close.

### 8 Unemployment Insurance Claims

Documents claims for unemployment with the state. Includes claims, payment information, and related correspondence.

Retention Period:

## M2 Labor and Employment

Retain 6 years.

### 9 Vocational Rehabilitation Case Files

Documents programs to improve job opportunities and placements for individuals. Includes applications, support materials, acceptance within programs, and subsequent progress.

#### Retention Period:

- (a) Retain final summary documentation adequate to report individuals completion of programs: Permanent.
- (b) All other records: Retain 3 years after case closure.

## M3 Division of Occupational Safety: Asbestos and Lead Program

### 1 Asbestos Violation Files

This division investigates workplace conditions as they relate to health hazards and occupational diseases. The services provided by the division assist employers, unions and state and local agencies in creating healthier and safer workplaces for Massachusetts workers. This division administers the Asbestos and Lead Program for schools and public buildings and evaluates asbestos problems in commercial buildings. The Asbestos Violation Files record violations of asbestos statutes and regulations pursuant to 453 CMR 6.00. This series includes notice of violation, name and address of company, license number statement of violation, inspectors report, and consent orders. Company arranges this series numerically.

#### Retention Period:

7 years

Note: Copies are maintained in the inspectors and contractors files.

### 2 Lead Paint Violation Files

Documents violations of lead paint statutes and regulations pursuant to 454 CMR22.00. This series includes: notice of violation, name and address of company, license number, statement of violation, inspectors report, and consent orders. Company arranges the series numerically.

#### Retention Period:

7 years

Note: Copies are kept in the inspectors and contractors files.

### 3 Asbestos Work Notification Files

Documents the notification of Labor and Industries 10 days prior to an asbestos abatement project pursuant to MGL C149, S6-SF and 453 CMR 6.12. Included in this series are: name address and license number of contractor, address and type of project, completion date, insurance information, and description of decontamination and disposal. Arranged chronologically by company.

#### Retention Period:

6 months

### 4 Deleading Work Notification Files

Documents the notification to Labor and Industries at least 5 days prior to removal of lead paint pursuant to MGL C. 111 S197, 454 CMR 22.00 and 105 CMR 460.000. This series includes: name of inspector, date of inspection, address and nature of work, deleading method, and name and address and completion date. Arranged chronologically by company.

#### Retention Period:

6 months

Note: The occupant of the building in question, the local boards of health, Lead Poisoning Prevention Program, and the Massachusetts Historical Commission all have copies.

### 5 Deleader-Supervisor Application Files

This series documents all those who apply for certification as a deleader supervisor pursuant to 454 CMR 22.00. This includes: name date and address of applicant, social security number, employment, and statement of compliance, and medical proof of training exam, and blood lead level. Arranged alphabetically by last name.

#### Retention Period:

1 year after audit

### 6 Approved Deleading Contractor for Lead Removal: Application Files

This series documents the application for certification as a Training Provider for lead removal pursuant to 454 CMR 22.06. Included in this series are: name date and address of applicant, type of company ownership, description of courses to be offered, and qualifications of instructors. Arranged Alphabetically.

**M3 Division of Occupational Safety: Asbestos and Lead Program**Retention Period:

1 year after audit

**7 Deleader-Contractor Application Files**

Documents the application for certification as a Training Provider for lead removal pursuant to 454 CMR22.06. This series includes name and address of applicant, name and address of business, number of employees, proof of employee medical exams, and blood lead levels, also insurance information and statement of compliance. Arranged alphabetically.

Retention Period:

1 year after audit

**8 Asbestos Contractor Application Files**

Documents the application for certification as an asbestos contractor pursuant to MGL C149, S6-6F, and 453 CMR6.04. These files include: name and address of applicant, type of ownership, references, evidence of training, worker protection and compensation, and a statement of compliance. Arranged alphabetically.

Retention Period:

1 year after audit

**9 Asbestos Inspector Application Files**

Documents the application for certification as an Asbestos Inspector pursuant to MGL C149, S6-6F, and 453 CMR6.07. This series includes: name and address of applicant, social security number, history of employment in asbestos field and any violations, and the applicants statement of compliance.

Retention Period:

1 year after audit

**10 Asbestos Management Planner Application Files**

Documents the application for certification as an asbestos management planner pursuant to MGL C149, S6-6F and 453 CMR 6.07. This series includes: name and address of applicant, education, employment experience in asbestos field, any violations, and the applicant's statement. Arranged alphabetically.

Retention Period:

1 year after audit

**11 Asbestos Abatement Project Monitor Application Files**

Documents the application for certification as an asbestos abatement project monitor pursuant to MGL C149, S6-6F, and 453 CMR 6.05. This series includes name and address of applicant, education, employment experience in asbestos field, any violations, and the applicant's statement.

Retention Period:

1 year after audit

**12 Asbestos Abatement Project Designer Application Files**

Documents the application for certification as an asbestos abatement project designer pursuant to MGL C149, S6-6F, and 453 CMR.07. This series includes: name and address of applicant, education, and professional experience in asbestos field, violations, and the applicant's statement. Arranged alphabetically.

Retention Period:

1 year after audit

**13 Approved Asbestos Training Provider Application Files**

Documents the application for certification as an asbestos training provider pursuant to MGL C149, S6-6F and 453 CMR6.09. This series includes: name and address of business, type of ownership, description of courses to be offered, and qualifications of instructors. Arranged alphabetically.

Retention Period:

1 year after audit

**14 Asbestos Analytical Services Application Files**

Documents the application process for certification as a provider of asbestos analytical services pursuant to MGL C149, S6-6F and 453 CMR6.08. This series includes: name and address of applicant, business, laboratory documentation, air and bulk sampling documentation, and statement of compliance.



**M3 Division of Occupational Safety: Asbestos and Lead Program**Retention Period:

1 year after audit

**15 Asbestos Abatement Worker Application Files**

Documents the application process for certification as an asbestos abatement worker pursuant to MGL C149, S6-6F, and 453 CMR 6.06. This series includes: name and address of applicant, social security number, history of past violations, and statement of compliance. Arranged alphabetically.

Retention Period:

1 year after audit

**16 Supervisor/Foreperson for Asbestos Application Files**

Documents the application for certification as an asbestos supervisor/foreperson pursuant to MGL C149, S6-6F, and 453 CMR6.05. This series includes: name and address of applicant, social security number, history of any violations, and statement of compliance. Arranged alphabetically.

Retention Period:

1 year after audit

**M4 Massachusetts Labor Relations Commission****1 Case Files**

Includes cases of all 17-docket classifications. Case files may contain complaints, petitions, decisions, briefs, exhibits, motions, investigatory notes correspondence and certifications.

Retention Period:

10 years

Note: Decisions are duplicated in published volumes, since 1974.

**2 Transcripts**

Transcripts of cases are removed and discarded when case is 7 years old, absent any litigation.

Retention Period:

7 years

**3 Case Study Cards**

Contains chronology of actions. Arranged by docket classification then chronologically by date of filing.

Retention Period:

20 years from date of last entry

**4 Docket Books**

Arranged by docket classification, then chronologically by date of filing.

Retention Period:

2 years

Note: An electronic copy exists.

**5 Master Index**

Arranged by docket classification, then chronologically by defendant.

Retention Period:

20 years

**M4 Massachusetts Labor Relations Commission****6 Collective Bargaining Agreements**

These are the actual paper agreements.

Retention Period:

Until expiration of agreement

**7 Master Schedule Book**

All staff appointments arranged chronologically.

Retention Period:

2 years

## N1 Aviation Operations Administration

### 1 Daily Operational Reports

Documents the report of unusual occurrences at Logan Airport. The staff uses this report for informational reference.

Retention Period:

6 years

### 2 Tenant Alterations Files

Documents the operational division comments, applications and correspondence on tenant construction projects relating to Aviation facilities.

Retention Period:

6 years

### 3 Daily Operations Reports

Documents the daily incidents reported at the airport, including logs, morning reports, and daily operations checklist used for reference and backup.

Retention Period:

6 years.

### 4 Incident Reports

Included in these reports are, aircraft incident and bomb threat and other security incident reports occurring at Logan Airport.

Retention Period:

5 years.

### 5 Violations

Documents and records the violations of Airport Rules and regulations. This form is used when anyone on the ramp violates airport rules and regulations.

Retention Period:

5 years.

### 6 Accident Reports

These reports are, a record of injury for passengers and employees hurt at Logan. These forms are kept for a reference in case of litigation.

Retention Period:

**5 years**

### 7 Supervisor Terminal Reports

Documents concession checks of tenant space in the airport. This form is also used for, reports on violations of rules by the tenants.

Retention Period:

5 years.

### 8 Violations File

Correspondence concerning files issued to companies for violation of MPA rules and regulations on the Air Operations Area, including hearings & payment receipts. Tracking of paid and unpaid fines.

Retention Period:

2 years

## N2 Noise Abatement

### 1 Sound Insulation Program

Correspondence, application forms, homeowner agreements, warranties, & engineering reports relative to the soundproofing program.

Retention Period:

Active plus 10 years.

## N3 Aviation Planning and Construction

### 1 Tenant Alteration Applications

Record of approved and disapproved TAA's for reference purposes.

Retention Period:

Active plus 6 years.

## N3 Aviation Planning and Construction

### 2 Tenant Application Log Book

This record is a logbook of approved and disapproved TAA's.

Retention Period:

Active plus 6 years.

### 3 TAA Drawings

Tenant alteration application blueprints & plans for reference purposes.

Retention Period:

Active plus 6 years.

### 4 Drawings Other

Drawings of existing conditions and planning studies for reference purposes.

Retention Period:

Active Plus 6 years.

## N4 Public Information

### 1 Interpreter Program

Documents the general information on the interpreter program, including foreign language translations, interviews & personnel records. These records are used for reference purposes.

Retention Period:

3 years

### 2 Daily Logs

These logs include, Reports of Public Service representatives on terminal activity. Included in this series are copies of Terminal Supervisor's Reports.

Retention Period:

3 years

### 3 Public Information Agents Files

General information. This series includes forms pertaining to the job: trade forms, lunch breaks etc. This series is held for reference.

Retention Period:

3 years.

### 4 Public Information Service Reports Files

Daily report includes job descriptions, policies, procedures, and meetings attended. This series is kept for reference.

Retention Period:

3 years.

### 5 Airlines Files

Current information on airlines, included in this series are roving logs. This series is used for reference.

Retention Period:

2 years

## N5 Parking Facilities

### 1 Inventories

Documents the inventory of vehicles parked nightly in Logan Airport's parking facility. This inventory includes Summary of Security checks of parked vehicles, an inventory of all Vandalism Reports, Inventory of PECK, and an inventory of parking days for statistical use.

Retention Period:

2 years

### 2 Log Books

This record series includes: Record of Vehicle Log Book, Safe Log, Money Denominations Exchange Log, Supervisors Daily Incidents, Vehicles Towed, and Employee Vehicle Substitution Log Books.

Retention Period:

2 years

## N6 Transportation

### 1 Contract Files

Documents contracts for Massport Shuttle Bus Service, Logan Express Services for Framingham and Braintree, and consultant contracts. These files are used for reference.

Retention Period:

Active plus 7 years.

### 2 Department Correspondence Files

Correspondence and general ground transportation related files used on a regular basis for reference.

Retention Period:

2 years

## N7 Utilities Management

### 1 Meter Readings File

These sheets are from the Meter Technician's book. Each listing is for a separate meter and contains a year's list of readings. These files are used for reference.

Retention Period:

6 years

### 2 Meter Records Log Books

Record of the particular utility meter installed at each service location. Each listing contains the meter's manufacturer's data and service characteristics. These log books are used for reference.

Retention Period:

6 years.

### 3 Utility Account Log Books

These logbooks contain a Record of all consumption and payment, for all utilities/energy purchased by Massport.

Retention Period:

6 years

### 4 System Account Log Books

These logbooks document a listing of all utility accounts distributed and sold to both tenants and Massport. Within this series are meter drawings at all facilities.

Retention Period:

6 years

### 5 Utility Account Computer Input

This series documents a Record of all meter readings, calculations, fuel adjustment charges, and purchased utilities. These figures are submitted to the Service Bureau for a generation of the utilities reports, tenant bills, and energy use report.

Retention Period:

6 years

### 6 Utility Account Usage Report

This is a monthly report, which details a listing for each purchased and distribution system account, the current readings, rates, budgetary units, dates and generated consumption costs.

Retention Period:

Audit plus 1 year.

### 7 Budgetary Unit Usage Report

A monthly Report listing: each budgetary unit, the utility accounts with associated usage, and the cost charged in the current month.

Retention Period:

3 years

### 8 Energy Use Reports

A monthly report listing: monthly actual, monthly budget, year to date actual, year to date budget consumption, and costs of all utilities/energy used by each budgetary unit.

Retention Period:

3 years

**N7 Utilities Management****9 Budgetary History (Fiscal Year End)**

A report listing: monthly actual, and budget utility consumption, and costs for each budgetary unit. Retain only period #12 copy (entire fiscal year).

Retention Period:

3 years

Note: Destroy monthly copies when superseded.

**10 Utility Accounts/Budget Unit Master Files**

This is a report listing the detail data, (utility type, tenant number, budgetary unit, rates, etc.) for all utility accounts, and budgetary units currently "set up" in the computer.

Retention Period:

6 years

**11 Tenant Utility Report**

Monthly report listing the identical meter readings, rates, consumption, and costs that that appears on each tenant's utility reports.

Retention Period:

Audit plus 1 year.

**12 Utility G/L Journal Report**

This is a monthly Report listing the monthly utility charges for each budgetary unit/location.

Retention Period:

Destroy after use.

Note: The department has convenience copies.

**13 Utility Systems Accounts**

Revisions to utility account logbooks, utility account billings, metering drawings, rate changes.

Retention Period:

2 years in office and 4 years off site.

**14 Department Subject Files**

Tenant/Contractor utility problems, meter maintenance reports, purchase requisitions, etc.

Retention Period:

2 years in office.

**15 Utilities Budget**

Record of Calculations, unit costs, and memoranda used to generate the Massport utilities budget each fiscal year.

Retention Period:

Destroy after use.

Note: The Department has convenience copies.

**N8 Aviation Marketing****1 Concession Monitoring Files**

Inspection reports, correspondence, memos, forms, and other information used to monitor concessions.

Retention Period:

2 years in office, 3 years off-site storage.

**2 Trade Show Files**

Application forms, correspondence, fax, memos, and other reference material on the shows.

Retention Period:

5 years

## **N9 Private Carrier**

### **1 Ground Transportation Files**

These files document all reference information on contract, amendments, permits, license, insurance, and all correspondence pertaining to private carrier.

Retention Period:

Destroy when material is no longer active.

### **2 Monthly Revenue Forms**

These are documents that track monthly trips by private carrier for accounting purposes.

Retention Period:

Convenience copies, destroy after use.

## **N10 Ground Transportation**

### **1 Daily Reports**

Planning reports of transportation services to and from Logan airport. These reports include MBTA counts, and limousine and taxi statistics.

Retention Period:

2 years

### **2 Taxi Pool Ticket Log**

Taxi Log and sheet used by agent in taxi pool for identification. The logs also contain the number of taxicabs when released to the terminals for the public.

Retention Period:

2 years

### **3 Personnel Files**

These files are convenience copies of all correspondence and reports relating to current employees.

Retention Period:

Kept in office while employee is active, then they are forwarded to human resources.

Note: Also see section E-4-5.

### **4 Ground Transportation Agreements**

Documents the agreements for ground transportation operating services at Logan Airport. These files are used to track operations.

Retention Period:

Active plus 7 years.

## **N11 Parking Revenue Audit**

### **1 Check Information**

Mailing address and car registration of patron whose parking fees were paid by check in order to verify funds.

Retention Period:

2 years

### **2 Lost Ticket Vouchers**

These vouchers contain information on airport patrons who have misplaced their parking tickets in order to verify refunds.

Retention Period:

3 years

### **3 Parking Fee Reports**

Information on patrons with partial and insufficient funds, as well as paid parking fees. These reports are generated in order to collect outstanding monies.

Retention Period:

Audit plus 1 year

## N11 Parking Revenue Audit

### 4 Inventories

This record documents the daily recordings and comparison of vehicles entering and exiting the parking facilities. These inventories are used to determine monthly statistics.

Retention Period:

2 years

Note: There is a tape backup.

### 5 Shuttle Buses and Taxi Pool

Deposit summaries and related statistics for Logan, Braintree, Framingham, and etc. to keep track of tickets.

Retention Period:

1 year

### 6 Audit Problems

These files document variance between monies recorded on cashier's reports and monies deposited in the bank in order to reconcile reports.

Retention Period:

2 years

### 7 Cashier's Daily Work (Database)

Daily recordings of cashier's work shifts, lane and revenue collected for reconciliation of cashier's operations.

Retention Period:

1 year after audit

### 8 Parking Tickets

These records document airport patron parking tickets from all airport-parking facilities. These tickets are used for a record of activity.

Retention Period:

1 year

### 9 Void Tickets

Complimentary tickets issued to MPA officials, employees, facilities and maintenance workers, technicians, and contractors.

Retention Period:

6 years

### 10 Credit Card receipts

All credit card receipts from parking patrons at Logan Airport, Braintree, Framingham, and Woburn.

Retention Period:

1 year in the office, 5 years off-site

## N12 Hanscom Field

### 1 Inspections Files

These files include, T-hanger and fuel farm inspections, also hydrant flow tests in order to note any deficiencies.

Retention Period:

4 years

### 2 Nighttime Field Use Records

These records document the Operations Supervisor's report of aircraft operations between 11PM and 7AM. Included in these records is payment of night field use fees. These records are used for accounting purposes.

Retention Period:

2 years

### 3 Noise Complaints File

Copies of responses prepared for residents who have complained about aircraft noise in the Hanscom Field area. These copies are kept for reference purposes.

Retention Period:

5 years



## N12 Hanscom Field

### 4 Noise Monitoring Procedures

This series contains letters, and memos generated while getting permission to install monitors. These documents are used for reference purposes.

Retention Period:

5 years in office

### 5 Noise Rule Proceedings

This file is documentation of noise rule and regulation development.

Retention Period:

Permanent, 5 years in office then sent to Massachusetts state archive.

### 6 Noise and Operations Data

Computer files for aircraft operations; they are printouts of noise and operations data. These files, which are based on computer files, are used for reference.

Retention Period:

6 years in office

### 7 Tenant Files

These files include: correspondence to and from tenants in the Civil Terminal, and LG Hanscom Field. These files are used to check information on space rented.

Retention Period:

Active Plus 6 years.

### 8 Hanscom Manifests

These manifests are reports on hazardous waste generated at and removed from Hanscom. These manifests also identify off-site disposal facilities.

Retention Period:

6 years then microfilm

### 9 Hanscom Access Stickers

These files contain filing cards with information on an individual, their address, their vehicle registration, etc., for access on to Hanscom Air Force Base. The files are used in office to answer Air Force reference questions.

Retention Period:

2 years

### 10 Snow Removal Summaries

These files are a record of snow removal expenses. These files are used for reference.

Retention Period:

2 years

### 11 Ramp Permit Files

These files contain vehicle information used to record ramp stickers. These files are used for reference purposes.

Retention Period:

2 years

### 12 Notams File

This file contains notices to airmen on the condition of the field. This file is used for reference.

Retention Period:

5 years

### 13 Maintenance Files

These are reports of weekly maintenance duties performed at the Airport. These files are used for reporting and for reference.

Retention Period:

5 years

### 14 Loss Control Reports

These Reports are used to correct insurance deficiencies. These are Reports of Loss Control at the airport.

**N12 Hanscom Field**Retention Period:

3 years in office

**15 Monthly Statistical Reports**

These files are reports to Hanscom Field Advisory Commission, advising the Commission about operations and activities during the hours of 7 AM and 11 PM.

Retention Period:

5 years

**N13 Maritime Administration****1 Association Files**

Correspondence relating to the following organizations, American Association of Port Authorities, National Association of Authorities, Boston Shipping Association, and Longshoreman's Association. This file is used for reference purposes.

Retention Period:

1 year

**2 Facility Files**

These files are reference records relating to the Revere Facility, Army Base, Cruise Terminal, Conley Terminal, and Moran Terminal.

Retention Period:

2 years

**3 Tariff Files**

These are the Tariff charges filed as required by the Federal Maritime Commission to enforce collection of pier charges.

Retention Period:

Superseded, 3 years off-site

**4 Lease Files**

These are convenience copies of lease agreements and back up for Maritime facilities.

Retention Period:

Destroy after use.

**5 Maritime Damage Claims**

These files are reports and correspondence relating to equipment and /or cargo damage at Maritime piers. These files are used for reference.

Retention Period:

Active plus 6 years

**6 Capital Projects Files**

These are copies of reference material relating to capital projects on Maritime facilities.

Retention Period:

Active plus 6 years or after use

**7 Terminal Reports/Statistics**

These are file records of pier operations, tonnage and arrivals. These files are used for reference.

Retention Period:

Active plus 6 years

**8 Consultants/Contractors File**

This is back-up information relating to consultant contracts and contractors work. This material is kept for reference.

Retention Period:

Destroy after office use.

**N14 Property Management Fish Pier****1 Contract Files**

These are small construction contracts initiated by property management. These contracts are used to track construction worked performed.

**N14 Property Management Fish Pier**Retention Period:

Active plus 7 years.

**2 Prospective Tenant Files**

Lease applications for possible tenants. These forms are used to solicit possible tenant space.

Retention Period:

2 years

**3 Electrical Work Orders File**

These forms are used to document written request for electrical repairs, they are also used to track work that has been performed and outstanding work projects.

Retention Period:

5 years

**4 Fish Pier Log Books**

These are security logbooks; they are kept for reference purposes.

Retention Period:

5 years

**N15 Maritime Operations****1 Facility Files**

These are subject files containing reference documentation on Maritime facilities owned and operated by MPA.

Retention Period:

8 years

**2 Personnel Files**

These files are reference Copies of Union Personnel files relating to units 4210, 4610,4220, 4240,4370,4640,4320, and 4310. These files include all union documents.

Retention Period:

Destroy after use.

Note: Labor Relations is the office of record.

**3 Security Files**

These are files relating to the State Police and Local 809 for reference of incidents.

Retention Period:

3 years

**4 U.S. Government Files**

These are records of U.S. rules and regulations. They are used for reference purposes.

Retention Period:

Keep in office until superseded

**5 Equipment Interchange Receipt/Transfer Interchange Receipt Files**

These are receipts of contents brought by truckers into the terminal; they are also receipts of transfer to and from the terminal. These receipts are used for reference.

Retention Period:

2 years

**6 Maintenance Record Files**

These documents are records of all terminal equipment maintenance. These documents are used for reference and for monitoring purposes.

Retention Period:

Active plus 6 years

**7 Inventory Records Files**

This is a computer database and backup materials. Contained in this database are terminal parts, this database is used for reference and for inventory.

## N15 Maritime Operations

Retention Period:

Active plus 6 years

### 8 Ship Log Files

These files document a record of ship calls at Moran Terminal. Included in these files is billing information. These files are used for reference.

Retention Period:

Active Plus 6 years

## N16 Black Falcon Cruise Terminal

### 1 U.S. Government Permits

This file contains various permits and inspections of waterfront terminals. This file is used for reference.

Retention Period:

Active plus 3 years

### 2 Leased Areas File

These are records of the Conley Terminal, the Army Base, and North Jetty tenants' space.

Retention Period:

Active plus 7 years

### 3 Port of Boston Union File

This file contains documents pertaining to the International Longshoreman's Association, and Local 809 Massport Union facilities. This file is used for reference.

Retention Period:

Keep in office until superseded.

### 4 Ship Log Files

These files contain detailed information of ships/vessels, which call at Harbor Gateway/SB facilities. These files are used for informational record keeping purposes.

Retention Period:

Active Plus 6 years

### 5 Purchasing Files

Copies of vendor and service contracts along with purchase orders for said products. These files are used for reference.

Retention Period:

Destroy after use.

## N17 Maritime Sales and Marketing

### 1 Steamship Lines

These are files kept on different steam lines and their operations and calls on Boston. Sales notes are included in the files; these files are used for reference.

Retention Period:

Files are kept till superseded.

### 2 Brochure Files

These are brochures are from different Cruise Lines, they are used for informational purposes.

Retention Period:

Files are kept till superseded.

## N18 Human Resources

### 1 RRP (Recruitment and Referral Program)/Tenant Files

These files document the tenants at Logan Airport, the contact dates, applications and correspondence. These files are used for reference, and are updated regularly.

Retention Period:

2 years

**N19 External Affairs Logan Airport****1 Emergency Procedures/Public Safety**

These are the Rules and Regulations pertaining to safety at the airport. Also included in these files are information, which is given to the media for aircraft gates and incidents, also VIP arrivals and departures.

Retention Period:

Active plus 10 years

**N20 Government and Community Affairs****1 Impacted Communities Files**

Documents all correspondence pertaining to impacted communities, including Charlestown, Revere, Chelsea, South and East Boston, and Winthrop. This file is used for informational purposes.

Retention Period:

3 years

**2 Neptune Road Program Files**

These are various files pertaining to Massport's Neptune Road Program. This file includes all phases of the program. This file is used for research and informational purposes.

Retention Period:

Permanent

**N21 General Accounting****1 Chart of Accounts**

This file contains individual account codes, unit account or natural account number. This file was created to track functioning accounts.

Retention Period:

Audit plus 1 year.

**2 Year End Schedule/ Work Papers**

This file provides supporting documentation in assembling the Annual Financial Statement.

Retention Period:

2 years, then microfilm.

**N22 Central Services****1 Repair and Use Logs**

These are various logs for repair and use of equipment and services. These logs document a record of repair and use of services.

Retention Period:

2 years

**2 Charge Back Source Documents**

These are source documents such as: parking coupons, gasoline credit card slips, cleaning reports, courier services, taxicab slips, and catering requests.

Retention Period:

1-year in-office 5 years off site

**3 Real World Inventory File**

This file documents the record of stockroom inventory. This file is used to charge back stock to different departments.

Retention File:

2 years

**N23 Capital Accounting****1 Landing and Passenger Fee Reports**

This is a report of landing and passenger fees to be billed to a tenant. Within this report are the landing and gate activities.

Retention Period:

6 years

## N23 Capital Accounting

### 2 Fixed Assets Register

This register calculates depreciation of fixed assets. This register contains: project title, type, location, acquisition date, value, useful life, depreciation, and net book value of assets.

Retention Period:

Office of record is General Accounting. 1 year after audit.

### 3 Fiscal year Cumulative Job Sheets

This is an account for project activities. This file contains beginning and ending balances, project and payment totals.

Retention Period:

Active, then 6 years off-site.

### 4 Monthly Job Sheets

This is an account for project activity by fund. This account contains beginning and ending balances, and current activity.

Retention Period:

Audit plus 1 year.

### 5 Monthly Summary Trial Balance Books

This is a summary of general ledger accounts, used to summarize and test balance the general ledger.

Retention Period:

General Accounting is the office of record, after use or audit plus 1 year.

### 6 Project Payment Files/ Contracts Under Seal

This file contains vouchers and supporting detail, invoices, and payment request memos.

Retention Period:

Permanent

### 7 Monthly Journal Entries

This is an account for activity posted to the general ledger. This file contains account activities posted, with rational therefore. The record series is arranged chronologically.

Retention Period:

6 years

## N24 Labor Relations

### 1 Labor Relations Commission Cases

This is Litigation filed at the State Labor Relations Commission. These are unique cases used for research purposes.

Retention Period:

Active plus 6 years

### 2 Union Claims File

This file is insurance certificates, union employee insurance cards, and union employee insurance claim files relating to death benefits.

Retention Period:

Active plus 3to 6 years.

### 3 Seniority Lists

These are names and addresses and seniority dates for all union employees. This list is used for reference on monthly insurance reports.

Retention Period:

3 years

## N25 Administration and Finance

### 1 Rates and Charges Filed

These are current rates and charges for landing and parking fees at each facility. This file is used for reference and tracking purposes.

Retention Period:

2 years

# *Index*

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Abandoned property	L12 - 18	Abandoned Property Program Records
ABCC	L14 - 1	Commission Documents
Abolished county files	G9 - 2	Abolished County Records
Abortion summary reports	K5 - 11	Abortion Summary Reports R109
Abuse and neglect, child	K3 - 1	Child Abuse and Neglect Case Files
Abuse and neglect, disabled	K2 - 6	Disabled Persons Abuse and Neglect Records
Abuse and neglect, elder	K2 - 7	Elder Abuse and Neglect Case Files
Academic advisement	H3 - 2	Academic Advisement Records
Academic degree audit	H5 - 4	Academic Degree Audit Records
Academic program administration	H3 - 1	Academic Program Administration Records
Access to the ballot	G3 - 11	Access to the Ballot Case Files
Accident and illness logs	M1 - 2	Occupational Safety and Health Reports
Accident reports, motor vehicle	J5 - 6	Motor Vehicle Accident Reports
Accident reports, worker's compensation	M1 - 7	Workers Compensation Insurance Claim Files
Account transactions, routine	D1 - 3	Routine Accounting Records
Accounting, construction projects	C5 - 4	Construction Project Cost Accounting Records
Accounting, contracts and grants	D1 - 2	Grant and Contract Cost Accounting Records
Accounting, fixed assets	D1 - 14	Fixed Asset Records
Accounting, grants and contracts	D1 - 2	Grant and Contract Cost Accounting Records
Accounting, routine	D1 - 3	Routine Accounting Records
Accounting/payroll systems, independent	D1 - 1	Independent Accounting/Payroll System Records
Accreditation	A1 - 7	Accreditation Records
Accreditation, programs	A1 - 7	Accreditation Records
Acts and resolves filings	G5 - 2	Acts and Resolves Filings
ADA accommodation, employee	E3 - 2	Employee ADA Accommodation Records
Administrative law appeals	B5 - 2	Administrative Law Appeals
Administrative law appeals, environmental	I4 - 1	Environmental Administrative Law Appeal Case Files
Administrative law cases	B5 - 1	Administrative Law Case Files
Administrative law, insurance	L11 - 23	DOI Administrative Law Case Files
Administrative law, lottery	L12 - 17	Lottery Administrative Hearing Case Files
Administrative law, securities	G7 - 12	Administrative Hearing Enforcement Action Case Files
Administrative law, worker's compensation	M1 - 6	Workers Compensation Administrative Law Court Case Files
Adoption cases	K3 - 7	Adoption Case Files
Adoption home studies	K3 - 6	Adoption and Foster Home Studies Records
Adoption legal tracking	K3 - 5	Adoption Legal Tracking Records
Advertisements, legal	B1 - 2	Legal Announcements and Advertisements Records
Advocate	A8 - 4	Ombudsman/Advocate Records
Affirmative action administration	E3 - 3	Affirmative Action/EEO Administration Records
Affirmative action compliance	E3 - 5	Affirmative Action Monitoring/Compliance Records
Affirmative action plans and reports	E3 - 4	Affirmative Action Plans and Reports Records
Agency anniversaries	A1 - 9	Commemorations and Historical Anniversary Records
Agency history	A1 - 1	Program Establishment, Development, and Review Records
Agency reorganization	A1 - 6	Reorganization, Relocation, and Closing Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Agency, external program relations	A7 -	6 External Program Relations Records
Agency, federal/state relations	A7 -	4 Federal/State Relations Records
Agency, Inter-Agency Relations	A7 -	3 Inter-Agency Relations Records
Agency, Intra-Agency Relations	A7 -	1 Intra-Agency Relations Records
Agency, Intra-Governmental Coordination	A7 -	2 Intra-Governmental Coordination
Agency, special relations	A7 -	5 Special Relations Records
Agriculture Resources	B8 -	1 Division of Animal Health Records
Air quality studies	I6 -	3 Air Quality Public Health Studies Records
Air quality testing	I6 -	1 Air Quality Testing and Monitoring Records
Ambulance licensure	K9 -	12 Ambulance Licensure Records
Ambulance trip, institutional	K10 -	4 Ambulance Trip-Institutional Records
Animal care regulation	K9 -	7 Animal Care Regulation and Monitoring Records
Anniversary, agency	A1 -	9 Commemorations and Historical Anniversary Records
Announcements, legal	B1 -	2 Legal Announcements and Advertisements Records
Annual reports	A1 -	2 Annual and Summary Reports Records
Annual returns, utility company	I8 -	3 Utility Company Annual Returns Reports
Apostille verifications	G4 -	10 Notary Public Apostille Verification Records
Appellate tax board appeals	L4 -	8 Appellate Tax Board Appeals Records
Appointment logs, commissions and boards	G4 -	1 Commissions and Boards Appointment Log Books Records
Appointment performance bonds	G4 -	4 Appointment Performance Bond Filings
Appointment qualification certifications	G4 -	5 Appointment Qualification Certification Records
Appointment qualification signature books	G4 -	3 Appointment Qualification Signature Books
Appointments, boards, authorities, and councils	G4 -	2 Boards, Authorities, Councils, Commission Appointment Records
Appraisals, land and property	C7 -	10 Real Property Vital Records
Apprenticeship	M2 -	4 Apprenticeship Records
Arbitration and mediation, labor	M2 -	5 Grievance, Mediation, and Arbitration Administration Records
Archaeology files	G10 -	7 Archeology Records
Archives and record center vault monitoring	G11 -	2 Archives and Records Center Vault Records
Archives/library accession logs	G11 -	1 Library/Archives Accession Log
Arrest	J4 -	9 Arrest Records
Articles and clippings subject files	A5 -	2 Program Subject/Resource Articles and Clippings
Articles and clippings, agency history	A1 -	10 Program Historical Articles and Clippings
Artifacts	A1 -	11 Artifacts and Memorabilia
Arts and humanities grants	L12 -	24 Arts and Humanities Grant Program Records
Asbestos notifications	I5 -	10 Asbestos Regulation Records
Asbestos regulation	I5 -	10 Asbestos Regulation Records
Assessor training	L7 -	18 Assessor Training Records
Attorney General litigation files	B6 -	10 Attorney General Litigation Files
Audio/visual materials	F4 -	3 Audio/Visual Tape or Digital Recordings
Audit report, municipal	L6 -	6 Municipal Audit Report Records
Audit, fiscal	D2 -	4 Fiscal Audit Records
Audit, fiscal	D2 -	4 Fiscal Audit Records
Audit, internal	A1 -	4 Internal Audit Records
Audit, program	A1 -	3 Program Review/Audit Records
Authorities accounting systems	D1 -	1 Independent Accounting/Payroll System Records
Authorization to enter	J9 -	7 Authorization to Enter Forms
Autopsy, patient	K4 -	1 Patient Autopsy Records



<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Aviation Planning and Construction	N3 - 1	Logan Airport, Tenant Alteration Applications
Aviation Planning and Construction	N3 - 2	Logan Airport, Tenant Application Log Book
Aviation Planning and Construction	N3 - 3	Logan Airport, TAA Drawings
Aviation Planning and Construction	N3 - 4	Logan Airport, Drawings Other
Awaiting Action Unit (AAU)	J8 - 15	Awaiting Action Unit (AAU) Records
Award establishment	H3 - 6	Award Establishment Records
Backups, computer	F7 - 10	Data Backup Records
Balance sheets, municipal	L6 - 12	Municipal Balance Sheet Reports
Ballots and instructions, elections	G3 - 7	Election Ballots and Instructions Records
Bank and cash	D1 - 4	Bank and Cash Records
Bank compliance examinations	L10 - 4	Bank Examination Records
Bank licensing	L10 - 6	Licensing Records
Bankruptcy claims	L4 - 6	Bankruptcy Claim Records
Beneficiary verifications	L13 - 4	Beneficiary Verification Forms
Bid and procurement	D1 - 11	Bid and Procurement Records
Bid award investigation	B6 - 17	Contract Bid Award Investigation Records
Bid waivers, construction	C4 - 3	Construction Emergency Bid Waiver Records
Bids, construction	C4 - 2	Construction Project Bid Records
Billing and collections	D1 - 7	Billing and Collections Records
Birth data consent forms	K5 - 3	Birth Certificate Risk Data Consent Forms
Birth index	K5 - 1	Birth Index
Birth returns	K5 - 2	Birth Returns
Births, institutional	K10 - 5	Birth Records
Blank checks	F1 - 5	Unused Permits, Certificates, Decals, and Stickers
Blank forms	F1 - 1	Blank Forms Stock
Blood, tissues, and organs files	K4 - 3	Blood, Tissues, and Organs Administration Records
Boards	A4 - 2	Standing Committees, Councils, Boards, and Commissions Records
Boards, authorities, councils appointments	G4 - 2	Boards, Authorities, Councils, Commission Appointment Records
Bonds, appointment performance	G4 - 4	Appointment Performance Bond Filings
Bonds, general obligation	L12 - 21	Obligation Bonds and Notes Program Records
Bonds, obligation	L12 - 21	Obligation Bonds and Notes Program Records
Bonds, public official	L12 - 8	Public Official Performance Bond Filings
Bonds, public protection	L12 - 7	Public Protection Performance Bond Filings
Bonds, registered and bearer	L12 - 20	Treasurer Registered and Bearer Bond Program Records
Bonds, revenue	L12 - 20	Treasurer Registered and Bearer Bond Program Records
Bonds, savings	L12 - 25	Treasurer's Savings Bond Program Records
Bonds, water pollution abatement	L12 - 22	Water Pollution Abatement Bond Program Records
Bridge and highway maintenance	C6 - 1	Highway and Bridge Maintenance Records
Briefings, executive	A3 - 2	Executives' Briefing Files
Broker-dealer filings, securities	G7 - 2	Broker-Dealer Registration and Exclusion Notice Filings
Brownfields records	I1 - 3	DEP and Brownfields Grant Program Records
Budget preparation and monitoring	D2 - 3	Budget Preparation and Monitoring Records
Budget requests, capital	C3 - 4	Capital Budget Request Records
Building memorials	C5 - 5	Facility Memorials and Dedications Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Building plans and specifications, construction	C5 - 6	Building Plans and Specifications Records
Buildings and facilities data	C1 - 6	Buildings and Facilities Informational Data
Bulletins, official	A2 - 5	Executive Orders, Directives, and Bulletins Records
Burial	K1 - 7	Cemetery, Grave, and Burial Records
Burn injury reports	J7 - 2	Massachusetts Burn Injury Reports
Burned/recovered motor vehicle reports	J7 - 4	Massachusetts Burned/Recovered Motor Vehicle Reports
Business tax status registrations	L3 - 7	Business Tax Status Registrations
Cable Television	B7 - 1	Division Appellate Decisions
Cable Television	B7 - 2	Appellate Dockets-Support Material
Cable Television	B7 - 3	Rate Decisions
Cable Television	B7 - 4	Rate Regulation Proceedings-Support Material
Cable Television	B7 - 5	Rulemaking Proceedings-Support Materials
Cable Television	B7 - 6	Rulemaking Decisions
Cable Television	B7 - 7	Form 500 Annual
Cable Television	B7 - 8	Form 500 Complaint Forms
Cable Television	B7 - 9	Forms 200, 300, 400
Cable Television	B7 - 10	Initial Franchise Agreements
Cable Television	B7 - 11	Renewal Franchise Agreements
Cable Television	B7 - 12	Form 100
Cable Television	B7 - 13	Form 394
Cable Television	B7 - 14	Billing & Termination of Service Filing
Cable Television	B7 - 15	Rate Cards & Channel Line-Ups
Calendars and schedules	A6 - 2	Schedules and Calendars
Campaign finance disclosures	G1 - 5	Campaign Finance Disclosure Records
Campaign finance investigations	G1 - 6	Campaign Finance Monitoring and Investigation Records
Candidate public financing requests	G1 - 2	Candidate Public Financing Request Records
Candidate qualifying	G1 - 1	Candidate Qualifying Records
Candidate, federal financial filings	G1 - 4	Federal Candidate Financial Reports
Candidate, general court financial filings	G1 - 7	General Court Candidate Financial Filings
Candidate, statewide office financial filings	G1 - 8	Statewide Office Candidate Financial Filings
Capital budget requests	C3 - 4	Capital Budget Request Records
Capital improvement plans	D2 - 2	Capital Improvement Plan Records
Capital planning	C3 - 2	Capital Projects Planning Records
Cash and bank	D1 - 4	Bank and Cash Records
Cell monitoring	J4 - 10	Cell Monitoring Records
Cemetery, grave, and burial	K1 - 7	Cemetery, Grave, and Burial Records
Census, corrections	J9 - 6	Census and Population Counts
Central Artery/Tunnel bids	C4 - 2	Construction Project Bid Records
Central Artery/Tunnel construction	C5 - 1	Construction Project Management Records
Change of name reports	K5 - 9	Change of Name Reports R600
Charitable gaming licensing	L12 - 13	Charitable Gaming Licensing Records
Checks, blank stock	F1 - 5	Unused Permits, Certificates, Decals, and Stickers
Cherry sheets	L7 - 2	Municipal Budget Schedules (Cherry Sheets)
Child abuse and neglect	K3 - 1	Child Abuse and Neglect Case Files
Child substitute/foster care	K3 - 4	Child Substitute/Foster Care Case Files
Child support enforcement	L8 - 1	Child Support Enforcement Case Files
Child support unassigned assets	L8 - 2	Child Support Unassigned Assets and Property Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Children in need of services	K3 - 2	Children in Need of Services (CHINS) Case Files
CHINS	K3 - 2	Children in Need of Services (CHINS) Case Files
Chronological correspondence	A5 - 9	Chronological Correspondence Files
Circulars, informational	A2 - 1	Informational Circulars
Citations and awards, state	G9 - 3	State Citations and Awards Records
City and town acceptance of general laws	G4 - 8	City and Town Acceptance of General Laws Records
City and town appointment notifications	G4 - 9	City and Town Appointment Notifications
City/town debt sale	L6 - 2	City Town Debt Sale Records
Civil investigation	B3 - 3	Civil Investigation Records
Claims and disbursements	D1 - 8	Claims and Disbursements Records
Claims and disputes, construction	C2 - 6	Construction Claims and Disputes Records
Class schedules	H4 - 2	Class Schedule Records
Class syllabi	H4 - 3	Course Outlines and Descriptions Records
Clean air and water	I6 - 4	Clean Air and Water Records
Clergyman, non-resident	G4 - 6	Non-Resident Clergyman and Solemnization of Marriage Records
Client advocacy files	K2 - 3	Client Advocacy Case Files
Closing, agency	A1 - 6	Reorganization, Relocation, and Closing Records
Coastal community relations	I1 - 6	Coastal Community Relations Records
Coastal resources	I1 - 7	Coastal Resources and Wetlands Deed Restriction Case Files
Code or alert, corrections	J9 - 12	Code or Alert Records
Collections and billing	D1 - 7	Billing and Collections Records
Commemoration, agency	A1 - 9	Commemorations and Historical Anniversary Records
Commencement and awards	H3 - 7	Commencement and Awards Records
Commissioner's records	A3 - 1	Executives' Correspondence/Subject Files
Commissions and Appointments	G4 - 12	Form O Notary Public Filing
Commissions and Appointments	G4 - 13	Notary Public Re-Registration (Name Change)
Commissions	A4 - 2	Standing Committees, Councils, Boards, and Commissions Records
Commissions and boards appointment logs	G4 - 1	Commissions and Boards Appointment Log Books Records
Committee establishment and charges	A4 - 1	Committee Establishment, Charges, and Membership Records
Committee members files	A4 - 5	Committee Members' Records
Committee membership Membership Records	A4 - 1	Committee Establishment, Charges, and
Committee minutes and agendas	A4 - 2	Standing Committees, Councils, Boards, and Commissions Records
Committee proceedings or minutes tapes	F4 - 3	Audio/Visual Tape or Digital Recordings
Committee, safety	C1 - 9	Facility Safety Records
Committees, standing	A4 - 2	Standing Committees, Councils, Boards, and Commissions Records
Communicable disease investigation	K9 - 1	Infectious Disease Case Files
Communicable disease outbreak	K9 - 3	Infectious Disease Outbreak Records
Community Development	C9 - 1	Local Housing Authorities (1-5)
Community sanitation inspection	K9 - 5	Community Sanitation Inspection Records
Community service programs, attorney general	B6 - 18	Attorney General Community Services Records
Complaints, securities	G7 - 10	Inquiries and Complaints Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Compensating balance, municipal	L6 - 10	Municipal Compensating Balance Report Records
Complaints against agency	B4 - 6	Complaints Against Agency Records
Complaints against institution or staff	K9 - 2	Medical Staff Complaints/Discipline Records
Complaints, licensing	B4 - 4	Licensure Complaints, Investigations, and Hearings Records
Complaints, mental health investigations	K6 - 14	DMH Client Human Rights Complaint/Investigation Records
Computer archive tapes	F7 - 10	Data Backup Records
Computer backup tapes	F7 - 10	Data Backup Records
Computer code and software	F5 - 1	System Programs, Applications, and Code Records
Computer data deletions	F6 - 2	Systems Data Deletion Records
Computer data intermediate work	F6 - 4	Systems Intermediate Work Files Records
Computer printouts	F3 - 7	Reference Copies
Computer system documentation	F5 - 4	Systems Documentation Records
Computer system job order runs	F6 - 3	System Job Order (Run) Records
Computer systems applications development	F5 - 7	Systems and Applications Development Records
Computer systems contingency planning	F5 - 5	Systems Contingency Records
Computer systems conversion and upgrade	F5 - 8	Systems Conversion, Enhancement, and Upgrade Records
Computer systems monitoring and testing	F5 - 2	Systems Maintenance, Monitoring, and Testing Records
Conference, participant	A10 - 2	Conference, Seminar, and Workshop Participant Records
Conference, sponsor	A10 - 3	Conference, Seminar, and Workshop Sponsor Records
Confidentiality statements, employee	E4 - 1	Employee Confidentiality Statements
Conflict of interest	B1 - 6	Ethics and Conflict of Interest Records
Conflict of interest filings	B6 - 3	Attorney General Conflict of Interest Disclosures
Conservation district election certificates	I1 - 5	Conservation District Election Certificates Records
Construction bid waivers	C4 - 3	Construction Emergency Bid Waiver Records
Construction bids	C4 - 2	Construction Project Bid Records
Construction claims and disputes	C2 - 6	Construction Claims and Disputes Records
Construction compliance	C2 - 7	Construction Regulations Compliance Records
Construction contract legal files	C2 - 4	Construction Project Contract Legal Records
Construction cost accounting	C5 - 4	Construction Project Cost Accounting Records
Construction cost oversight	C5 - 3	Construction Project Cost Oversight Records
Construction design contracts	C2 - 3	Construction Project Designer Contract Records
Construction designer selection	C4 - 1	Construction Project Designer Selection Records
Construction engineering	C5 - 2	Construction Project Planning and Engineering Records
Construction litigation	C2 - 8	Construction Project Litigation Case Files
Construction plans and specifications	C5 - 6	Building Plans and Specifications Records
Construction professional services contracts	C2 - 5	Construction Project Professional Services Contract Records
Construction project accounting	C5 - 4	Construction Project Cost Accounting Records
Construction project administration	C5 - 1	Construction Project Management Records
Construction project management	C5 - 1	Construction Project Management Records
Construction regulations compliance	C2 - 7	Construction Regulations Compliance Records
Construction study library	C3 - 3	Construction Study Library Files

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Consumer complaint investigation	B6 - 13	Consumer Complaint Investigations Records
Contaminated site cleanup	I5 - 6	Contaminated Site Cleanup Records
Contingency plans, hazardous materials	I5 - 4	Hazardous Materials Contingency Plan Records
Contingency plans, program	A1 - 8	Disaster Planning Records
Contingency plans, systems	F5 - 5	Systems Contingency Records
Contract administration	A9 - 2	Grant and Contract Administration Records
Contract and grant cost accounting	D1 - 2	Grant and Contract Cost Accounting Records
Contract legal files	B1 - 7	Contract And Agreements Legal Files
Contract legal files, construction	C2 - 4	Construction Project Contract Legal Records
Contract negotiation	A9 - 1	Contract and Agreement Negotiation Records
Contract review, attorney general	B6 - 1	Attorney General Contract Review Records
Contractor bid award investigation	B6 - 17	Contract Bid Award Investigation Records
Contractor certification for state work	C2 - 1	Contractor State Qualification Certification Records
Contractor debarment	C2 - 2	Contractor Debarment Actions Records
Contractor qualifications for state work	C2 - 1	Contractor State Qualification Certification Records
Controlled substances destruction	K1 - 5	Controlled Substances Destruction Records
Convenience files	F3 - 6	Convenience Files
Corporation campaign contributor financial filings	G1 - 10	Corporation Campaign Contributor Financial Filings
Corporations and businesses regulation	G6 - 1	Corporations Service of Process Records
Corporations service of process	G6 - 1	Corporations Service of Process Records
Correctional officer overtime call lists	J9 - 17	Overtime Call Lists
Corrections, Inmate	J8 - 24	Inmate Marriage Records
Correspondence, chronological	A5 - 9	Chronological Correspondence Files
Correspondence, email	F7 - 2	Email Correspondence Files
Correspondence, executive	A3 - 1	Executives' Correspondence/Subject Files
Correspondence, general	A5 - 5	Program Administration Records
Correspondence, routine	A5 - 5	Program Administration Records
Correspondence, transitory	A5 - 8	Program Transitory Correspondence Files
Correspondence, voice mail	F7 - 3	Voice Mail Correspondence Files
Cost oversight, construction	C5 - 3	Construction Project Cost Oversight Records
Councils	A4 - 2	Standing Committees, Councils, Boards, and Commissions Records
County budget monitoring	L6 - 1	County Budget Records
County files, abolished	G9 - 2	Abolished County Records
County financial reports	L6 - 7	County Financial Reports
County government finance review	L6 - 11	County Government Finance Review Board Records
Course and Grade, official student records	H5 - 6	Official Course and Grade Records
Course evaluations, student	H5 - 2	Student Evaluations of Teachers
Course outlines and descriptions	H4 - 3	Course Outlines and Descriptions Records
Crime lab quality assurance	J6 - 1	Laboratory Quality Assurance Records
Crime lab reports records	J6 - 2	Crime Lab Case Records
Crime reports	J1 - 2	Crime Reports
Crime reports, uniform national	J1 - 1	Uniform National Crime Reports
Crime scene documentation	J4 - 3	Crime Scene Documentation Records
Criminal activity surveillance	J3 - 6	Criminal Activity Surveillance Records
Criminal history files	J1 - 5	Criminal History Files
Criminal investigation case files	J3 - 2	Criminal Investigation Case Files
Curriculum development	H4 - 1	Curriculum Development Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Daily census	K10 - 10	Daily Census
Damaged or contaminated files	F1 - 6	Damaged/Contaminated Files
Data archival storage	F7 - 9	Data "Archival" Storage Records
Data backups	F7 - 10	Data Backup Records
Data deletion, systems	F6 - 2	Systems Data Deletion Records
Data entry	F7 - 1	Data Source Records
Data input files	F7 - 1	Data Source Records
Data processing and verification	F6 - 8	Data Processing, Verification, and Monitoring Records
Data source files	F7 - 1	Data Source Records
Data, database	F7 - 5	Database Content Records
Data, legacy	F7 - 7	Legacy Data Records
Data, retrospective conversion source materials	F7 - 8	Retrospective Data Conversion Source Records
Data, website	F7 - 6	Website Content Records
Database data	F7 - 5	Database Content Records
Dead letter file	F1 - 4	Dead Letter File
Dean's files	H1 - 2	Dean's Records
Death index	K5 - 6	Death Index
Death investigations and reports	J3 - 1	Death Investigations and Reports Records
Death returns	K5 - 7	Death Returns
Deaths, institutional	K10 - 3	Death Records
Debarment, contractor	C2 - 2	Contractor Debarment Actions Records
Deduction reports, retirement	L13 - 2	Retirement Administration Records
Deed registrations	G8 - 1	Deed Registration Records
Degree audit, student	H5 - 4	Academic Degree Audit Records
Delegation of authority	B1 - 5	Delegation of Authority Records
Dental files	K6 - 6	Dental Records
Design contracts	C2 - 3	Construction Project Designer Contract Records
Designer contracts, construction	C2 - 3	Construction Project Designer Contract Records
Designer selection, construction	C4 - 1	Construction Project Designer Selection Records
Detainee property	J4 - 14	Detainee Property Records
Development master plan	C3 - 1	Master Plan for Development Records
Development, fund	D2 - 6	Fund Development Records
Dietary/meals, corrections	J9 - 5	Dietary/Meal Records
Directives	A2 - 5	Executive Orders, Directives, and Bulletins Records
Directories, telephone	E1 - 3	Agency Telephone Directories and Staff Listings
Disability access, facilities	C1 - 3	Facilities Disability Access Records
Disability rehabilitation	K2 - 9	Disability Rehabilitation Case Files
Disabled persons abuse and neglect	K2 - 6	Disabled Persons Abuse and Neglect Records
Disaster planning	A1 - 8	Disaster Planning Records
Disaster planning and relief, environmental	I1 - 4	Environmental Disaster Planning and Relief Records
Disclosure, public records	B2 - 1	Public Records Request Records
Discrimination investigation	B3 - 2	Discrimination Investigation Case Files
Dispatch and communications	J4 - 4	Dispatch and Communications Recordings
District attorney litigation	B6 - 11	District Attorney Case Files
Division of Occupational Safety	M3 - 1	Asbestos Violation Files
Division of Occupational Safety	M3 - 2	Lead Paint Violation Files
Division of Occupational Safety	M3 - 3	Asbestos Work Notification Files
Division of Occupational Safety	M3 - 4	Deleading Work Notification Files
Division of Occupational Safety	M3 - 5	Deleader-Supervisor Application Files

**Access Term****Series Number****Record Series Title**

Division of Occupational Safety	M3 - 6	Approved Deleading Contractor for Lead Removal: Application Files
Division of Occupational Safety	M3 - 7	Deleader-Contractor Application Files
Division of Occupational Safety	M3 - 8	Asbestos Contractor Application Files
Division of Occupational Safety	M3 - 9	Asbestos Inspector Application Files
Division of Occupational Safety	M3 - 10	Asbestos Management Planner Application Files
Division of Occupational Safety	M3 - 11	Asbestos Abement Project Monitor Application Files
Division of Occupational Safety	M3 - 12	Asbestos Abatement Project Designer Application Files
Division of Occupational Safety	M3 - 13	Approved Asbestos Training Provider Application Files
Division of Occupational Safety	M3 - 14	Asbestos Analytical Services Application Files
Division of Occupational Safety	M3 - 15	Asbestos Abatement Worker Application Files
Division of Occupational Safety	M3 - 16	Supervisor/Foreperson for Asbestos Application Files
Divorce or annulment reports	K5 - 10	Divorce or Annulment Reports R408
Dockets	A4 - 4	Board, Council, Committee Docketed Case Files
Document composition materials	F3 - 4	Document Composition Materials
Documentation, computer systems	F5 - 4	Systems Documentation Records
Documentation, websites	F5 - 3	Website Documentation Records
Dormant fiscal accounts	L12 - 18	Abandoned Property Program Records
Drafts and notes	F3 - 3	Drafts and Notes
Drawings, maps, and plans	F4 - 5	Maps, Drawings, and Plans
Drill logs, geological	C5 - 7	Geologic Samples and Records
Drinking water permits	I7 - 1	Drinking Water Certification, Permits, and Approval Records
Drug reactions	K6 - 1	Drug Reactions, Adverse Records
Drug testing, institutional	J8 - 14	Inmate Drug Testing
Duplicate files	F3 - 8	Duplicates
Economic or development grants	D3 - 2	State Economic or Development Grants Records
Education reform waivers	L7 - 3	Education Reform Waiver Records
Elder abuse and neglect	K2 - 7	Elder Abuse and Neglect Case Files
Election ballots and instructions	G3 - 7	Election Ballots and Instructions Records
Election districts	G3 - 2	Election Districts Records
Election initiative, petition, and referendums	G3 - 8	Election Initiative, Petitions, and Referendums Records
Election nominations and state primary	G1 - 3	State Primary and Election Nominations
Election returns of town officers	G3 - 6	Election Returns of Town Officers
Election reviews and challenges	G3 - 10	Election Reviews and Challenges Records
Electoral college	G3 - 1	Electoral College Records
Electronic files	F4 - 1	Electronic Records
Email correspondence files	F7 - 2	Email Correspondence Files
Emergency aid, municipal	L7 - 4	Municipal Emergency Aid Records
Emergency planning and response	J1 - 4	Emergency Planning and Response Records
Emergency planning, corrections	J9 - 14	Corrections Emergency Planning and Response Records
Emergency repairs bid waivers	C4 - 3	Construction Emergency Bid Waiver Records
Emissions testing	I6 - 1	Air Quality Testing and Monitoring Records
Employee ADA accommodation	E3 - 2	Employee ADA Accommodation Records
Employee awards and recognition	E1 - 2	Employee Awards and Recognition Records
Employee complaint/discipline	E5 - 1	Employee Complaint/Investigation/Disciplinary Records
Employee confidentiality statements	E4 - 1	Employee Confidentiality Statements
Employee contact information	E4 - 4	Employee Contact Information Records
Employee grievance/complaint	E5 - 2	Employee Grievance/Complaint Records
Employee group insurance	L13 - 9	Employee Group Insurance Files

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Employee history cards	E4 - 7	Employee History Cards
Employee ID card	E4 - 3	Employee ID Card Records
Employee illness and injury	E6 - 1	Employee Illness and Injury Records
Employee medical and personal files	E4 - 6	Employee Medical and Personal Records
Employee newsletters	E1 - 4	Employee Newsletters
Employee personnel files	E4 - 5	Employee Personnel Case Files
Employee retirement, disability, and benefits	L13 - 7	Employee Retirement, Disability, and Benefits Case Files
Employee training and certification	E4 - 8	Employee Training and Certification Records
Employee web browsing authorizations	E4 - 2	Employee Web Browsing Authorizations
Employees, protected	E3 - 1	Protected Employee Records
Employment eligibility verifications	E2 - 5	Employment Eligibility Verification (I-9s) Records
Employment services files	M2 - 7	Employment Services Case Files
Energy conservation services	I8 - 1	Energy Conservation Services and Assistance Records
Engineer Diaries	C5 - 2	Construction Project Planning and Engineering Records
Engineering, construction	C5 - 2	Construction Project Planning and Engineering Records
Entry authorizations	J9 - 7	Authorization to Enter Forms
Environmental enforcement and investigation	I4 - 9	Environmental Investigation and Enforcement Records
Environmental engineering	I2 - 4	Environmental Engineering Reports and Plans
Environmental equipment testing	I6 - 2	Environmental Equipment Quality Assurance Records
Environmental facilities licensing and permits	I4 - 6	Environmental Facilities Licensing, Permits, and Certification Records
Environmental impact studies and reports	I2 - 2	Environmental Impact Studies, Site Analyses, and Reports
Environmental inspection and monitoring	I4 - 8	Environmental Monitoring and Inspection Records
Environmental lab certification	I3 - 1	Environmental Lab Certification Records
Environmental licensing courses	I4 - 2	Environmental Licensing Course Approval Records
Environmental maps and plans	I2 - 1	Environmental Maps, Plans, and Photos
Environmental monitoring, facilities	C1 - 10	Facilities Fire, Safety, and Environmental Monitoring Records
Environmental professional licensing	I4 - 5	Environmental Professional Licensing Records
Environmental regulation	I4 - 7	Environmental Regulation and Licensing Records
Environmental strike force	I4 - 4	Environmental Strike Force Case Files
Environmental systems	I2 - 3	Environmental Systems Records
Equalized property valuations	L7 - 13	Equalized Property Valuations (EQVs)
Equipment case files	C1 - 4	Equipment Case Files
Equipment management	C1 - 5	Property, Vehicles, and Equipment Management Records
EQVs	L7 - 13	Equalized Property Valuations (EQVs)
Estate and inheritance tax	L3 - 5	Estate and Inheritance Tax Case Files
Estate public administration	L12 - 19	Estate Public Administration Records
Ethics	B1 - 6	Ethics and Conflict of Interest Records
Events, special	A10 - 1	Special Events Records
Evidence/property control	J4 - 2	Evidence/Property Control Records
Exams, student	H5 - 1	Student Tests and Examinations
Executive orders	A2 - 5	Executive Orders, Directives, and Bulletins



<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
		Records
Executives briefing files	A3 - 2	Executives' Briefing Files
Executives' correspondence	A3 - 1	Executives' Correspondence/Subject Files
Exhibits, litigation cases	B5 - 4	Litigation/Hearings Case Exhibits
External program relations	A7 - 6	External Program Relations Records
Facilities inspection	B4 - 2	Facilities Inspection, Monitoring, and Control Records
Facilities licensing	B4 - 3	Facilities Licensing and Certification Records
Facilities management	C1 - 1	Facilities Management Records
Facility disability access	C1 - 3	Facilities Disability Access Records
Facility informational data	C1 - 6	Buildings and Facilities Informational Data
Facility space planning	C1 - 2	State Office Space Planning Records
Faculty appointments	H6 - 4	Faculty Appointment Records
Faculty personal and professional papers	H6 - 1	Faculty Personal and Professional Papers
Faculty workload	H6 - 5	Faculty Workload Records
Family and child protection	K3 - 3	Family and Child Protective Services Case Files
Farmland valuation	L7 - 15	Farmland Valuation Advisory Commission Records (FVAC)
Federal candidate financial filings	G1 - 4	Federal Candidate Financial Reports
Federal/state relations	A7 - 4	Federal/State Relations Records
Financial aid, student	H2 - 4	Student Financial Aid Records
Financial filings, corporation campaign contributor	G1 - 10	Corporation Campaign Contributor Financial Filings
Financial filings, federal candidate	G1 - 4	Federal Candidate Financial Reports
Financial filings, general court candidates	G1 - 7	General Court Candidate Financial Filings
Financial filings, lobbyist/organization	G2 - 4	Lobbyist/Organization Registration and Financial Disclosure Filings
Financial filings, lobbyists' employers financial filings	G2 - 1	Lobbyists' Employers Financial Disclosure Filings
Financial filings, political action committee	G2 - 7	Political Action Committee Financial Filings
Financial filings, referendum committee	G1 - 9	Referendum Committee Financial Filings
Financial filings, statewide office	G1 - 8	Statewide Office Candidate Financial Filings
Financial filings, ward and town political party committee financial filing	G2 - 3	Ward and Town Political Party Committee Financial Filings
Finding aids	F7 - 4	Information Finding Aids, Indexes, and Lists
Fire code investigation	J7 - 9	Fire Code Investigation Records
Fire drills, facility	C1 - 10	Facilities Fire, Safety, and Environmental Monitoring Records
Fire incident reports	J7 - 1	Massachusetts Fire Incident Reports
Fire marshal inspection	J7 - 8	Fire Marshal Inspection Records
Fire professionals licensing	J7 - 7	Fire Professional Certificates/Licensing Records
Fire services statistical reports	J7 - 5	Fire Services Statistical Reports
Fire station, state	J7 - 12	State Fire Station Administration Records
Firearm/gunshot wound reports	J4 - 8	Firearm/Gunshot Wound Reports
Fiscal audit	D2 - 4	Fiscal Audit Records
Fiscal monitoring	D2 - 5	Fiscal Monitoring Records
Fiscal planning	D2 - 1	Fiscal Planning, Reports, and Surveys Records
Fishing and hunting licenses	I9 - 3	Fishing and Hunting Licensing Records
Fixed asset recording	C7 - 8	Fixed Asset Recording Records
Fixed assets accounting	D1 - 14	Fixed Asset Records
Food and drug licenses and permits	K9 - 6	Food and Drug License and Permits Records
Forensic lab reports	J6 - 3	Forensic Lab Reports
Forester licensing	I9 - 4	Forester Licensing Records
Forms, blank	F1 - 1	Blank Forms Stock

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Foster care	K3 - 4	Child Substitute/Foster Care Case Files
Foster home studies	K3 - 6	Adoption and Foster Home Studies Records
Fraud investigation, pension	L13 - 5	Pension Fraud Investigation Case Files
Fuel tank facility permits	J7 - 6	Fuel Tank Facility Permit Records
Fugitive renditions	B6 - 19	Fugitive Renditions Records
Fugitive renditions, attorney general	B6 - 19	Fugitive Renditions Records
GED certification	H5 - 5	General Educational Development (GED) Certification Records
General court candidate financial filings	G1 - 7	General Court Candidate Financial Filings
General educational development certification	H5 - 5	General Educational Development (GED) Certification Records
General Obligation Bond legal papers	B6 - 6	General Obligation Bond Records
General obligation bonds, treasurer	L12 - 21	Obligation Bonds and Notes Program Records
General office	A6 - 3	General Office Administration Records
Geological samples and records	C5 - 7	Geologic Samples and Records
Grant and contract administration	A9 - 2	Grant and Contract Administration Records
Grant and contract cost accounting	D1 - 2	Grant and Contract Cost Accounting Records
Grant program	A9 - 4	Grant Program Records
Grant proposals	A9 - 3	Grant Development and Proposal Records
Grant sponsorship	A9 - 4	Grant Program Records
Grants, economic or development	D3 - 2	State Economic or Development Grants Records
Grievances, employee	E5 - 2	Employee Grievance/Complaint Records
Group insurance, employee	L13 - 9	Employee Group Insurance Files
Guardianships and conservatorships	K1 - 4	Guardianships and Conservatorships Records
Gunshot/firearm wound reports	J4 - 8	Firearm/Gunshot Wound Reports
Habeas corpus	J9 - 11	Habeas Corpus Records
Hazardous materials contingency plans	I5 - 4	Hazardous Materials Contingency Plan Records
Hazardous materials regulation	I5 - 7	Hazardous Materials Regulation Records
Hazardous materials right-to-know	I5 - 3	Hazardous Materials Right-To-Know Records
Hazardous materials, facilities	C1 - 8	Facilities Hazardous Materials Monitoring Records
Hazardous substances, facilities	I5 - 8	Facilities Hazardous Substances Records
Hazardous waste cleanup	I5 - 6	Contaminated Site Cleanup Records
Hazardous waste cleanup cost recovery	I5 - 1	Hazardous Waste Cleanup Cost Recovery Records
Hazardous waste sites	I5 - 5	Hazardous Waste Sites and Spills Records
Hazardous waste transport and disposal	I5 - 11	Hazardous Waste Transport and Disposal Records
Hazardous waste manifests	I5 - 11	Hazardous Waste Transport and Disposal Records
Head injury program	K2 - 9	Disability Rehabilitation Case Files
Health and Human Services, Administration	K1 - 6	Medicaid Non-Institutional Care Review
Health and Human Services, Patient	K6 - 15	MH Forensic Evaluation Records
Health and Human Services, Public Health	K9 - 14	Epidemiology Case Records
Health and Human Services, Public Health	K9 - 15	Report of Infectious Diseases
Health and Human Services, Public Health	K9 - 16	Forensic Test Results
Health and insurance claims	K2 - 1	Health and Insurance Claim Records
Health care complaints, mental health	K6 - 14	DMH Client Human Rights Complaint/Investigation Records
Health care utilization reviews	K1 - 6	Health Care Utilization Review Records
Health care finance and policy	K11 -	All Series
Health clinic, student	H9 - 5	Student Health Clinic Records
Health lab tests	K4 - 4	Health Laboratory Tests, Clinical

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Health studies and surveys	K1 - 2	Health Studies and Surveys Records
Hearings, litigation	B5 - 4	Litigation/Hearings Case Exhibits
HEGIS reports	H1 - 1	HEGIS Report Records
Help desk, computer systems	F5 - 6	Systems Technical Support and Assistance Records
Highway and bridge maintenance	C6 - 1	Highway and Bridge Maintenance Records
Highway Department	C10 -	All Mass Highway Series
Hiring and recruitment	E2 - 3	Recruitment and Hiring Records
Historic preservation certification	G10 - 6	Historic Preservation Certification Records
Historic preservation resource files	G10 - 2	Historic Preservation Information Source Files
Historic preservation restrictions agreements	G10 - 3	Historic Preservation Restrictions Agreement Records
Historic preservation, environment	I1 - 2	Environmental Historic Preservation Program Records
Historic property appraisers certification	G10 - 1	Property Appraisers Certification Records
Housing tenants	C7 - 2	Housing Tenants Records
Human and animal subjects protection	K9 - 8	Human and Animal Subjects Protection Records
Human resources programs	E1 - 1	Human Resources Programs Records
I9s	E2 - 5	Employment Eligibility Verification (I-9s) Records
ID card, employee	E4 - 3	Employee ID Card Records
Illness and injury, employee	E6 - 1	Employee Illness and Injury Records
Immunizations	K9 - 4	Immunization Records
Immunizations, student	H2 - 2	Student Immunization Records
Inauguration, attorney general	B6 - 7	Attorney General Inauguration Records
Incident/complaint investigation, public safety	J3 - 7	Incident/Complaint Investigation Records
Independent accounting/payroll systems	D1 - 1	Independent Accounting/Payroll System Records
Independent and cooperative study	H3 - 4	Independent/Cooperative or Alternate Study Records
Indexes	F7 - 4	Information Finding Aids, Indexes, and Lists
Industrial accident investigation	M1 - 9	Industrial Accident Investigation Case Files
Industrial Accidents and Injury	M1 - 10	Disability Unit File
Industrial Accidents and Injuries	M1 - 11	Valuation Work Papers
Industrial Accidents and Injuries	M1 - 12	Valuation Data Work Papers
infection and communicable disease	K9 - 10	Infection and Communicable Disease Control Records
Infectious disease investigation	K9 - 1	Infectious Disease Case Files
Infectious disease outbreak	K9 - 3	Infectious Disease Outbreak Records
Information routing and tracking	F3 - 1	Information Routing and Tracking Records
Informational circulars	A2 - 1	Informational Circulars
Initiative petition review, attorney general	B6 - 5	Attorney General Initiative Petition Review Records
Initiatives, program	A11 - 2	Program Special Projects, Studies, and Initiatives Records
Inmate accounts	J8 - 4	Inmate Account Records
Inmate booking	J8 - 2	Inmate Booking Records
Inmate central file	J8 - 6	Inmate Central Case File
Inmate commitments and discharges	J8 - 1	Inmate Commitments/Discharges Logs and Indexes
Inmate correspondence	J8 - 22	Inmate Institutional Correspondence
Inmate discipline	J8 - 17	Inmate Disciplinary Records
Inmate drug testing	J8 - 14	Inmate Drug Testing
Inmate furlough/work release	J8 - 11	Inmate Furlough/Work Release Files

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Inmate good-time	J8 - 9	Inmate Earned Good-Time Rosters (129-D)
Inmate grievances	J8 - 21	Inmate Grievance Logs and Records
Inmate industrial program files	J8 - 10	Inmate Industrial and Institutional Work Records
Inmate institutional case file	J8 - 5	Inmate Institutional Case File
Inmate investigations	J8 - 19	Inmate Investigation Records
Inmate medical records	J8 - 7	Inmate Medical Records
Inmate movement	J9 - 9	Inmate Movement Records
Inmate pardons and commutations	J8 - 13	Inmate Pardons and Commutations Records
Inmate personal property	J8 - 3	Inmate/Detainee Personal Property Records
Inmate population counts	J9 - 9	Inmate Movement Records
Inmate probation/parole	J8 - 12	Inmate Parole Records
Inmate program files	J8 - 8	Inmate Program Records
Inmate restraint and seclusion	J8 - 16	Inmate Restraint, Seclusion, and Monitoring Records
Inmate rosters	J9 - 9	Inmate Movement Records
Inmate surveillance	J8 - 18	Inmate Surveillance Records
Inmate telephone number requests	J8 - 23	Inmate Telephone System Number Requests
Inmate visitors	J8 - 20	Inmate Visitor Records
Inquiries and informational requests	A5 - 7	Routine Inquiries and Informational Requests
Inspection, facilities	B4 - 2	Facilities Inspection, Monitoring, and Control Records
Institution admissions and discharges	K6 - 4	Patient Admission and Discharge Records
Institutional census and population	J9 - 6	Census and Population Counts
Institutional codes and alerts	J9 - 12	Code or Alert Records
Institutional diet files	J9 - 5	Dietary/Meal Records
Institutional quality assurance	K4 - 5	Quality Assurance Records
Institutional resident accounts	K6 - 7	Institutional Resident Accounts Records
Institutional resident property	K6 - 10	Institutional Client Property and Valuables Records
Institutional shift	J9 - 1	Shift Commanders Daily Reports/Package
Institutional shift logs	J9 - 2	Unit Log Books
Institutional visitors	K10 - 8	Visitors Records
Insurance administrative law cases	L11 - 23	DOI Administrative Law Case Files
Insurance appeals, motor vehicle	L11 - 22	Motor Vehicle Insurance Appeal Records
Insurance company fiscal review	L11 - 17	Insurance Company Fiscal Review/Audit Records
Insurance company insolvency	L11 - 25	Insurance Company Insolvency Records
Insurance company insolvency	L11 - 7	Business Entity Insurance Producer Licensing Records
Insurance company insolvency	L11 - 24	Insurance Company Restructuring Records
Insurance company licensing	L11 - 2	Insurance Company Licensing Records
Insurance company market conduct	L11 - 15	Insurance Company Market Conduct Records
Insurance company powers of attorney	L11 - 3	Insurance Company Powers of Attorney Records
Insurance company restructuring	L11 - 7	Business Entity Insurance Producer Licensing Records
Insurance company restructuring	L11 - 25	Insurance Company Insolvency Records
Insurance company restructuring	L11 - 24	Insurance Company Restructuring Records
Insurance complaints	L11 - 19	Consumer Inquiries and Complaints Records
Insurance consumer education	L11 - 14	Consumer Insurance Education Program Records
Insurance enforcement	L11 - 21	Insurance Investigation and Enforcement Case Files
Insurance group marketing plan	L11 - 12	Group Marketing Plan Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Insurance legal process	L11 - 20	DOI Legal Process Records
Insurance licensing and filing register	L11 - 1	Insurance Licensing and Filings Register
Insurance policies and rate setting	K8 - 1	Insurance Policies and Rate Setting Records
Insurance policy filings	L11 - 10	Insurance Policy Forms and Rate Filings
Insurance policy filings, health	L11 - 11	Health Insurance Policy Forms, Rates, and Statistical Filings
Insurance producer licensing, business entity	L11 - 25	Insurance Company Insolvency Records
Insurance producer licensing, business entity	L11 - 7	Business Entity Insurance Producer Licensing Records
Insurance producer licensing, business entity	L11 - 24	Insurance Company Restructuring Records
Insurance producer licensing, individual	L11 - 8	Individual Insurance Producer Licensing Records
Insurance prohibited persons	L11 - 18	Prohibited Persons Business Application Records
Insurance rate hearings	B6 - 16	Insurance Rate Hearings Records
Insurance risk group registrations	L11 - 5	Risk Retention/Purchasing Group Registration Records
Insurance special risk licensing	L11 - 9	Special Risk Broker Licensing Records
Insurance surplus line licensing	L11 - 4	Surplus Lines Company Licensing Records
Inter-agency relations	A7 - 3	Inter-Agency Relations Records
Intern and resident training	K10 - 9	Intern and Resident Training Records
Intern and volunteers	E4 - 9	Intern and Volunteer Records
Internal control, fiscal	D2 - 7	Fiscal Systems Internal Control Records
Internal investigation	B3 - 5	Internal Investigation Records
International student files	H8 - 4	International Students Case Files
International studies	H3 - 5	International Studies Program Records
Internships and practicums, student	H3 - 3	Student Internships and Practicums Records
Intra-agency relations	A7 - 1	Intra-Agency Relations Records
Intra-governmental relations	A7 - 2	Intra-Governmental Coordination
Inventory files	C1 - 7	Inventory Records
Investigation, Civil	B3 - 3	Civil Investigation Records
Investigation, consumer complaint	B6 - 13	Consumer Complaint Investigations Records
Investigation, contractor bid award	B6 - 17	Contract Bid Award Investigation Records
Investigation, discrimination	B3 - 2	Discrimination Investigation Case Files
Investigation, internal	B3 - 5	Internal Investigation Records
Investigation, routine	B3 - 1	Investigation Case Files
Investigation, special	B3 - 4	Special Investigation Records
Investigations, campaign finance	G1 - 6	Campaign Finance Monitoring and Investigation Records
Investigations, open meeting law	B6 - 8	Open Meeting Law Investigation Records
Investigations, public charities	B6 - 15	Public Charity Investigation Records
Investments management	L12 - 3	Cash Forecasting and Positioning Records
Issues	A5 - 3	Program Issues and Topics Records
Job applications, unsolicited	E2 - 2	Unsolicited Job Applications
Job position administration	E2 - 4	Job Position Administration Records
Journal voucher	D1 - 3	Routine Accounting Records
Juvenile prosecution files	B6 - 11	District Attorney Case Files
Lab certification, environmental	I3 - 2	Environmental Laboratory Records
Labor and industries reports	M2 - 1	Labor and Industries Statistics and Reports
Labor mediation and arbitration	M2 - 5	Grievance, Mediation, and Arbitration Administration Records
Labor relations	M2 - 2	Labor Relations Records
Labor Relations Commission	M4 -	All Series

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Laboratory, crime	J6 - 2	Crime Lab Case Records
Laboratory, environmental	I3 - 2	Environmental Laboratory Records
Laboratory, public health	K4 - 2	Laboratory Licensure and Certification Records
Land acquisition	B1 - 8	Land Management and Acquisition Records
Land affidavit to foreclose	L7 - 11	Land of Low Value (Affidavit to Foreclose) Records
Land and deeds, Treasurer's	L12 - 6	Treasurer Land and Deed Records
Land and property appraisals	C7 - 10	Real Property Vital Records
Land and property disposition	C7 - 9	Real Estate Disposition Records
Land and property disposition proposals	C7 - 6	Real Estate Disposition Proposal Records
Land and property vital records	C7 - 10	Real Property Vital Records
Land of low value	L7 - 11	Land of Low Value (Affidavit to Foreclose) Records
Land registration	C7 - 16	Land Registration Records
Land survey	C7 - 17	Land Survey Records
Land title examiner reference files	C7 - 15	Land Title Examiner Reference Records
Land valuation, municipal	L7 - 7	Municipal Land Valuation Records
Lantern slides	F4 - 4	Photographs, Slides, and Illustrations
Lease and rental, routine	C1 - 11	Lease and Rental Administration Records
Lease procurement, state	C7 - 13	State Agency Lease Procurement Records
Lease proposals, state agency	C7 - 12	State Agency Lease Proposal Records
Leasing reports, state	C7 - 3	State Leasing Reports
Legacy data	F7 - 7	Legacy Data Records
Legal announcements	B1 - 2	Legal Announcements and Advertisements Records
Legal issues	A5 - 3	Program Issues and Topics Records
Legal letter release	A2 - 3	Legal Letter Release Records
Legal opinion	B1 - 3	Legal Opinion Records
Legal review	B1 - 1	Legal Review Records
Legal testimony	B5 - 5	Legal Briefs and Testimony Records
Legislation	A2 - 7	Legislation Records
Legislative agents registration	G2 - 4	Lobbyist/Organization Registration and Financial Disclosure Filings
Legislative relations	A2 - 8	Legislative Relations Records
Letters of recommendation	E2 - 1	Recommendation Letters
Levy limits, municipal	L6 - 8	Municipal Proposition 2 1/2 Records
Library/Archives	G11 -	All Series
Librarian certification	G11 - 9	Librarian Certification Records
Library borrowers files	H10 - 1	Borrowers Records
Library/archives accession logs	G11 - 1	Library/Archives Accession Log
Library/archives call slips	G11 - 4	Library/Archives Call Slips
Library/archives patron registration logs	G11 - 5	Archives Researcher Registers
Library/archives reference requests	G11 - 3	Library/Archives Reference Requests
Licenses and permits, special	J2 - 1	Special Licenses and Permits Records
Licensing complaints	B4 - 4	Licensure Complaints, Investigations, and Hearings Records
Licensing, environmental	I4 - 7	Environmental Regulation and Licensing Records
Licensing, environmental facilities	I4 - 6	Environmental Facilities Licensing, Permits, and Certification Records
Licensing, environmental professional	I4 - 5	Environmental Professional Licensing Records
Licensing, facilities	B4 - 3	Facilities Licensing and Certification Records
Licensing, professional	B4 - 5	Professional Licensure and Certification Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Licensure, professional environmental	I4 - 5	Environmental Professional Licensing Records
Licensure, professional trades	B4 - 5	Professional Licensure and Certification Records
Litigation cases, routine	B5 - 3	Litigation Case Files
Litigation, attorney general	B6 - 10	Attorney General Litigation Files
Litigation, construction	C2 - 8	Construction Project Litigation Case Files
Litigation, district attorney	B6 - 11	District Attorney Case Files
Live birth certificates	K5 - 8	Live Birth Certificates R3
Loan and mortgage application appeals	L10 - 11	Loan Appeal Board Case Files
Loan and trust disbursements	D1 - 9	Trust and Loan Disbursement Records
Lobbyist/Organization filings	G2 - 4	Lobbyist/Organization Registration and Financial Disclosure Filing
Lobbyist/organization filings monitoring	G2 - 5	Lobbyist/Organization Filings Monitoring Records
Lobbyists and employers reports	G2 - 6	Lobbyists and Employers Reports
Lobbyists' employers financial filings	G2 - 1	Lobbyists' Employers Financial Disclosure Filings
Lockbox provider, accounting	D1 - 1	Independent Accounting/Payroll System Records
Log/blotter, public safety	J4 - 11	Central Activity Log/Blotter Records
Long term care cost reports	K1 - 3	Long Term Care Cost Reports
Lost and recovered property	J4 - 7	Lost and Recovered Property Records
Lottery administrative hearings	L12 - 17	Lottery Administrative Hearing Case Files
Lottery agent licensing	L12 - 12	Lottery Sales Agent Licensing Records
Lottery claims	L12 - 14	Lottery Claim Records
Lottery enforcement	L12 - 16	Lottery Investigation and Enforcement Records
Lottery liens and levies	L12 - 15	Lottery Liens, Levies, and Orders Records
Mail, dead letter	F1 - 4	Dead Letter File
Mail, returned	F1 - 3	Returned Mail
Mammography inspections	K9 - 11	Radioactive Materials Monitoring and Control Records
Manuals, systems and technical	F2 - 2	Systems Manuals and Technical Reference Materials
Maps and plans, environmental	I2 - 1	Environmental Maps, Plans, and Photos
Maps, drawings and plans	F4 - 5	Maps, Drawings, and Plans
Marriage index	K5 - 4	Marriage Index
Marriage returns	K5 - 5	Marriage Returns
Marriage, solemnization	G4 - 6	Non-Resident Clergyman and Solemnization of Marriage Records
Massport, Administration and Finance	N25 - 1	Rates and Charges Filed
Massport, Aviation Operations Admin	N1 - 1	Daily Operational Reports
Massport, Aviation Operations Admin	N1 - 2	Logan Airport Tenant Alterations Files
Massport Aviation Operations Admin	N1 - 3	Daily Operations Reports
Massport Aviation Operations Admin	N1 - 4	Logan Airport, Incident Reports
Massport, Aviation Operations Admin	N1 - 5	Logan Airport, Violations
Massport, Aviation Operations Admin	N1 - 6	Logan Airport, Accident Reports
Massport, Aviation Operations Admin	N1 - 7	Logan Airport, Supervisor Terminal Reports
Massport Aviation Operations Admin.	N1 - 8	Logan Airport, Violations File
Massport, Black Falcon Cruise Terminal	N16 - 1	U.S. Government Permits
Massport, Black Falcon Cruise Terminal	N16 - 2	Leased Areas File
Massport, Black Falcon Cruise Terminal	N16 - 3	Port of Boston Union File
Massport, Black Falcon Cruise Terminal	N16 - 4	Ship Log Files
Massport, Black Falcon Cruise Terminal	N16 - 5	Purchasing Files
Massport, Central Services	N22 - 1	Repair and Use Logs
Massport, Central Services	N22 - 2	Charge Back Source Documents

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Massport, Central Services	N22 - 3	Real World Inventory File
Massport, General Accounting	N21 - 1	Chart of Accounts
Massport, General Accounting	N21 -	2-Year End Schedule/Work Papers
Massport, Hanscom Field	N12 -	1 Inspections Files
Massport, Hanscom Field	N12 -	2 Nighttime Field Use Records
Massport, Hanscom Field	N12 -	3 Noise Complaints File
Massport, Hanscom Field	N12 -	4 Noise Monitoring Procedures
Massport, Hanscom Field	N12 -	5 Noise Rule Proceedings
Massport, Hanscom Field	N12 -	6 Noise and Operations Data
Massport, Hanscom Field	N12 -	7 Tenant Files
Massport, Hanscom Field	N12 -	8 Hanscom Manifests
Massport, Hanscom Field	N12 -	9 Hanscom Stickers
Massport, Hanscom Field	N12 -	10 Snow Removal Summaries
Massport, Hanscom Field	N12 -	11 Ramp Permit Files
Massport, Hanscom Field	N12 -	12 Notams File
Massport, Hanscom Field	N12 -	13 Maintenance Files
Massport, Hanscom Field	N12 -	14 Loss Control Reports
Massport, Hanscom Field	N12 -	15 Monthly Statistical Reports
Massport, Human Resources	N18 -	1 RRP (Recruitment and Referral Program)/Tenant Files
Massport, Labor Relations	N24 -	1 Labor Relations Commission Cases
Massport, Labor Relations	N24 -	2 Union Claims File
Massport, Labor Relations	N24 -	3 Seniority Lists
Massport Logan, Aviation Marketing	N8 -	1 Concession Monitoring Files
Massport Logan, Aviation Marketing	N8 -	2 Trade Show Files
Massport Logan, Capital Accounting	N23 -	1 Landing and Passenger Fee Reports
Massport Logan, Capital Accounting	N23 -	2 Fixed Assets Register
Massport Logan, Capital Accounting	N23 -	3 Fiscal Year Cumulative Job Sheets
Massport Logan, Capital Accounting	N23 -	4 Monthly Job Sheets
Massport Logan, Capital Accounting	N23 -	5 Monthly Summary Trial Balance Books
Massport Logan, Capital Accounting	N23 -	6 Project Payment Files/Contracts Under Seal
Massport Logan, Capital Accounting	N23 -	7 Monthly Journal Entries
Massport Logan, External Affairs	N19 -	1 Emergency Procedures/Public Safety
Massport Logan, Government and Community Affairs	N20 -	1 Impacted Communities File
Massport Logan, Government and Community Affairs	N20 -	2 Neptune Road Program Files
Massport Logan, Ground Transportation	N10 -	1 Daily Reports
Massport Logan, Ground Transportation	N10 -	2 Taxi Pool Ticket Logs
Massport Logan, Ground Transportation	N10 -	3 Personnel Files
Massport Logan, Ground Transportation	N10 -	4 Ground Transportation Agreements
Massport, Logan Parking Facilities	N5 -	1 Inventories
Massport, Logan Parking Facilities	N5 -	2 Log Books
Massport Logan, Parking Revenue Audit	N11 -	2 Lost Ticket Vouchers
Massport Logan, Parking Revenue Audit	N11 -	3 Parking Fee Reports
Massport Logan, Parking Revenue Audit	N11 -	5 Shuttle Buses and Taxi Pool
Massport Logan, Parking Revenue Audit	N11 -	6 Audit Problems
Massport Logan, Parking Revenue Audit	N11 -	7 Cashier's Daily Work (Database)
Massport Logan, Parking Revenue Audit	N11 -	8 Parking Tickets
Massport Logan, Parking Revenue Audit	N11 -	9 Void Tickets
Massport Logan, Parking Revenue Audit	N11 -	10 Credit Card Receipts
Massport Logan, Private Carrier	N9 -	1 Ground Transportation Files
Massport Logan, Private Carrier	N9 -	2 Monthly Revenue Forms
Massport, Logan, Utilities Management	N7 -	1 Meter Readings File



<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Massport. Logan, Utilities Management	N7 -	2 Meter Records Log Book
Massport Logan, Utilities Management	N7 -	3 Utility Account Log Books
Massport Logan, Utilities Management	N7 -	4 System Account Log Books
Massport Logan, Utilities Management	N7 -	5 Utility Account Computer Input
Massport Logan, Utilities Management	N7 -	6 tility Account Usage Report
Massport Logan, Utilities Management	N7 -	7Budgetary Unit Usage Report
Massport Logan, Utilities Management	N7 -	8 energy Use Reports
Massport Logan, Utilities Management	N7 -	9 Budget History (Fiscal Year End)
Massport Logan, Utilities Management	N7 -	10 Utility Accounts/Budget Unit Master Files
Massport Logan, Utilities Management	N7 -	11 Tenant Utility Report
Massport Logan, Utilities Management	N7 -	12 Utility Systems Accounts
Massport Logan, Utilities Management	N7 -	13 Department Subject Files
Massport Logan, Utilities Management	N7 -	14 Utilities Budget
Massport, Maritime Administration	N13 -	1 Association Files
Massport, Maritime Administration	N13 -	2 Facility Files
Massport, Maritime Administration	N13 -	3 Tariff Files
Massport, Maritime Administration	N13 -	4 Lease Files
Massport, Maritime Administration	N13 -	5 Maritime Damage Claims
Massport, Maritime Administration	N13 -	6 Capital Project Files
Massport, Maritime Administration	N13 -	7 Terminal Reports/Statistics
Massport, Maritime Administration	N13 -	8 Consultants/Contractors File
Massport, Maritime Operations	N15 -	1 Facility Files
Massport, Maritime Operations	N15 -	2 Personnel Files
Massport, Maritime Operations	N15 -	3 Security Files
Massport, Maritime Operations	N15 -	4 U.S. Government Files
Massport, Maritime Operations	N15 -	5 Equipment Interchange Receipt/Transfer Interchange Receipt Files
Massport, Maritime Operations	N15 -	6 Maintenance Record Files
Massport, Maritime Operations	N15 -	7 Inventory Record Files
Massport, Maritime Operations	N15 -	8 Ship Log Files
Massport, Maritime Sales and Marketing	N17 -	1 Steamship Lines
Massport, Maritime Sales and Marketing	N17 -	2 Brochure Files
Massport, Property Management Fish Pier	N14 -	1 Contract Files
Massport, Property Management Fish Pier	N14 -	2 Prospective Tenant Files
Massport, Property Management Fish Pier	N14 -	3 Electrical Workers Orders File
Massport, Property Management Fish Pier	N14 -	4 Fish Pier Log Books
Massport, Shuttle, Logan Airport	N6 -	1 Contract Files
Massport Shuttle, Logan Airport	N6 -	2 Department Correspondence Files
Mass environmental protection act compliance	I4 -	3 Mass Environmental Protection Act (MEPA) Review Records
M.E.P. Public Records	B2 -	3 Public Records Request
Master plan for development	C3 -	1 Master Plan for Development Records
Masters theses	H5 -	3 Masters Theses
Material safety data sheets	C1 -	8 Facilities Hazardous Materials Monitoring Records
Media releases	A8 -	2Media Advisories and Releases Records
Mediation and arbitration, labor	M2 -	5 Grievance, Mediation, and Arbitration Administration Records
Medical and biological waste disposal	I6 -	5 Medical, Biological, and other Waste Disposal Records
Medical examiners autopsy files	J6 -	4 Medical Examiners Autopsy Case Files
Medical laboratory licensure	K4 -	2 Laboratory Licensure and Certification Records
Medical patient files	K6 -	8 Medical Patient Case Files

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Medical patient x-rays	K6 -	3 Patient X-Ray Records
Medical, personnel	E6 -	1 Employee Illness and Injury Records
Meeting minutes	A4 -	2 Standing Committees, Councils, Boards, and Commissions Records
Meeting tapes	F4 -	3 Audio/Visual Tape or Digital Recordings
Memorabilia	A1 -	11 Artifacts and Memorabilia
Memorial, construction dedications	C5 -	5 Facility Memorials and Dedications Records
Mental health outpatient files	K6 -	5 Mental Health Patient Clinic (Outpatient) Records
Mental health patient files	K6 -	2 Mental Health Patient Case Files
MEPA	I4 -	3 Mass Environmental Protection Act (MEPA) Review Records
Micrographic files	F4 -	2 Micrographic Records
Middlesex Sheriff's Office	J10 -	All Series
Minority business bidding	C2 -	10 Minority/Women/Disadvantaged Business Certification Records
Minutes and agendas	A4 -	2 Standing Committees, Councils, Boards, and Commissions Records
Missing persons reports	J4 -	1 Missing Persons Reports Records
Missions and goals	A1 -	1 Program Establishment, Development, and Review Records
Mittimus	J9 -	10 Mittimus Records
Motor vehicle accident investigation	J5 -	3 Motor Vehicle Accident Investigation Records
Motor vehicle accident reports	J5 -	6 Motor Vehicle Accident Reports
Motor vehicle citations, moving violations	J5 -	13 Motor Vehicle Citations, Moving Violations Records
Motor vehicle citations, parking	J5 -	12 Motor Vehicle Citations, Parking Records
Motor vehicle drivers license exams	J5 -	2 Motor Vehicle Drivers License Exams
Motor vehicle inspection stations	J5 -	8 Motor Vehicle Inspection Stations Records
Motor vehicle insurance appeals	L11 -	22 Motor Vehicle Insurance Appeal Records
Motor vehicle license plate applications	J5 -	9 Motor Vehicle License Plate Applications Records
Motor vehicle operators licensing	J5 -	7 Motor Vehicle Operators Licensing and ID Card Records
Motor vehicle operators merit rating	J5 -	1 Motor Vehicle Operators Merit Rating Records
Motor Vehicle Recreation	J5 -	14 Accident Reports
Motor Vehicle Recreation	J5 -	15 Accident Investigation Records
Motor vehicle reports	J5 -	10 Motor Vehicle Reports
Motor vehicle title registration	J5 -	4 Motor Vehicle Title Registration and Renewal Records
Motor vehicle towing	J5 -	11 Motor Vehicle Towing Reports
MSDS	C1 -	8 Facilities Hazardous Materials Monitoring Records
Municipal audit reports	L6 -	6 Municipal Audit Report Records
Municipal balance sheets	L6 -	12 Municipal Balance Sheet Reports
Municipal budget schedules	L7 -	2 Municipal Budget Schedules (Cherry Sheets)
Municipal cash reconciliation reports	L6 -	4 Municipal Cash Reconciliation Report Records
Municipal compensating balance	L6 -	10 Municipal Compensating Balance Report Records
Municipal emergency aid	L7 -	4 Municipal Emergency Aid Records
Municipal funding	D3 -	1 State Municipal Funding Records
Municipal land valuation	L7 -	7 Municipal Land Valuation Records
Municipal levy limits	L6 -	8 Municipal Proposition 2 1/2 Records
Municipal proposition 2 1/2	L6 -	8 Municipal Proposition 2 1/2 Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Municipal schedule A reports	L6 - 3	Municipal Schedule A Report Records
Municipal tax rate certification (Recap Sheets)	L6 - 5	Municipal Tax Rate Certification Records
Municipal underground storage tank reimbursement	L9 - 1	Municipal Underground Storage Tank Reimbursement Program Records
National historic preservation act compliance	G10 - 4	National Historic Preservation Act Compliance Records
National register of historic places compliance	G10 - 5	National Register of Historic Places Compliance Records
Natural resources management	I1 - 1	Environmental Natural Resources Management Records
Needs assessments, social programs	K8 - 2	Social Needs Assessments Reports
News releases	A8 - 2	Media Advisories and Releases Records
Newsletters, employees	E1 - 4	Employee Newsletters
Newspaper clipping memorabilia	A1 - 11	Artifacts and Memorabilia
Newspaper clippings subject files	A5 - 2	Program Subject/Resource Articles and Clippings
Newspaper clippings, agency history	A1 - 10	Program Historical Articles and Clippings
Noise Abatement	N2 - 1	Logan Airport Sound Insulation Program
Non-resident clergyman	G4 - 6	Non-Resident Clergyman and Solemnization of Marriage Records
Notary public apostille verification	G4 - 10	Notary Public Apostille Verification Records
Notary public validation of acts certification	G4 - 11	Notary Public Validation of Acts Certification Records
Oaths of office	G4 - 5	Appointment Qualification Certification Records
Occupational safety and health	M1 - 2	Occupational Safety and Health Reports
Office social activity	A6 - 1	Office Social Activity Records
Office transition	A3 - 3	Elected Office Transition Files
Officers daily journal	J4 - 12	Officers Daily Journal
Old files	F1 - 7	Old Records
Ombudsman	A8 - 4	Ombudsman/Advocate Records
Omitted and revised assessments Rollback Tax Records	L7 - 16	Omitted and Revised Assessments and
Open meeting law investigations	B6 - 8	Open Meeting Law Investigation Records
Opinion, legal	B1 - 3	Legal Opinion Records
Organizational charts	A1 - 1	Program Establishment, Development, and Review Records
Organizations and associations	A7 - 7	Professional Organizations and Associations Records
OSHA accident and illness logs	M1 - 2	Occupational Safety and Health Reports
Outreach and training	A5 - 4	Program Outreach and Training Records
Owners unknown assessment	L7 - 17	Owners Unknown Assessment Records
PAC financial filings	G2 - 7	Political Action Committee Financial Filings
Packing lists	D1 - 3	Routine Accounting Records
Paramedics communications logs	K10 - 11	Paramedics Communication Logs
Parks shift logs	I9 - 1	Parks Shift Records
Parks, shift logs (redbooks)	I9 - 1	Parks Shift Records
Patient autopsy	K4 - 1	Patient Autopsy Records
Patient rehabilitation	K6 - 9	Patient Rehabilitation Program Records
Patients, admitted	K6 - 8	Medical Patient Case Files
Payment signature authorizations	D1 - 10	Payment Signature Authorization Records
Payment vouchers, routine	D1 - 3	Routine Accounting Records
Payroll administration	D4 - 5	Payroll Administration Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Payroll and benefits	D4 - 2	Payroll and Benefits Case Files
Payroll warrants	D4 - 5	Payroll Administration Records
Payroll/accounting systems, independent	D1 - 1	Independent Accounting/Payroll System Records
Pension fraud investigations	L13 - 5	Pension Fraud Investigation Case Files
Performance bonds, appointment	G4 - 4	Appointment Performance Bond Filings
Permits and certificates stock	F1 - 5	Unused Permits, Certificates, Decals, and Stickers
Permits, clean air and water	I6 - 4	Clean Air and Water Records
Permits, drinking water	I7 - 1	Drinking Water Certification, Permits, and Approval Records
Permits, environmental	I4 - 6	Environmental Facilities Licensing, Permits, and Certification Records
Permits, environmental facility	I4 - 6	Environmental Facilities Licensing, Permits, and Certification Records
Permits, environmental systems	I2 - 3	Environmental Systems Records
Permits, food and drug	K9 - 6	Food and Drug License and Permits Records
Permits, fuel tank	J7 - 6	Fuel Tank Facility Permit Records
Permits, routine	B4 - 1	Permits Records
Permits, special	J2 - 1	Special Licenses and Permits Records
Permits, unused	F1 - 5	Unused Permits, Certificates, Decals, and Stickers
PERAC	D5 - 1	Financial Statements
Personnel actions	E5 - 3	Personnel Action Records
Personnel files	E4 - 5	Employee Personnel Case Files
Personnel files, supervisor's copy	E4 - 5	Employee Personnel Case Files
Pharmacy	K7 - 1	Pharmacy and Prescriptions Records
Photographs and slides	F4 - 4	Photographs, Slides, and Illustrations
Plan, master for development	C3 - 1	Master Plan for Development Records
Planning and evaluation	A1 - 5	Program Plans and Planning Records
Planning, capital	C3 - 2	Capital Projects Planning Records
Planning, fiscal	D2 - 1	Fiscal Planning, Reports, and Surveys Records
Plans and specifications, construction	C5 - 6	Building Plans and Specifications Records
Plans, capital improvement	D2 - 2	Capital Improvement Plan Records
Policy and procedures	A2 - 4	Policy and Procedures Records
Political action committee financial filings	G2 - 7	Political Action Committee Financial Filings
Political committee statements of organization	G2 - 2	Political Committee Statements of Organization Filings
Polling place registrations	G3 - 5	Polling Place Registrations
Prescriptions	K7 - 1	Pharmacy and Prescriptions Records
Press releases	A8 - 2	Media Advisories and Releases Records
Prevailing wage rate	M2 - 6	Prevailing Wage Rate Records
Procedures and policy	A2 - 4	Policy and Procedures Records
Procurement and bid	D1 - 11	Bid and Procurement Records
Professional associations	A7 - 7	Professional Organizations and Associations Records
Professional licensing	B4 - 5	Professional Licensure and Certification Records
Professional organizations	A7 - 7	Professional Organizations and Associations Records
Professional services contracts, Construction Contract Records	C2 - 5	Construction Project Professional Services
Professional, trade, business license listings	L4 - 2	Profession, Trade, or Business License Listings
Program administration	A5 - 5	Program Administration Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Program development	A1 - 1	Program Establishment, Development, and Review Records
Program establishment	A1 - 1	Program Establishment, Development, and Review Records
Program issues and topics	A5 - 3	Program Issues and Topics Records
Program monitoring, social services	K8 - 5	Service Provider Monitoring and Investigation Records
Program needs assessments	A1 - 5	Program Plans and Planning Records
Program outreach and training	A5 - 4	Program Outreach and Training Records
Program planning and evaluation	A1 - 5	Program Plans and Planning Records
Program publications	A5 - 6	Program Publication Records
Program reorganization Review Records	A1 - 1	Program Establishment, Development, and Review Records
Program research	A11 - 1	Program Research and Survey/Questionnaire Data
Program research and studies	A11 - 1	Program Research and Survey/Questionnaire Data
Program review	A1 - 1	Program Establishment, Development, and Review Records
Program review, audit	A1 - 3	Program Review/Audit Records
Program subject/resource files	A5 - 1	Program Subject/Resource Records
Property access, state property	C7 - 14	State Property Access License Records
Property and assets, unassigned	L7 - 6	Unassigned Assets and Property Reports
Property and land appraisals	C7 - 10	Real Property Vital Records
Property and land disposition	C7 - 9	Real Estate Disposition Records
Property and land vital records	C7 - 10	Real Property Vital Records
Property disposition disclosures	C7 - 7	Real Estate Disposition Disclosure Records
Property disposition proposals	C7 - 6	Real Estate Disposition Proposal Records
Property for sale inquiries, state	C7 - 11	State Property For Sale Inquiries Records
Property insurance loss reports	J7 - 3	Massachusetts Property Insurance Loss Reports
Property inventory reports, state	C7 - 4	State Property Inventory Reports
Property management, state	C7 - 1	State Property Management Monitoring Records
Property settlements and judgments	C2 - 9	Property Settlements and Judgments Payment Records
Property valuation certification	L7 - 9	Property Valuation Certification Records
Property valuation compliance	L7 - 12	Property Valuation Compliance Program Records
Property valuations, equalized	L7 - 13	Equalized Property Valuations (EQVs)
Property, lost and recovered	J4 - 7	Lost and Recovered Property Records
Proposition 2 1/2	L6 - 8	Municipal Proposition 2 1/2 Records
Protected employees	E3 - 1	Protected Employee Records
Protective custody	J4 - 13	Protective Custody Records
Public appearances	A8 - 3	Public Appearances, Speeches, and Writings
Public charities filings	B6 - 14	Public Charities Filing Records
Public charity investigations	B6 - 15	Public Charity Investigation Records
Public Information	N4 - 1	Logan Airport, Interpreter Program
Public Information	N4 - 2	Logan Airport, Daily Logs
Public Information	N4 - 3	Logan Airport, Public Information Agents Files
Public Information	N4 - 4	Logan Airport, Public Information Service Reports Files
Public Information	N4 - 5	Logan Airport, Airlines Files
Public records request appeals	B2 - 2	Public Records Appeal Case Files
Public records request enforcement	B6 - 9	Public Records Referrals from Supervisor of Public Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Public records requests	B2 - 1	Public Records Request Records
Public records requests (Env Pol)	B2 - 3	Mass Env Police Public Records Req
Public relations	A8 - 1	Public Relations and Communications Records
Public safety academy admissions	J7 - 11	Firefighting Academy Admissions/Registration Record
Public safety academy courses	J7 - 10	Firefighting Academy Course and Curriculum Records
Public safety incident/complaint investigation	J3 - 7	Incident/Complaint Investigation Records
Public utilities regulation	I8 - 2	Public Utilities Case Files
Public water system construction plans	I7 - 5	PWS Construction Plan Review Records
Public water system cross connections	I7 - 6	PWS/Cross Connection Records
Public water system town histories	I7 - 4	PWS History Records
Publication stock	F1 - 2	Publication Stock
Publications, program	A5 - 6	Program Publication Records
Publications, state listing	G11 - 8	State Publications Listing
Purchasing	D1 - 11	Bid and Procurement Records
Quarantine	K9 - 9	Quarantine Health Records
Radioactive materials monitoring	K9 - 11	Radioactive Materials Monitoring and Control Records
Radioactive waste disposal	I5 - 12	Radioactive Waste Disposal Records
Rate setting, insurance	K8 - 1	Insurance Policies and Rate Setting Records
Real estate disposition	C7 - 9	Real Estate Disposition Records
Real estate disposition disclosures	C7 - 7	Real Estate Disposition Disclosure Records
Real estate disposition proposals	C7 - 6	Real Estate Disposition Proposal Records
Real property vital records	C7 - 10	Real Property Vital Records
Recap sheets, municipal (Recap Sheets)	L6 - 5	Municipal Tax Rate Certification Records
Recommendation letters	E2 - 1	Recommendation Letters
Records disposition schedules	F6 - 1	Records Management Records
Records inventories	F6 - 1	Records Management Records
Records management	F6 - 1	Records Management Records
Records transfer and destruction applications	F6 - 1	Records Management Records
Recruitment and hiring	E2 - 3	Recruitment and Hiring Records
Reference copies	F3 - 7	Reference Copies
Reference/resource materials	F2 - 1	Reference/Resource Material
Referendum committee financial filings	G1 - 9	Referendum Committee Financial Filings
Referral resources	F2 - 3	Referral Resource Files
Registrars official student grade records	H5 - 6	Official Course and Grade Records
Relations intra-governmental	A7 - 2	Intra-Governmental Coordination
Relations, external program	A7 - 6	External Program Relations Records
Relations, federal/state	A7 - 4	Federal/State Relations Records
Relations, inter-agency	A7 - 3	Inter-Agency Relations Records
Relations, intra-agency	A7 - 1	Intra-Agency Relations Records
Relations, public	A8 - 1	Public Relations and Communications Records
Relations, special	A7 - 5	Special Relations Records
Relocation	A1 - 6	Reorganization, Relocation, and Closing Records
Remodeling, office	C1 - 2	State Office Space Planning Records
Renditions, fugitive	B6 - 19	Fugitive Renditions Records
Reorganization	A1 - 6	Reorganization, Relocation, and Closing Records
Reports, annual	A1 - 2	Annual and Summary Reports Records
Reports, unpublished	A1 - 2	Annual and Summary Reports Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Research, educational	H6 - 6	Sponsored Research Records
Research, medical	K1 - 2	Health Studies and Surveys Records
Research, program	A11 - 1	Program Research and Survey/Questionnaire Data
Resident commitment papers	K6 - 13	Resident Commitment Papers
Resident consent decrees	K6 - 11	Resident/Patient Consent Decree Records
Resident death reports	K10 - 1	Resident Death Report Records
Resident emergency fact sheets	K6 - 12	Resident Emergency Fact Sheets
Resident property	K6 - 10	Institutional Client Property and Valuables Records
Restraint and seclusion	K10 - 2	Restraint and Seclusion Records
Retirement	L13 -	All Series
Retirement administration	L13 - 2	Retirement Administration Records
Retirement fiscal system	L13 - 1	Retirement Fiscal System Records
Retirement pension management	L13 - 8	Retirement Pension Reserves Investment Management Records
Retirement system account audit	L13 - 6	Retirement System Account Audit and Monitoring Records
Retirement, disability, benefits	L13 - 7	Employee Retirement, Disability, and Benefits Case Files
Retrospective data conversion source materials	F7 - 8	Retrospective Data Conversion Source Records
Returned mail	F1 - 3	Returned Mail
Revenues and sales	D1 - 6	Revenues and Sales Records
Right to Know	I5 - 3	Hazardous Materials Right-To-Know Records
Rock cores and soil borings	C5 - 7	Geologic Samples and Records
Routine accounting	D1 - 3	Routine Accounting Records
Routine accounting, independent systems	D1 - 1	Independent Accounting/Payroll System Records
Routine inquiries and requests	A5 - 7	Routine Inquiries and Informational Requests
Routing and tracking, information	F3 - 1	Information Routing and Tracking Records
RMV, Revenue Operations	J5 - 16	Revenue Reports
RMV, Revenue Operations	J5 - 17	Bad Check Information
RMV, Revenue Operations	J5 - 18	Deposit Information
RMV, Revenue Operations	J5 - 19	Rebate Documentation
Rules and regulations	A2 - 6	Rules and Regulations Records
Rules and Regulations filings	G5 - 1	Rules and Regulations Filings
SAAG	B6 - 2	Special Assistant Attorney General (SAAG) Records
Safe water act enforcement	I7 - 3	Safe Water Act Investigation and Enforcement Case Files
Safe water act monitoring	I7 - 2	Safe Water Act Monitoring and Compliance Records
Safety and health	K1 - 1	Safety and Health Records
Safety committee	C1 - 9	Facility Safety Records
Safety, facilities	C1 - 9	Facility Safety Records
Sales and revenues	D1 - 6	Revenues and Sales Records
Satellite campus oversight	H1 - 3	Satellite Campus Oversight Records
Schedules and calendars	A6 - 2	Schedules and Calendars
Scholarships and awards, student	H2 - 5	Student Scholarships, Fellowships, and Awards
Secretary of State	G5 -	Legislation all series
Securities agent representatives filings	G7 - 4	Broker-Dealer Agent and Investment Adviser Representative Registration Filings

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Securities Broker-Dealer filings	G7 - 2	Broker-Dealer Registration and Exclusion Notice Filings
Securities complaints	G7 - 10	Inquiries and Complaints Records
Securities enforcement hearings	G7 - 12	Administrative Hearing Enforcement Action Case Files
Securities filings register	G7 - 1	Registration, Exemption, and Notice Filing Register
Securities investigation	G7 - 11	Investigation and Enforcement Records
Securities investment advisor filings	G7 - 3	Investment Adviser Registration and Federal Covered Advisor Notice Filings
Securities investment company filings	G7 - 6	Investment Company Notice Filings
Securities investor education	G7 - 13	Investor Education Program Records
Securities legal clarifications	G7 - 9	Interpretative Opinion Records
Securities registrations	G7 - 5	Securities Registration and Exemption Filings
Securities sales and advertising filings	G7 - 8	Sales and Advertising Literature Filings
Securities service of process filings	G7 - 7	Issuers Consent to Service of Process Filings
Seminar	A10 - 2	Conference, Seminar, and Workshop Participant Records
Service contracts	A9 - 2	Grant and Contract Administration Records
Service of process, corporations	G6 - 1	Corporations Service of Process Records
Service of process, insurance	L11 - 20	DOI Legal Process Records
Service of process, securities	G7 - 7	Issuers Consent to Service of Process Filings
Settlements, property	C2 - 9	Property Settlements and Judgments Payment Records
Sexually dangerous person case files	J1 - 6	Sexually Dangerous Person Case Files
Sheriffs	J11 -	All Sheriffs Departments Series
Shift administration	J4 - 6	Shift Administration Records
Shift assignment bid and swap	J9 - 4	Shift Assignment Bid and Swap Records
Shift codes and alerts	K10 - 6	Shift Code Emergency Response Records
Shift commander packages, corrections	J9 - 1	Shift Commanders Daily Reports/Package
Shift logs	J4 - 5	Shift Logs
Shift logs, corrections	J9 - 2	Unit Log Books
Shift reports, institutional	K10 - 7	Shift Reports
Signature authorizations, payment	D1 - 10	Payment Signature Authorization Records
Slides and photographs	F4 - 4	Photographs, Slides, and Illustrations
Social needs assessments	K8 - 2	Social Needs Assessments Reports
Social services appeals	K2 - 4	Social Services Appeals Case Files
Social services case files	K2 - 5	Social Services Case Files
Social, medical and economic assistance	K2 - 2	Social, Medical, and Economic Assistance Case Files
Software	F5 - 1	System Programs, Applications, and Code Records
Soil borings and rock cores	C5 - 7	Geologic Samples and Records
Soil borings, construction	C5 - 1	Construction Project Management Records
SOL	L7 - 5	State Owned Land (SOL) Valuation Records
Solemnization of marriage	G4 - 6	Non-Resident Clergyman and Solemnization of Marriage Records
Space planning, office Records	C1 - 2	State Office Space Planning Records
Special events	A10 - 1	Special Events Records
Special events and activities	J1 - 3	Special Events and Activities Records
Special investigation	J3 - 3	Special Investigation Records
Special investigation	B3 - 4	Special Investigation Records



<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Special licenses and permits	J2 - 1	Special Licenses and Permits Records
Special projects	A11 - 2	Program Special Projects, Studies, and Initiatives Records
Special relations	A7 - 5	Special Relations Records
Special tax research	L5 - 6	Special Tax Research Records
Specification books, construction	C5 - 6	Building Plans and Specifications Records
Speeches and writings	A8 - 3	Public Appearances, Speeches, and Writings
Sponsored research	H6 - 6	Sponsored Research Records
Staff meeting	A4 - 7	Staff Meeting Records
State agency lease procurement	C7 - 13	State Agency Lease Procurement Records
State agency lease proposals	C7 - 12	State Agency Lease Proposal Records
State house note certificates	L6 - 9	State House Note Certificate Records
State leasing reports	C7 - 3	State Leasing Reports
State owned land valuation	L7 - 5	State Owned Land (SOL) Valuation Records
State Police	J4 - 16	Ramp Permits
State primary and election nominations	G1 - 3	State Primary and Election Nominations
State property access procurement	C7 - 14	State Property Access License Records
State property for sale inquiries	C7 - 11	State Property For Sale Inquiries Records
State property inventory reports	C7 - 4	State Property Inventory Reports
State property management	C7 - 1	State Property Management Monitoring Records
State publications listing	G11 - 8	State Publications Listing
State seal	G9 - 1	State Seal and Other Records
State/federal tax information exchange Records	L5 - 4	State/Federal Tax Information Exchange
Statewide office candidate financial filings	G1 - 8	Statewide Office Candidate Financial Filings
Stenographers notes	F3 - 5	Stenographers Notes
Student admissions/registrations	H2 - 1	Student Admissions/Registration Records
Student athletic participation	H7 - 5	Student Athletic Participation Records
Student career/placement	H9 - 4	Student Career/Placement Records
Student clubs and associations	H7 - 2	Student Clubs and Associations Records
Student counseling	H9 - 3	Student Counseling Records
Student disability	H8 - 3	Student Disability Records
Student discipline	H8 - 2	Student Discipline Records
Student evaluations of teachers	H5 - 2	Student Evaluations of Teachers
Student events and activities	H7 - 1	Student Event/Activities Applications Records
Student financial aid	H2 - 4	Student Financial Aid Records
Student government	H7 - 3	Student Government Records
Student grievance/complaint	H8 - 1	Student Grievance/Complaint Records
Student health clinic	H9 - 5	Student Health Clinic Records
Student immunizations	H2 - 2	Student Immunization Records
Student internships and practicums	H3 - 3	Student Internships and Practicums Records
Student newspaper	H7 - 4	Student Newspaper
Student record transcript requests	H2 - 6	Student Record Transcript Requests Records
Student scholarships and awards	H2 - 5	Student Scholarships, Fellowships, and Awards Records
Student services	H9 - 1	Student Support Services Records
Student special services	H9 - 2	Special Services Program Records
Student tests and examinations	H5 - 1	Student Tests and Examinations
Student tuition and fees	H2 - 3	Tuition and Fees Records
Study library, construction	C3 - 3	Construction Study Library Files
Subject files	A5 - 1	Program Subject/Resource Records
Subject files, executive	A3 - 1	Executives' Correspondence/Subject Files
Superfund sites	I5 - 2	Federal Superfund Sites Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Surplus lines insurance filings	L11 - 4	Surplus Lines Company Licensing Records
Surveillance tapes	F4 - 3	Audio/Visual Tape or Digital Recordings
Surveillance, inmate	J8 - 18	Inmate Surveillance Records
Surveys and questionnaires, grants	A9 - 2	Grant and Contract Administration Records
Surveys and questionnaires, program	A11 - 1	Program Research and Survey/Questionnaire Data
Surveys, land	C7 - 17	Land Survey Records
Syllabi, class	H4 - 3	Course Outlines and Descriptions Records
System audit trails	F6 - 6	System Audit Trail Records
System computer applications	F5 - 1	System Programs, Applications, and Code Records
System documentation	F5 - 4	Systems Documentation Records
System job order runs	F6 - 3	System Job Order (Run) Records
System security	F6 - 7	Systems Security Records
Systems and applications development Records	F5 - 7	Systems and Applications Development
Systems and technical manuals Materials	F2 - 2	Systems Manuals and Technical Reference
Systems contingency planning	F5 - 5	Systems Contingency Records
Systems conversion and upgrade	F5 - 8	Systems Conversion, Enhancement, and Upgrade Records
Systems data deletion	F6 - 2	Systems Data Deletion Records
Systems intermediate work files	F6 - 4	Systems Intermediate Work Files Records
Systems monitoring and testing	F5 - 2	Systems Maintenance, Monitoring, and Testing Records
Systems technical support	F5 - 6	Systems Technical Support and Assistance Records
Systems training	F6 - 9	Systems Training Records
Systems use reports	F6 - 5	Systems Use Reports
Task force	A4 - 6	Task Force Records
Tax abatement authority requests	L7 - 10	Tax Abatement Authority Requests Records
Tax background investigations	L5 - 7	Tax Criminal Investigation Records
Tax collection	L4 - 9	Tax Collection Case Files
Tax exemption reimbursements Records	L7 - 1	Tax Exemption Reimbursement Request
Tax filings, estate and inheritance	L3 - 5	Estate and Inheritance Tax Case Files
Tax history research	L5 - 5	Tax History Research Records
Tax information transmittal	L5 - 2	Tax Information Transmittal Records
Tax issues and policy proposals	L1 - 3	Tax Issues and Policy Proposal Records
Tax liability settlements	L4 - 12	Tax Liability Settlement Agreement Records
Tax litigation	L4 - 7	Tax Litigation Case Files
Tax rate certification	L6 - 5	Municipal Tax Rate Certification Records (Recap Sheets)
Tax return filings	L3 - 1	Tax Return Filings
Tax revenue accounting	L4 - 13	Tax Revenue Accounting Records
Tax rollbacks	L7 - 16	Omitted and Revised Assessments and Rollback Tax Records
Tax status registrations, business	L3 - 7	Business Tax Status Registrations
Tax warrant listings	L4 - 10	Tax Warrant Listings
Taxes in litigation certification	L4 - 3	Taxes in Litigation Certification Records
Taxpayer advocate	L2 - 1	Taxpayer Advocate Case Files
Taxpayer audits	L5 - 3	Taxpayer Audit Case Files
Taxpayer locator	L4 - 4	Potential Taxpayer Locator Records
Taxpayer payment vouchers	L3 - 6	Taxpayer Payment Voucher Slips

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Taxpayer problem resolution	L2 - 3	DOR Problem Resolution Case Files
Teacher certification	H6 - 3	Teacher Certification Records
Teen pregnancy	K2 - 5	Social Services Case Files
Telephone bills	D1 - 3	Routine Accounting Records
Telephone directories	E1 - 3	Agency Telephone Directories and Staff Listings
Telephone logs	D1 - 3	Routine Accounting Records
Tenants, housing	C7 - 2	Housing Tenants Records
Tenure and promotion	H6 - 2	Tenure and Promotion Records
Tests and examinations, student	H5 - 1	Student Tests and Examinations
Timber harvesting licenses	I9 - 2	Timber Harvesting Licensing Records
Time and attendance, grants and contracts	D1 - 2	Grant and Contract Cost Accounting Records
Time and attendance, routine	D4 - 3	Time and Attendance Records
Title examiner reference files	C7 - 15	Land Title Examiner Reference Records
Toll collection	D1 - 6	Revenues and Sales Records
Toll collections	D1 - 6	Revenues and Sales Records
Tort claims	B5 - 6	Tort Claim Records
Toxics use reduction	I5 - 9	Toxics Use Reduction Records
Trademark registrations	G6 - 4	Trademark Registration Filings
Training	A5 - 4	Program Outreach and Training Records
Training, employee	E4 - 8	Employee Training and Certification Records
Transaction transmission receipts	F3 - 2	Transaction Transmission Receipts
Transcripts, student record requests	H2 - 6	Student Record Transcript Requests Records
Transition, office	A3 - 3	Elected Office Transition Files
Transitional assistance	K2 - 2	Social, Medical, and Economic Assistance Case Files
Transitory correspondence	A5 - 8	Program Transitory Correspondence Files
Transportation Management	C8 - 1	Certificate Files (A&B) Truck or Bus
Transportation Management	C8 - 2	Interstate License Certification Files
Transportation Management	C8 - 3	Vehicle Identification Devices and Applications for Drivers
Transportation Management	C8 - 4	Complaint/Investigation/Hearing Records (A)
Trap logs, institutional	J9 - 8	Vehicle and Persons Trap Logs
Travel expenses	D4 - 1	Travel Expense Records
Treasurer accounting system	L12 - 1	Treasurer Accounting Systems Records
Treasurer cash management	L12 - 2	Treasurer Cash Management Records
Treasurer cash positioning	L12 - 3	Cash Forecasting and Positioning Records
Treasurer deferred compensation plan	L12 - 9	Deferred Compensation Plan Records
Treasurer depository agreements	L12 - 4	State Depository Agreement Records
Treasurer games administration	L12 - 11	Games Administration Records
Treasurer games development	L12 - 10	Games Establishment, Development, and Review Records
Treasurer investments	L12 - 5	Treasurer Investment Records
Treasurer land and deeds	L12 - 6	Treasurer Land and Deed Records
Treasurer registered and bearer bonds Records	L12 - 20	Treasurer Registered and Bearer Bond Program
Treasurers savings bond program	L12 - 25	Treasurer's Savings Bond Program Records
Trust and loan disbursements	D1 - 9	Trust and Loan Disbursement Records
Tuition and fees, student	H2 - 3	Tuition and Fees Records
Unassigned assets and property	L7 - 6	Unassigned Assets and Property Reports
Unassigned assets, child support accounts	L8 - 2	Child Support Unassigned Assets and Property Records
Unassigned assets, Treasurer	L12 - 18	Abandoned Property Program Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Uncollectible tax	L4 - 11	Uncollectible Tax Records
Underground storage tank claims	L9 - 2	Underground Storage Tank Claim Records
Underground storage tank fees	L9 - 3	Underground Storage Tank Fees Records
Underground storage tank reimbursement	L9 - 1	Municipal Underground Storage Tank Reimbursement Program Records
Underground tank environmental monitoring	C1 - 10	Facilities Fire, Safety, and Environmental Monitoring Records
Unemployment insurance claims	M2 - 8	Unemployment Insurance Claims
Uniform commercial code financial statements	L1 - 1	Uniform Commercial Code Financial Statements
Uniform national crime reports	J1 - 1	Uniform National Crime Reports
Uniform traffic citations	J5 - 5	Uniform Traffic Citations Records
Union contract negotiation mediation	M2 - 3	Union Contract Negotiation Mediation Records
Universal commercial code filings	G6 - 3	Universal Commercial Code Filings
Unused permits and certificates	F1 - 5	Unused Permits, Certificates, Decals, and Stickers
Urgent Matter Reports	J9 - 15	Urgent Matter Reports
Use of force reports	J4 - 15	Use of Force Reports
Use of force, corrections	J9 - 13	Use of Force Reports/Package
Utility company annual returns	I8 - 3	Utility Company Annual Returns Reports
Utility valuation certification	L7 - 14	Utility Valuation Certification Records
Vehicle trap logs	J9 - 8	Vehicle and Persons Trap Logs
Vehicles management	C1 - 5	Property, Vehicles, and Equipment Management Records
Vendor relations	D1 - 13	Vendor Relations Records
Vendor resource files	D1 - 12	Vendor Resource Materials
Veteran's bonus	L12 - 23	Veterans Bonus Program Records
Victim assistance program	B6 - 18	Attorney General Community Services Records
Visitors, inmate	J8 - 20	Inmate Visitor Records
Visitors, institutional	K10 - 8	Visitors Records
Vocational rehabilitation	M2 - 9	Vocational Rehabilitation Case Files
Voice mail correspondence files	F7 - 3	Voice Mail Correspondence Files
Voided permits and certificates	F1 - 5	Unused Permits, Certificates, Decals, and Stickers
Volunteers and interns	E4 - 9	Intern and Volunteer Records
Vote return certifications	G3 - 9	Vote Returns Certification Records
Voter registration	G3 - 4	Voter Registration Records
Voting machine certification	G3 - 3	Voting Machine Certification Records
W2s	D4 - 4	W-2s
Waivers, construction bids	C4 - 3	Construction Emergency Bid Waiver Records
Ward and town political party committee financial filings	G2 - 3	Ward and Town Political Party Committee Financial Filings
Warrants, worker's compensation	M1 - 7	Workers Compensation Insurance Claim Files
Waste disposal, medical and biological	I6 - 5	Medical, Biological, and other Waste Disposal Records
Waste disposal, radioactive	I5 - 12	Radioactive Waste Disposal Records
Water pollution abatement bonds	L12 - 22	Water Pollution Abatement Bond Program Records
Water resources management	I7 - 7	Water Management Annual Reports, Surveys, and Statistics Records
Water supply contamination	I7 - 9	Water Supply Contamination Records
Water supply emergencies	I7 - 10	Water Emergency Program Records
Water supply protection	I7 - 8	Water Supply Protection Program Records
Web browsing authorizations	E4 - 2	Employee Web Browsing Authorizations
Website data	F7 - 6	Website Content Records

<i>Access Term</i>	<i>Series Number</i>	<i>Record Series Title</i>
Website documentation	F5 - 3	Website Documentation Records
Weights and Measures	B9 - 1	Division of Standards (Office of Consumer Affairs)
Well Driller Program	I10 -	All Series
Wetlands deed restrictions	I1 - 7	Coastal Resources and Wetlands Deed Restriction Case Files
Wetlands project approval	I1 - 8	Wetlands Project Approval Records
Work papers, fiscal audit	D2 - 4	Fiscal Audit Records
Work papers, program audit	A1 - 3	Program Review/Audit Records
Workers compensation court files	M1 - 6	Workers Compensation Administrative Law Court Case Files
Workers compensation impartial reports	M1 - 3	Workers Compensation Claim Impartial Medical Report (IMR) Records
Workers compensation insurance claims	M1 - 7	Workers Compensation Insurance Claim Files
Workers compensation litigation	M1 - 8	Workers Compensation Litigation Case Files
Workers compensation preferred provider Arrangement (PPA) Records	L11 - 13	Workers Compensation Preferred Provider
Workers compensation self-insurance registrations	L11 - 6	Workers Compensation Self-Insurance Group Registration Records
Workers compensation self-insurers	M1 - 5	Workers Compensation Self-Insurers Records
Workers compensation trust fund	M1 - 4	Workers Compensation Trust Fund Records
Worker's compensation warrants	M1 - 7	Workers Compensation Insurance Claim Files
Workers compensation, agency copy	M1 - 7	Workers Compensation Insurance Claim Files
Workplace hazard investigation	M1 - 1	Workplace Hazard Investigation Records
Workshop	A10 - 2	Conference, Seminar, and Workshop Participant Records
X-rays, medical patient	K6 - 3	Patient X-Ray Records