

Schedule B Legal and Regulatory--UMass Boston Paper Retention Schedule (Based on Massachusetts Secretary of State schedule)							
Record Type	Record Category	Record Sub-Category Code	Record Sub-Category Title	Description	Owner	UMB Standard Retention Schedule	Retention Schedule Begins
B Legal and Regulatory	B1 Legal Review	B1-3	Legal Announcements and Advertisements Records	Documents the official posting of campus business to websites, newspapers, or official newsletters.	Department	(a) Contract-related announcements: Retain for 7 years after last payment or close of contract. (b) All other records: 3 years.	After payment.
B Legal and Regulatory	B1 Legal Review	B1-4	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 campus programs and functions.	Department	Retain until administrative use ceases.	Upon creation.
B Legal and Regulatory	B1 Legal Review	B1-5	Delegation of Authority Records	Documents the delegation of statutory or other authority to staff members. Includes delegations, delegation codes and descriptions, designation letters, memos, copies of legal or advisory opinions, and related correspondence.	Vice Chancellor	Retain for 3 years after inactive, revoked, or superseded unless a longer period is required by University Legal Counsel.	After inactive, revoked, or superseded.
B Legal and Regulatory	B1 Legal Review	B1-6	Ethics and Conflict of Interest Records	Documents the monitoring of campus business that necessitates control over potential problem areas concerning ethical issues or conflicts of interest. Includes employee statements of impartiality, financial disclosure forms, disclosure memos, notices of outside employment or business, notices of outside legal or accounting practice, audit papers or notes, and related correspondence.	Human Resources	(a) Employee records: Retain while employed. (b) Issue files: 6 years.	Upon creation.

Record Type	Record Category	Record Sub-Category Code	Record Sub-Category Title	Description	Owner	UMB Standard Retention Schedule	Retention Schedule Begins
B Legal and Regulatory	B1 Legal Review	B1-7	Contract and Agreement 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.	Contracts & Compliance/Administration & Finance	(a) Landmark or noteworthy contracts: Permanent. (b) Contracts under seal: 20 years. (c) All other records: Retain for 7 years after last payment or close of contract.	After payment.
B Legal and Regulatory	B1 Legal Review	B1-8	Land Management and Acquisition Records	Documents the appraisal and acquisition or selling of campus 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.	Contracts & Compliance	(a) Land records such as deeds, titles of ownership, and easements: Permanent. (b) Records for properties not purchased: Retain for 6 years after final action. (c) Professional appraisal services contracts and related contract records: Retain for 6 years after close of contract. (d) All other records: Retain until administrative use ceases.	After final action.
B Legal and Regulatory	B2 Public Records	B2-1	Public Records Request Records	Documents requests for access to records by members of the public, the press, or other persons or entities as allowed for in Massachusetts General Laws Chapter 66 or other statutes. Includes requests, related correspondence, rationales for redaction or withholding of information, response letters, Supervisor of Public Records opinions, and substantive support materials.	Contracts & Compliance/Vice Chancellor of Government Relations & Public Affairs	3 years	After final action.

Record Type	Record Category	Record Sub-Category Code	Record Sub-Category Title	Description	Owner	UMB Standard Retention Schedule	Retention Schedule Begins
B Legal and Regulatory	B2 Public Records	B2-2	Public Records Appeal Case Files	Documents individual appeals to the Supervisor of Public Records to obtain access to public records where original request was denied. Includes requests, background information, official responses, and related correspondence.	Contracts & Compliance/Vice Chancellor of Government Relations & Public Affairs	(a) Summary information regarding original request and final opinions and response: Permanent. (b) All other records: 3 years.	After final action.
B Legal and Regulatory	B2 Public Records	B2-4	Fair Information Practices Act (FIPA) Request Records	Documents requests for access to personal data by data subjects or other persons or entities as permitted by Massachusetts General Laws Chapter 66A and university regulations. Includes requests, related correspondence, responses, and substantive support materials.	Human Resources	3 years	After final action.
B Legal and Regulatory	B2 Public Records	B2-5	Non-Party Subpoena Records	Subpoenas for records for matters in which the campus is not a party to the litigation. Includes subpoenas, correspondence, responses, and other related materials.	Vice Chancellor for Administration & Finance	3 years	After final action.
B Legal and Regulatory	B3 Investigation and Monitoring	B3-1	Investigation Case Files	Documents the role of the campus relating to state, federal, municipal, or other investigations into fraud, breaches of contract, neglect, or other potential criminal activity, or into other abuses of matters of the state for potential prosecution. Includes background support materials, evidence, investigative reports, actions taken, and related correspondence.	University Legal Counsel	(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: 3 years. (d) All other records: Retain for 6 years after final case closure or referral to Attorney General's office unless University Legal Counsel requires a longer retention period.	Upon closure or completion.

Record Type	Record Category	Record Sub-Category Code	Record Sub-Category Title	Description	Owner	UMB Standard Retention Schedule	Retention Schedule Begins
B Legal and Regulatory	B3 Investigation and Monitoring	B3-2	Discrimination Investigation Case Files	Documents complaints and subsequent investigations into charges of discrimination by members of the campus community. Includes charges, interrogatories and responses, investigative notes, position statements and rebuttals, complainants' withdrawals or notices of deposition, public hearing documentation, and final determinations and orders.	Office of Diversity & Inclusion	(a) Landmark or policy-setting cases: Permanent. (b) Cases with findings: 10 years. (c) All other records: 3 years.	Upon closure or completion.
B Legal and Regulatory	B3 Investigation and Monitoring	B3-3	Civil Investigation Records	Documents investigation of civil complaints. Includes complaints, research and attorney notes, and related correspondence.	University Legal Counsel	Retain 6 years after final action, unless a longer retention period is required by University Legal Counsel.	After final action.
B Legal and Regulatory	B3 Investigation and Monitoring	B3-5	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 memos, and related correspondence.	Human Resources	(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 closure unless University Legal Counsel requires a longer retention period.	Upon closure or completion.
B Legal and Regulatory	B3 Investigation and Monitoring	B3-6	Labor Files	Any case files that are filed on behalf of the employee or the university. Includes settlements, grievances, arbitration, MCAD complaints, discipline records and union certifications.	Human Resources	Permanent.	Upon creation.

Record Type	Record Category	Record Sub-Category Code	Record Sub-Category Title	Description	Owner	UMB Standard Retention Schedule	Retention Schedule Begins
B Legal and Regulatory	B4 Regulatory and Compliance	B4-1	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.	Facilities	(a) Where case files are kept with 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 for 3 years after permit expiration or cancellation.	Upon expiration.
B Legal and Regulatory	B4 Regulatory and Compliance	B4-2	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.	Facilities	3 years	Upon creation.
B Legal and Regulatory	B4 Regulatory and Compliance	B4-3	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.	Facilities	(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 for 3 years after license expiration or cancellation.	Upon expiration.
B Legal and Regulatory	B4 Regulatory and Compliance	B4-6	Complaints Against Campus Records	Documents complaints against the campus. Includes complaints, investigatory materials, and related correspondence.	University Legal Counsel	(a) Complaints that lead to a change in official policies or procedures: Permanent. (b) All other records: 6 years.	Upon creation.

Record Type	Record Category	Record Sub-Category Code	Record Sub-Category Title	Description	Owner	UMB Standard Retention Schedule	Retention Schedule Begins
B Legal and Regulatory	B5 Litigation	B5-2	Administrative Law Appeals	Documents cases brought before Administrative Law Judges and bodies. Includes hearing notices, complaints, appeals, transcripts, and related correspondence.	University Legal Counsel	(a) Summary dockets and logs, final findings, and recommendations: Permanent. (b) All other records: 6 years.	After final action.
B Legal and Regulatory	B5 Litigation	B5-3	Litigation Case Files	Documents the role of the campus in the litigation of cases involving the campus or its business where a complaint has been filed in court. Includes investigative materials, attorney work products, evidence, motions and briefs, proceeding transcripts, decisions and determinations, court materials, and related correspondence.	University Legal Counsel	(a) Letters referring cases to the Attorney General's office: Permanent. (b) Landmark, policy-setting, or newsworthy cases: Permanent. (c) Summary case lists or dockets: Permanent. (d) Cases involving children: Retain until child reaches age of 21 plus 6 years. (e) Criminal Cases: Retain for 35 years after final action. (f) Civil Cases: Retain for 20 years after final action. (g) All other records: Retain for 6 years after case closure (including payment collection) or referral to Attorney General's office unless a longer retention period is required by University Legal Counsel.	After final action.
B Legal and Regulatory	B5 Litigation	B5-4	Litigation/Hearings Case Exhibits	Provides a record of exhibits presented as supporting documentation or evidence for litigation, hearings, board docket cases, or other cases.	University Legal Counsel	(a) Exhibits that will not be a factor in appeals: Retain until case closure. (b) All other materials: Retain as for case files (see B5-3).	Upon closure or completion.
B Legal and Regulatory	B5 Litigation	B5-5	Legal Briefs and Testimony Records	Documents individual staff or campus representatives' testimony before the courts, at hearings or other legal forum. Includes case background materials, formal written statements, and related correspondence.	University Legal Counsel	Retain until administrative use ceases if not included in litigation or legislation case files.	Upon creation.

Record Type	Record Category	Record Sub-Category Code	Record Sub-Category Title	Description	Owner	UMB Standard Retention Schedule	Retention Schedule Begins
B Legal and Regulatory	B5 Litigation	B5-6	Tort Claim Records	Documents complaints that may result in accident claims or other types of claims made against the campus. Includes incident/ accident reports, investigation reports, photographs, depositions, settlement documentation, and related correspondence.	University Legal Counsel	25 years	Upon closure or completion.
B Legal and Regulatory	B6 Attorney General	B6-3	Attorney General Conflict of Interest Disclosures	Documents disclosures by state employees as required by 268A MGL.	Human Resources	Retain for term of employment.	Upon separation.
B Legal and Regulatory	B6 Attorney General	B6-6	General Obligation Bond Records	Documents bond offerings of the Commonwealth. Includes all legal papers connected to the offerings of General Obligation Bonds.	Vice Chancellor for Administration & Finance	(a) Attorney General summaries: Permanent. (b) All other records: 6 years.	After final action.
B Legal and Regulatory	B6 Attorney General	B6-25	Records Provided to Attorney General for Review	Records reviewed by the Attorney General that are provided by the campus, conditioned on a promise to return or destroy such records upon completion of review and that may be of importance to the Attorney General in the context of an investigation, or potential or actual litigation, on behalf of the Commonwealth. Includes data, spreadsheets, memoranda, correspondence, and other related records.	University Legal Counsel	(a) Records provided by other agencies, persons, or entities: Retain until administrative use ceases. (b) Results of Attorney General review and substantive support materials: Retain according to appropriate record series by subject matter. (c) All other records: Retain until administrative use ceases.	Upon creation.

Record Type	Record Category	Record Sub-Category Code	Record Sub-Category Title	Description	Owner	UMB Standard Retention Schedule	Retention Schedule Begins
B Legal and Regulatory	B6 Attorney General	B6-26	Data Breach Records	Documents data breach notifications sent to the Attorney General as required by statute. Includes data breach notifications directed to the Attorney General and copies of data breach notifications directed to the Office of Consumer Affairs and Business Regulation, copies or samples of data breach notifications directed to Massachusetts consumers, copies of Written Information Security Programs implemented pursuant to 201 CMR 17.03, and related correspondence. Also documents civil and criminal investigations of data breaches pursuant to MGL c. 93H and MGL c. 93A, including complaints, investigative notes and reports, civil investigative demands, substantive support materials, and related correspondence.	IT	6 years	Upon creation.