

CPCS PAPER RECORDS RETENTION SCHEDULE

6-17-2020

	A	B	C	D	E	F
1	Document	Owner	Retention Period	Source	*Retention Period Begins	Preferred Format
2	Meeting Minutes and Agenda:					
3	Senior Management Team Decision	Director of Administration and Operations	5 years from fiscal year end	CPCS	Next Fiscal Year	Paper/Digital
4	Policy and Procedures Records:					
5	Manuals, publications, bulletins and substantive support materials. CPCS Policy Documents such as Personnel Policy Manual, Assigned Counsel Manual, Internal Control Plan, etc.	Chief Counsel's Office	Permanent	A2-03(a)	From creation	Digital on network
6	Official Committee Records (CPCS Committee)	Chief Counsel's Office	Permanent	A4-02	From creation	Digital on network
7	Financial Records:					
8	Bank and Cash Records	Finance	4 years	D1-08	Next Fiscal Year	Paper/Digital
9	Bid and Procurement Records - Awarded & Non Awarded (i.e., RFP, RFR	Finance	6 years after final payment	D1-14	Next Fiscal Year	Digital on network
10	Invoices and Payments	Finance	8 years after final payment	D1-11(a)	Next Fiscal Year	Digital on network
11	Contracts, ISAs, interdepartmental chargebacks and all other Agreements	Finance	8 years after final payment	D1-03	Next Fiscal Year	Digital on network
12	Employee Travel Expense Records	Finance	3 years after separation - fiscal year	D04-01	Fiscal Year End	Travel System on Network
13	Payroll Reconciliation Forms	Finance	3 years	D1-01(e)	Next Fiscal Year	Paper/Digital

*Next Fiscal Year means the fiscal year that begins after the document is closed.

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14	Inventory Records. CPCS does not currently have Fixed Assets. If any acquired, the records must be kept permanently	Finance & asset tracking system	6 years	D1-17	After bi-annual review	Digital on network
15	Funded Grants - Application, budget, award letter, contracts, reports, and other administrative records	Finance & on network drive	8 years after final payment	D1-04(a); D1-02	Next Fiscal Year	Digital on network
16	Unfunded Grants - Application, budget, etc.	Finance & on network drive	3 years	D1-05(b)	Next Fiscal Year	Paper/Digital
17	Grant Close Out Report Including Performance Outcomes	Finance & on network drive	Send to State Archives for review/permanent	D1-05(a)	Date of close out report	Digital on network
18	Accounting Reconciliations Report (i.e., Karen)	Finance	3 years	D1-07	Next Fiscal Year	Paper/Digital
19	Encumbrance Document w/approval	Finance	8 years after final payment	CPCS	Next Fiscal Year	Digital on network
20	NACs (authorization to bill)	Finance-electronic	8 years after final payment	CPCS	Next Fiscal Year	Digital on network
21	Deficiency Filings (letter and documentation)	Finance	8 years after final payment	CPCS	Next Fiscal Year	Paper/Digital
22	Signature Authorization Form	Finance	3 years	D1-13	After a new Chief Counsel is appointed	Paper/Digital
23	Vendor set-up and maintenance documents: E-Bill and V-Bill agreements, W-9 forms, EFT forms, certification forms, liability letters	Finance	20 years effective 2016	D1-16, D1-15 and CPCS	Next Fiscal Year	Digital on network
24	Budget and submission letters/spreadsheets (agency's primary submission)	Finance	Permanent	D2-03(a)	N/A	Digital on network

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25	Budget Preparation and Monitoring Records	Finance	Until administrative use ceases	D2-03(b)	N/A	Paper/Digital
26	Audit Records					
27	Audit records - Primary copy of final audit reports and responses, includes all CPCS external audits	Finance	Permanent	D2-04(a)	N/A	Digital on network
28	Fiscal audit records - Audit background materials and fiscal monitoring records for external audits	Audit and Oversight	6 years	D2-05	Next Fiscal Year	Paper/Digital
29	Fiscal Planning, Reports, and Surveys Records	Finance	Until administrative use ceases	D2-01(b)	N/A	Paper/Digital
30	Fiscal Systems Internal Control Records	Finance	For the lifetime of the system	D2-01(b)	N/A	Digital on network
31	A&O Full Audit File					
32	Full Disposition Recommendation, Response to Report and Agency	Audit and Oversight	Permanent	CPCS	N/A	Paper/Digital
33	A&O Full Audit File supporting documents	Audit and Oversight	6 years	CPCS	Next Fiscal Year	Paper/Digital
34	Random Audit Files, BBO Suspension Files, Travel Audit Files, Hour Waiver Files, Court Cost Vendor Audit Files, and other similar A&O files	Audit and Oversight	6 years	D2-05	Next Fiscal Year	Paper/Digital
35	Public Work Survey Files, Caseload Files, Bail Only Audit Files, Insurance Files and other similar A&O Files	Audit and Oversight	Until administrative use ceases	CPCS	N/A	Paper/Digital

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36	<i>Employee Personnel Files - General File</i> ----- Employee work histories-- Employee new hire checklist, job application forms, resumes, job offer and acceptance letters, salary changes, promotions, performance reviews, disciplinary memos, awards and commendations, donation records.	Human Resources, Applicant Tracking System & HR Network Drive	fiscal year - 50 years	E04-05	Next Fiscal Year	Digital on network
37	<i>Confidential File</i>					
38	Benefit Information	Human Resources and MAGIC	6 years after separation		Next Fiscal Year	Digital on network
39	Employee ADA Accommodation Records.	Human Resources	6 years after separation	E03-02	Next Fiscal Year	Digital on network
40	Protected Employee Records	Human Resources	6 years after separation	E03-01	Next Fiscal Year	Digital on network
41	Employee Contact Information.	Human Resources and HRCMS	Period of Employment	E04-04	N/A	Paper/Digital
42	<i>Leave of Absence File</i>					
43	FMLA Documents	Human Resources	6 years after separation	E04-06(c)	Next Fiscal Year	Digital on network
44	Worker's Compensation Documents	Human Resources	30 years after separation	E04-06(b)	Next Fiscal Year	Digital on network
45	Medical Certification	Human Resources	6 years after separation	E04-06 (c)	Next Fiscal Year	Digital on network

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46	Victims of Abusive Behavior Leave Records -- Documents provided by employee	Human Resources	Until determination final	E04-10(a)	N/A	Paper/Digital
47	Victims of Abusive Behavior Leave Records -- employer's determination	Human Resources	6 years after separation	E04-10(b)	Next Fiscal Year	Digital on network
48	Other Personnel & Payroll Records					
49	Summary Human Resources Program Records	Human Resources	Permanent	E01-01(a)	N/A	Digital on network
50	Time and Attendance Records	HRCMS	6 years	D4-03(a)	Next Fiscal Year	System
51	Recruitment Files of Candidates hired by the Committee	Applicant Tracking System & HR Network Drive	Review with the Archives 3 years after hiring.	E02-03 (a)	Next Fiscal Year	Paper
52	Intern and Volunteer Records	Human Resources	6 years after separation	E04-09	Next Fiscal Year	Digital on network
53	Classification System	Human Resources	50 years from completion	CPCS	Next Fiscal Year	Digital on network
54	1-9 Documents	Human Resources	3 years after hire or 1 year after termination, whichever is later	E02-05	Next Fiscal Year	Paper/Digital
55	EEO Documents: internally produced reports, policies and procedures, such as hiring practices.	Human Resources, HRCMS & Applicant Tracking System	Permanent	E03-03(a)	N/A	Digital on network
56	Payroll Administration Records - payroll warrant, monthly payroll reports	HRCMS	6 years after separation - fiscal year	D4-05	Fiscal Year End	Digital on network

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57	Year End Payroll Registers -- showing employee detail pay histories, creditable service documentation and benefits	HRCMS	75 years after separation - fiscal year	D4-02(a)	Fiscal Year End	Digital on network
58	Employee Complaint/Investigation Documents	Human Resources	6 years after resolution	E05-01	Next Fiscal Year	Digital on network
59	Security Authorizations					
60	Authorization Forms for State Systems	Finance	3 years after inactive	E4-02(b)	Next Fiscal Year	Paper/Digital
61	Authorizations Forms for CPCS Systems -- Employment Changes Biweekly Report	Human Resources	3 years after inactive	E4-02(b)	Next Fiscal Year	Paper/Digital
62	Client Case Files					
63	Client Files - non-murder cases	Attorney-in-Charge	Permanent	CPCS	N/A	Digital on network
64	Murder Cases	Attorney-in-Charge	Permanent	CPCS	N/A	Paper/Digital on Network

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