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TITLE 100 – DEPARTMENT OF STATE

CHAPTER 50 – PUBLIC RECORDS ADMINISTRATION

SUBCHAPTER 20 – STATE AGENCY RECORDS RETENTION SCHEDULES

PART 1 – DEPARTMENT OF ADMINISTRATION RECORDS (BA, BUD, DCP, DPL, LGL, MBE, OAC, PCH, PER, SPC)

BUD Budget Office

In additional to the retention periods shown below, the Auditor General states, "If federal funds are involved, and federal program guidelines apply to the agency or the particular program, the state agency must comply with applicable federal record retention requirements."

BUD1 Budget Officer Subject Files

Provides a record of subjects and issues referenced, reviewed, monitored, or acted upon by individual budget officers. Includes memos, letters, and background support materials, secondary copies of reports and minutes, and related correspondence.

Retention: Permanent.

Note: Citations to materials published elsewhere, such as legislation, may be kept instead of the actual materials.

BUD2 Budget Officer Chronological Correspondence

Provides a record of chronologically arranged outgoing correspondence from the Budget Office.

Retention: Retain until of no further administrative value, or three (3) years, whichever period is longer.

BUD3 Personnel Position Approval Files

Documents Budget Office's approval of positions proposed by departments. Includes requests for approval, approval letters, correspondence with DOA Personnel, and other related correspondence.

Retention: Retain ten (10) years.

BUD4 Budget Instructions/Funding Targets Records

Documents the preparation of yearly budget instructions to be issued by the Office at the beginning of the budget submission process. Includes background materials, legislation, individual agency funding targets, expenditure, revenue, and other data provided to agencies, and related correspondence. Data is retained and managed in the Office's SABRS database (State Agency Budget and Reporting System).

BUD4A Substantive Materials Used to Change Preexisting Instructions, and Final Budget Instructions

Retention: Permanent.

BUD4B All Other Records

Retention: Retain until of no further administrative value, or three (3) years, whichever period is longer.

BUD5 Departmental Budget Request Records

Records in this series document agencies' budget submissions as well as Budget Office's review, analysis, and preparation of budget recommendations by the Governor for final approval by the House and Senate. Records cover original departmental operating and capital budget submissions. Other documentation may include, but is not limited to, completed Budget Office forms, agency project narratives and justifications, and expenditure plan adjustments, proposed program structure changes, cost information, and agency annual performance reviews, agency revenue estimates, asset protection, expenditures, Capital Improvement Plans, general maintenance, vehicle replacement plans, and other documentation related to operating and Capital Budgets. Also includes budget analyst recommendations, department responses, and related documentation.

Retention: Permanent.

BUD6 Agency Budget Correspondence

Documents are comprised of correspondence between the Budget Office and individual departments. Includes memos, letters, notes, attachments, and related correspondence.

Retention: Retain ten (10) years.

Note: ~~General Records Schedule, GRS1.1~~ (Correspondence and Memoranda) governs agency executive-level correspondence.

BUD7 Appropriation Bill Records

Documents departmental budget requests that were approved by the legislature. Includes the appropriations bill as submitted, amendments, and budget analyst explanations and attachments.

Retention: Permanent.

Note: Citations to materials published elsewhere, such as legislation, may be kept instead of the actual materials.

BUD8 Quarterly and Monthly Allotment and Advice Records

After annual appropriation bill or bills have been passed by the General Assembly and signed by the Governor, the Budget Office determines quarterly or monthly allotments, in accordance with seasonal requirements, and division of amounts to be expended under each appropriation. The Budget Office makes initial determinations within statutorily specified period of time after the signing of the annual appropriations bill by the Governor. A copy of the initial determination is forwarded to the chairperson of the House Finance Committee and the chairperson of the Senate Finance Committee. Copies of subsequent determinations as well as other relevant documentation affecting allotments are forwarded to the Office of Accounts and Controls. Allotments are entered into the accounting system which agencies are then able to access. (R.I. Gen. Law § 35-3-17)

Retention: Retain ten (10) years.

BUD9 Fiscal Impact Notes

The records in this series document responses to requests from the House or Senate for fiscal impact analysis of enacted appropriation bills. Includes requests, comments and materials from state agencies, the legislation, the final fiscal impact note response memos or forms, and related correspondence.

Retention: Permanent.

Note: Citations to materials published elsewhere may be kept instead of the actual materials such as the legislation.

BUD10 Quarterly Agency Reports

State agencies are required to submit quarterly reports that project their budget status. Records include agency submissions and Budget Office reports, which are required to be submitted within forty-five (45) days of the end of each quarter.

Retention: Retain ten (10) years.

BUD11 Debt Issuance Documentation

The Budget Office is involved in the issuance of general obligation debt as well as debt subject to annual appropriation. Documentation relates to rating agency reports, final closing documents, and documents contained in closing binders and debt service schedules submitted to the State Controller for input into the debt data management system for financial reporting purposes.

Retention: Retain until end of term of debt and thereafter, until of no further administrative value, or three (3) years, whichever period is longer.

BUD12 Revenue Estimating Conference Records

The State Revenue Estimating Conference was created by the General Assembly in 1990 to provide the Governor and General Assembly with estimates of general revenues. Along with the House Fiscal Advisor, and the Senate Fiscal Advisor, the State Budget Officer is a principal of the conferences. The conference convenes at least twice every year, as required by statute. Documentation is related to matters of testimony, conference guest speakers, and final conference report.

Retention: Permanent.

BUD13 Tobacco Settlement Financing Corporation Records

In 2005, the General Assembly created and established, a public corporation of the state having a legal existence distinct from the state and not constituting a department of state government, known as the Tobacco Settlement Financing Corporation (R.I. Gen. Law § 42-133-1, Tobacco Settlement Financing Corporation Act.). The law empowered the Corporation to acquire from the state that portion of the tobacco receipts the state received by virtue of a Master Settlement Agreement with four (4) tobacco companies and to issue bonds based on the purchase of these receipts from the state. The Budget Office was involved in the issuance of debt for the Tobacco Settlement Financing Corporation. Documentation relates to the rating agency reports, economic analysis of cigarette consumption, final closing documents, and annual financial statements and audits of the Corporation.

Retention: Retain until end of term of debt and thereafter, until of no further administrative value, or three (3) years, whichever period is longer.

Note: "Master settlement agreement" ~~refers to~~ means a settlement agreement and related documents entered into on November 23, 1998, by the state and the four (4) principal United States tobacco product manufacturers, as amended and supplemented.

BUD14 Certificates of Records Destruction

Certification of Records Destruction forms (PRA 003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable records retention schedules. (R.I. Gen. Law §§ 38-1-10, 38-3-6, and 42-8.1-10)

Retention: Permanent.

DCP Division of Capital Projects and Property Management

DCP1.1 Capital Budget Request Records

The Capital Projects and Property Management program (hereafter, CPPM) was established by Executive Order in April 2004 within the Department of Administration in order to centralize the state's public construction and property management functions. The division is responsible for providing guidance to state agencies in the preparation of Capital Budget Requests/Capital Improvement Plans related to the construction, acquisition, and renovation of real property. The division helps agencies to determine how much funding their proposed capital projects' feasibility study will require as well as the anticipated cost of the proposed project. This involves the preparation of architectural and engineering studies, budget documents, program documents, and block plans. The studies, however, are officially signed and submitted to the Budget Office by the requesting agency.

Retention: Retain ten (10) years.

Note: Budget Office retains permanent copies of all agency Capital Budget requests and Capital Improvement Plans.

DCP1.2 Construction Project Initiation Records

The CPPM is responsible for providing construction management services to state agencies for approved capital projects. The division also has authority to assume direct responsibility for control of capital

construction and major renovation projects. This includes consultation on the inventory of available state properties, the development of Requests for Proposals for acquisition of existing facilities, or new construction, including the development of specifications and requirements for the planning, design, and construction of new state facilities, and for the major renovation of existing buildings. The division also provides advice on the evaluation of vendor/contractor bids submitted to the Division of Purchasing. This series consists of records related to the division's assistance to agencies in the development of RFPs and the evaluation of responsive project bid proposals. This documentation includes requests for proposals, feasibility studies, and requests for information involving architectural and engineering firms, and for construction services. Included also is documentation concerning the division's evaluations of solicitations and recommendations submitted to the Division of Purchasing. Also includes related correspondence.

DCP1.2A Unsuccessful Bids

Retention: Retain three (3) years after bid award.

DCP1.2B Successful Bids

Retention: Retain until building demolished or sold.

DCP1.3 Construction/Renovation Phase Records

This series covers records related to the division's responsibilities for the management of the architectural, engineering, and construction process for state facilities during building construction or facility renovation. Included are architects' design plans and specifications, contractors' reports, change order requests, change orders, project job meeting minutes, project schedules, project invoices, and payment logs, and lien releases. The series also includes building permits from the Department of Environmental Management, the Building Code Commission, and the State Fire Marshall, as well as the local fire marshal for alarm acceptance purposes.

DCP1.3A Architectural Plans and Specifications, and Engineering Reports

Retention: Retain for life of the building.

DCP1.3B All Other Records

Retention: Retain ten (10) years after occupancy.

DCP1.4 Construction Projects – Final Documents

This series consists of final construction documents for new and renovated structures. Included are complete architectural building plans and specifications, as-built drawings, construction photos, and close out payments, lien releases, certificates of occupancy, warrantee information, and original equipment manufacturer manuals (OEM). (One (1) set of OEM manuals is required to be kept at the facility location).

DCP1.4A Historic Buildings Documentation

Retention: Permanent.

DCP1.4B All Other Buildings

Retention: Retain ten (10) years after building demolition, sale, or other disposition of title.

DCP1.5 Real Property Leasing Solicitation Records

The division is responsible for helping agencies that have identified a need to lease building space for their operations, whether already owned by the state or by a private concern, or already under lease to other agencies. This may involve assistance to agencies with preparation of needs assessments and requests for proposals documentation for the State Properties Committee's approval. The division also assists agencies in soliciting, negotiating, and administering real estate leases. Records include lease solicitation documents, requests for proposals, submitted lease proposals, including architectural and interior design plans, disclosure documents, postings and copies of advertisements, copies of correspondence with potential lessors (lessor), and/or their agents, correspondence with the State Properties Committee and documents related to State Properties Committee actions.

Retention: Retain three (3) years.

DCP1.6 Leases for Real Property

This series includes copies of draft leases, correspondence with property lessors (lessors) and/or their agents.

Retention: Retain three (3) years after termination of leasehold.

DCP1.7 Inventory of State-Owned Property

The division is responsible for maintaining an inventory of state-owned properties. This record series consists of a list of state-owned property. The inventory includes the following property information: location, building name, usage, name of agency, plat and lot number, address,

and year built; materials, square footage, date acquired, ownership history, and land and building value.

Retention: Permanent.

DCP1.8 Strategic Planning Records

The division is responsible for conducting periodic assessments of the state's space needs for governmental activities. As circumstances require, the division develops strategic plans for state asset space use and reuse.

Retention: Retain ten (10) years after superseded.

DCP1.9 Certificates of Records Destruction

Certification of Records Destruction forms (PRA003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules. (R.I. Gen. Law §§ 38-1-10, 38-3-6, and 42-8.1-10)

Retention: Permanent.

PER Division of Human Resources

PER1 Administrative Services

PER1.1 Personnel Action Forms

The Administrative Services Office utilizes various civil service forms in the process of hiring state employees. These completed forms are kept as a record of the history of each state employee (including interns). The most vital information on each employee found on the various forms (name, hiring date, gender, minority status, social security number, salary history, termination, and other vital information) is entered into a database. The records in the databases are microfilmed after five years. The files may include, but are not limited to, special contracts, emergency appointments, civil service lists, data compilations, records of physical examinations (when required), and the following: CS-2 (Request for eligibles).

CS-3 (Personnel action form – turnaround processed to show personnel transactions).

CS-5 (Termination form – form completed when employee terminates, showing date, vacation, and sick balances).

RP 5 (Evaluation of qualifications form for candidates who are recommended and interviewed for employment).

CS-73 (Probation and Parole Form – sent for a Bureau of Criminal Identification check).

CS-205 (Form to request a new position), and

CS-387 (Form relating to “drug free workplace” signed by some employees as required for their positions).

PER1.1A Vital Information Extracted into Database

Retention: Retain eighty (80) years after termination of employee.

PER1.1B All Other Records

Retention: Retain ten (10) years.

PER1.2 Accrued Hours (Reports and Corrections)

~~Series The Description~~ Administrative Services Office maintains employees' time balances and makes corrections to their time, notes exceptions, and maintains records of vacation and sick leave balances. The records may include, but are not limited to, accrued hour reports and corrections.

Retention: Retain seven (7) years.

PER1.3 Sick Bank Records

The Administrative Services Office maintains employees' time balances and makes corrections to their time, notes exceptions, and maintains records of vacation and sick leave balances. The records may include, but are not limited to, accrued hour reports and corrections.

Retention: Retain three (3) years after termination of employee.

PER1.4 Employment Eligibility Verification Records

State agencies are required to obtain proof of eligibility for all employees hired after November 6, 1986 (the date the Immigration Reform and Control Act, Pub. L. 99-603, took effect). This act, passed by Congress, requires all employers to verify the employment eligibility and identity of all employees. The primary form associated with this documentation that is currently in use is the I-9 form that all employees must fill out to prove that they are United States citizens or that they are authorized to

work in the United States.—Employers must verify these forms and then retain them.—Employees must provide other personal documents to prove the validity of the statements on the form.—Such documents may include, but are not limited to, driver's licenses, passports, social security cards, voter registration cards, and Native American tribal documents. The records in the series may include, but are not limited to, the I-9 form (or possibly a successor to it that could be used in the future) and any supporting documentation (originals or copies).

Retention: Retain three (3) years after employee is hired or three (3) years after employee is terminated, whichever is later.

PER2 Classification

PER2.1 Classification Studies & Records

The Personnel Division maintains records of desk audits for state employees who seek a change in job classification, regardless of whether the change is approved or not.—The records may include, but are not limited to, classification questionnaires, desk audits, CS-205's (requests for new positions), and reallocations.

Retention: Retain five (5) years.

PER2.2 Job Specifications

The Personnel Division classifies state employees in specific job classifications that most resemble their positions.—These classifications also take into account their functions, level of education, and experience. The records include job specifications and any accompanying documentation.

Retention: Retain five (5) years, until superseded, or until termination of last employee hired under description, whichever is later.

PER2.3 Public Hearing Files

The Personnel Division holds public hearings concerning personnel changes involving salaries, job descriptions, and content.—Notices are posted to advertise these hearings, which are open to the public.—The records may include, but are not limited to, classification notices, pay plans, and all public hearing materials.

Retention: Retain ten (10) years.

PER3 Diversity

PER3.1 Vacancy Notices

The Diversity Office serves as the central repository for all state job vacancy notices.—The office posts printed copies of the notices in the Department of Administration's posting room and electronic versions appear on the website of the Department of Labor and Training.—The office retains these notices beyond the application period for reference purposes and because they are sometimes needed by union officials or members for grievances and/or arbitration hearings.—The records include vacancy notices and any relevant class specification documents or summaries that detail job requirements.—The forms involved include, but are not limited to, the CS-376 form.

Retention: Retain until resolution of all grievances (if any) and then until of no further administrative value (minimum retention: one (1) year).

PER3.2 Applications for Employment

The Diversity Office receives applications for state employment along with supporting documentation and forwards them to the appropriate departments and agencies.—In some cases, the staff of the office also writes a letter of referral/support.—This is part of the office's efforts to identify and recruit individuals from protected classes who are underrepresented in the state's workforce.—The Uniform Guidelines on Employee Selection Procedures (published in 1978) drive these efforts. This document is a Federal document that authorizes such targeted outreach.—The Equal Employment Opportunity Commission also uses these guidelines in the enforcement of Title VII of the Civil Rights Act of 1964.—The files may include, but are not limited to, resumes, applications for employment, typing certificates, letters of recommendation, and copies of licenses.

Retention: Retain five (5) years, or until individual is hired or is no longer seeking employment with the state of Rhode Island, whichever is longer.

PER4 Equal Employment Opportunity

PER4.1 Affirmative Action Plans/Programs

The Equal Employment Opportunity Office oversees the implementation of Affirmative Action plans and programs and monitors them.—These actions are required by Federal Law (29 C.F.R.1602.14).—The files may include, but are not limited to, Affirmative Action plans, Affirmative Action policies, Civil Service (CS378-EEO) cards, semi-annual reports, monthly reports, investigation records, hearing records, and records concerning allegations of sexual harassment.

PER4.1A Plans, Policies, and Semi-Annual Reports

Retention: Permanent.

PER4.1B All Other Records

Retention: Retain three (3) years.

PER5 Employee Benefits

PER5.1 COBRA Records

The Consolidated Omnibus Budget Resolution Act (COBRA) is a Federal law (Public Law No. 99-272, enacted in 1986) that allows employees who are losing their medical coverage to purchase the coverage from their former employers, at full cost, for eighteen months. The Employee Benefits Office administers that law for former state employees, maintaining a record of benefit payments and other transactions. This series includes all forms and records associated with that process including, but not limited to, Golden Vouchers, RI Sail Vouchers, and RIFAN vouchers, all of which document bill paying and direct remittance.

Retention: Retain seven (7) years.

PER5.2 Vouchers

The Employee Benefits Office maintains data concerning benefit payments for state employees and other transactions. State employees receive numerous benefits including health insurance, dental insurance, vision care coverage, life insurance, and day care for dependents. Employees who leave have the option of buying into the health insurance provided by the Consolidated Omnibus Budget Reconciliation Act (COBRA). This insurance plan allows employees with health benefits the right to continue group health benefits provided by their group health plan for limited periods of time under certain circumstances such as job loss. The records prior to 2006 include RISAL vouchers, which were replaced by RIFANS vouchers that year. The files also may include, but are not limited to, bill payment records and other types of vouchers.

Retention: Retain seven (7) years.

PER5.3 Contracts and Requests for Proposals

The Employee Benefits Office maintains copies of contracts for benefits for state employees and requests for proposals involving these benefits. The Purchasing Division holds the record copies. The contracts are

negotiated between the state of Rhode Island and health vendors for medical, dental, vision, life insurance, and other coverage.—These files may include, but are not limited to, copies of the contracts, copies of addendums to the contracts, copies of the requests, any associated correspondence, and copies of the bids submitted by the selected vendors.

Retention: Retain seven (7) years.

PER6 Employee Services

PER6.1 Payroll Records

The Employee Services Office maintains records of employee hours and handles payment of salaries.—The data on employee time sheets (submitted weekly) is entered into a database.—Payroll is then printed up each week.—The records include, but are not limited to, attendance sheets, vacation records, payroll exception sheets, payroll weekly printouts, registers of accounts of employees, and analyses of the payroll.

Retention: Retain ten years (10) years or one (1) year after audit, whichever is sooner.

PER6.2 Savings Bond Authorization Records

The Employee Services Office oversees the state payroll savings bond program in which state employees have the option of participating.—The office receives the authorization cards that employees submit to effect changes in bond registration and payroll deduction.—Vouchers are also prepared and processed to generate monthly purchases of EE and I bonds, both of which are Federal government-backed savings bonds that employees may opt to purchase.—EE bonds are low risk bonds that earn a fixed rate of return, letting one know what they are worth at all times.—I bonds are also low risk but are a liquid savings product. Individuals participating in the savings bond program who leave it for various reasons (such as retirement or cancellation of bond deduction) receive refunds that are documented by refund vouchers.—The records concerning these savings bonds may include, but are not limited to, savings bond authorization cards, signature cards, savings bond refund vouchers, savings bond purchase vouchers.—They also include several types of computer-generated savings bond reports (such as 1042, 1030, and 1037 reports) that reflect the transactions.

Retention: Retain three (3) years.

PER6.3 Career Awards

The Employee Services Office recognizes state employees that reach service milestones (10 years, 15 years, etc.).—These employees receive certificates and pens.—The office generates monthly registers to ensure that employees receive these awards in a timely manner as per Personnel Rules Section 7-15.—The files may include, but are not limited to, Civil Service Form CS-339a (monthly requests), CS-339b (requisition procedures), and monthly backup reports of candidates for the awards. These reports identify candidates by agency, department, and social security number.

Retention: Retain three (3) years after presentation of award.

PER6.4 Suggestions Program Awards

The Division of Personnel's Rules and Regulations provide for awards for employees who "propose procedures or ideas which are adopted and which will result in eliminating or reducing state expenditures or improving operations, provided such proposals are placed in effect" or "by their superior accomplishments, make exceptional contributions to the efficiency, economy, or other improvement in the operations of state government."—The Division's Suggestions Program handles these awards, which are monetary.—The records may include, but are not limited to, suggestion forms submitted by employees, suggestion evaluations, and any associated correspondence or memoranda.

Retention: Retain three (3) years.

PER7 Examination

PER7.1 Exam Materials

The Examinations Office administers civil service exams.—The office analyzes and scores Education and Experience (E & E) worksheets, applications, and answer sheets in order to develop civil service lists. The office also provides the necessary information to render certification of employment, which is crosschecked with the certification unit when minority status is involved.—The records may include, but are not limited to, civil service applications, E & E answer sheets, worksheets, appeals of results, and job availability listings.

Retention: Retain six (6) years.

PER7.2 Exam Booklets

The Examinations Office develops examination booklets for use in the testing of candidates for state employment.—Examiners and department specialists review the booklets for specifications to make sure they are accurate and up to date.—When they are not, questions are changed.

The files may include, but are not limited to, exam booklets, exam histories, computer printouts of results, and key copies of answer sheets.

Retention: Retain until superseded (retain one (1) copy permanently).

PER7.3 Exam Lists

The Examinations Office ranks candidates for state employment based on their scores on civil service exams.—Lists are prepared with these rankings in mind to evaluate candidates for state jobs as per R.I. Gen. Laws §§ 36-4-20 and 36-4-22.—The records include, but are not limited to, lists of candidates with notations indicating acceptance or rejection, item analyses, room lists, Education and Experience (E & E) worksheets, and answer keys.

PER7.3A Lists for Open Competitive Positions

Retention: Retain ten (10) years.

PER7.3B Lists for Promotions

Retention: Retain ten (10) years.

PER8 Training

PER8.1 Incentive Credit Files

The Training Office oversees incentive credit training for state employees and maintains the records for each employee and each course throughout the state.—The training is provided for as per R.I. Gen. Laws §§ 36-4-44, 36-4-14, 36-4-16.3, and 36-4-14.1, and Personnel Rules (Sec. 4.08).—Some of the courses are offered by colleges and universities, some by the Division of Personnel, and some by agencies.—The files may include, but are not limited to, requests for lists of incentive credit training courses, incentive employee course files, requests to take courses, course approvals, course denials, attendance sheets, grading criteria, letters of completion, copies of exams, information on instructors, records of instructor payments, and credit approval records.

Retention: Retain thirty (30) years.

PER8.2 Non-Incentive Credit Course Files

The Office of Training and Development operates non-incentive credit training courses and maintains the records of the courses and the state employees that take them as per R.I. Gen. Laws § 36-4-44.—The files

may include, but are not limited to, course outlines, evaluations, rosters, and sign-in sheets.

Retention: Retain five (5) years.

PER8.3 Employee Training Records

The Training Office maintains records the incentive courses each state employee takes during his or her tenure as a state employee.— Each file may include, but is not limited to, the employees name, personal information, the identification number for each course taken, the name of each course, and the amount of credit received.— These records were maintained in paper format until 1988 and since then have been maintained in a database.

Retention: Retain three (3) years beyond termination of employee.

PER9 State Workers' Compensation

PER9.1 Claim Files

The State Workers' Compensation Unit handles claims for state employees who are injured on the job or who suffer impaired health as a result of their work.— Workers must prove their injuries through medical documentation.— The unit handles this documentation and pays associated bills for proven claims.— The files may include, but are not limited to, regulatory forms (initial reports of claims), legal documents (pretrial orders, decrees of the court), medical documentation, attorney work products, depositions, investigative reports, attorney notes, and physical therapy records.

PER9.1A Investigative Reports, Attorney Notes, and Physical Therapy Records

Retention: Retain until of no further administrative value, but at least three (3) years from the date of incident or major impairment.

PER9.1B All Other Records

Retention: Retain thirty (30) years.

PER10 Records Management

PER10.1 Certificates of Records Destruction

Certification of Records Destructions forms (PRA 003) signed by the authorized agency official and submitted to, and signed by, the State

Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable records retention schedules.—(R.I. Gen. Laws §§ 38-1-10, 38-3-6(j), and 42-8.1.10)

Retention: Permanent.

LGL Division of Legal Services

LGL1 ???

LGL1.1 Labor Arbitration Cases

The Division of Legal Services represents executive branch agencies in union grievances that involve allegations of violations of the provisions of collective bargaining agreements.—The records may include, but are not limited to, demands for arbitration, documents relating to arbitrator selection, the hearing officer's grievance file, correspondence regarding scheduling and other administrative matters, documents concerning pre-hearing discovery, case preparation material, notes from hearings, exhibits used as evidence for hearings, briefs submitted by labor, briefs submitted by management, and records of awards issued.

LGL1.1A Landmark Cases

Retention: Permanent.

LGL1.1B All Other Cases

Retention: Retain fifty (50) years from date of closure.

LGL1.2 Bargaining Unit Certification Cases

The State Labor Relations Board (hereinafter Board) determines membership in collective bargaining units – which union represents which position and which bargaining units are appropriate to each case. The Division of Legal Services communicates with the Board in regard to the executive branch agencies it represents and maintains appropriate records for each case concerned.—The records in this series may include, but are not limited to, petitions for representation of controversy concerning representation or clarification (accretion or exclusion), petitions concerning other bargaining unit certification matters, documentation supporting or opposing petitions, documents related to representation election, investigation reports issued by the Board, documents related to voluntary recognition, consent agreements, affidavits, correspondence regarding scheduling, correspondence regarding other administrative matters, motions, discovery, other pre-hearing documents, materials developed in hearing preparations,

hearing transcripts, exhibits admitted into evidence during hearings, briefs, decisions of the Board, and orders of the Board.

LGL1.2A Landmark Cases

Retention: Permanent.

LGL1.2B All Other Cases

Retention: Retain fifty (50) years from date of closure.

LGL1.3 Unfair Labor Practice Charges

The State Labor Relations Board hears cases involving “unfair labor practice” allegedly committed by the state as defined in the State Labor Relations Act.—The Division of Legal Services represents certain executive branch agencies in those cases and maintains its records of the cases.—The records in this series may include, but are not limited to, charges of unfair labor practice, correspondence regarding scheduling, correspondence regarding other administrative matters, documents related to informal conferences conducted by the Board, complaints issued by the Board, answers to those complaints, motions, discovery, other pre-hearing documents, materials developed during preparation for hearings, hearing transcripts, exhibits admitted into evidence during hearings, briefs, memoranda of law (submitted by labor and management), decisions by the Board, and orders of the Board.

LGL1.3A Landmark Cases

Retention: Permanent.

LGL1.3B All Other Cases

Retention: Retain fifty (50) years from date of closure.

LGL1.4 Personnel Appeal Board Cases

Appeals of decisions involving state personnel are filed with the State Personnel Appeal Board (hereinafter Board).—The Division of Legal Services represents certain executive branch agencies in those cases and maintains its records of the cases.—The records in this series may include, but are not limited to, notices of appeal issued by the Board, documents from proceedings before the Administrator of Adjudication, correspondence regarding scheduling, correspondence regarding other administrative matters, motions, discovery, pre-hearing documents, materials developed during case preparation, hearing transcripts,

exhibits admitted into evidence during hearings, briefs or other memoranda of law submitted by the employer and the appellant, decisions of the Board, and orders of the Board.

LGL1.4A Landmark Cases

Retention: Permanent.

LGL1.4B All Other Cases

Retention: Retain fifty (50) years from date of closure.

LGL1.5 Employment Discrimination Cases

The Division of Legal Services represents some executive branch agencies in cases related to charges of employment discrimination and other similar matters such as retaliation and harassment. Such charges are filed with the Equal Employment Opportunity Commission. The records relating to these cases may include, but are not limited to, charges filed with the Commission, employer's position statements, correspondence with the Commission regarding the investigation, documents provided during the investigation, notes from pre-determination conferences, notes from investigative findings, notices of rights to sue, complaints issued by the Commission, employers' answers to complaints, motions, discovery, other pre-hearing documents, materials developed during case preparations, hearing transcripts, exhibits admitted into evidence during hearings, briefs submitted by the parties, decisions of the Commission, and orders of the Commission.

LGL1.5A Landmark Cases

Retention: Permanent.

LGL1.5B All Other Cases

Retention: Retain fifty (50) years from date of closure.

LGL1.6 Unemployment Compensation Cases

The Division of Legal Services represents some executive branch agencies in cases related to contested claims for unemployment benefits. The records related to these cases may include, but are not limited to, notices of the initial claims for unemployment benefits, notices of director's decisions, materials developed during case preparations, notices of appeals of director's decisions, notices of referee hearings, notes taken during hearings before referees, hearing transcripts

(prepared only if appeal is taken to Board of Review), exhibits admitted into evidence during hearings before referees, decisions issued by referees, orders issued by referees, documents regarding appeals to the Board of Review, notes taken during hearings before the Board of Review, transcripts (prepared only if appeal taken to District Court) documents submitted to the Board of Review, decisions of the Board of Review, and orders of the Board of Review.

LGL1.6A Landmark Cases

Retention: Permanent.

LGL1.6B All Other Cases

Retention: Retain fifty (50) years from date of closure.

LGL1.7 Litigation Cases

The Division of Legal Services represents some executive branch agencies in litigation of matters in state or Federal Court.—This series documents those cases.—The records may include, but are not limited to, pleadings, discovery documents, correspondence, internal memoranda, other communications, materials developed during case preparation, transcripts, exhibits admitted into evidence, briefs, decisions of the court, and orders of the court.

LGL1.7A Landmark Cases

Retention: Permanent.

LGL1.7B Employment Litigation Cases (Non-Landmark)

Retention: Retain fifty (50) years from date of closure.

LGL1.7C All Other Cases

Retention: Retain seven (7) years from date of closure.

LGL1.8 Appeals to Administrator of Adjudication

The Division of Legal Services represents some executive branch agencies in appeals of the decisions or actions of the State Personnel Administrator.—This series documents those cases.—The records may include, but are not limited to, notices of appeals, documents related to the decision or action under appeal, materials developed during case

prosecution, pleadings and memoranda of law submitted to the Adjudicator, exhibits admitted into evidence during the hearing, notes of hearing before the Adjudicator, decisions of the Adjudicator of Administration, and orders of the Adjudicator of Administration.

LGL1.8A Landmark Cases

Retention: Permanent.

LGL1.8B All Other Cases

Retention: Retain fifty (50) years from date of closure.

LGL1.9 Grievance Files

The Division of Legal Services represents some executive branch agencies in cases of grievances filed by unions. The grievances stem from allegations of violations of the provisions of collective bargaining agreements. This series documents those cases. The records may include, but are not limited to, grievances, hearing notices, exhibits submitted during hearings, hearing officers' notes, copies of arbitration awards referenced in decisions, and hearing officers' decisions.

LGL1.9A Landmark Cases

Retention: Permanent.

LGL1.9B All Other Cases

Retention: Retain fifty (50) years from date of closure.

LGL1.10 Labor Contract Negotiation Files

The Division of Legal Services participates in contract negotiations with labor unions on behalf of executive branch agencies. This series documents those negotiations. The records may include, but are not limited to, copies of expired contracts, contract proposals (from both sides), notes from negotiating sessions, tentative agreements, and copies of revised contracts.

LGL1.10A Landmark Cases

Retention: Permanent.

LGL1.10B All Other Cases

Retention: Retain fifty (50) years from date of closure.

LGL1.11 Legal Research Files ~~(OBSOLETE)~~

~~See Also:~~ [LGL1.12 \(Day-to-Day Legal Support Files\)](#).

LGL1.12 Day-to-Day Legal Support Files

The Division of Legal Services assists the agencies in dealing with other specific incidents, issues, or problems that require legal counseling not covered by other categories in this records retention schedule. ~~—~~ This series documents those incidents. ~~—~~ The records may include, but are not limited to, documents related to initial requests for assistance, research, reference materials, correspondence, documents compiled during development of the issue, drafts, and final products.

LGL1.12A Labor Support Files

Retention: Retain ten (10) years from date of closure of final pertinent incident, issue, or problem.

LGL1.12B All Other Files

Retention: Retain seven (7) years from date of closure of final pertinent incident, issue, or problem.

LGL1.13 Reference Library Records

For reference purposes, the Division of Legal Services maintains copies of various items pertaining to cases it was involved in. ~~—~~ The records may include, but are not limited to, copies of decisions rendered by courts, administrative agencies, or arbitrators in state employment matters, copies of briefs submitted by parties involved, copies of collective bargaining agreements between the state and unions that represent state employees, and copies of certifications and amended certifications issued by the State Labor Relations Board regarding membership in established bargaining units.

LGL1.13A Records of Labor-Related Cases

Retention: Retain fifty (50) years from date of closure.

LGL1.13B Records of All Other Cases

Retention: Retain seven (7) years from date of closure.

LGL2 ???

LGL2.1 Purchasing, Real Estate, and Transaction Records

The Division of Legal Services counsels client agencies on legal matters relating to purchases, real estate transactions, and other transactions. This series documents that counseling and the resulting actions. The records consist of transactional documents that may include, but are not limited to, draft contracts, memoranda, deeds, leases, land conveyance documents, policies, and advisory opinions.

LGL2.1A Records of Real Estate Transactions

Retention: Retain thirty (30) years from date of closure.

LGL2.1B Records of Long-Term Technology (IT) Asset

Retention: Retain ten (10) years from date of closure.

LGL2.1C Records of All Other Matters

Retention: Retain seven (7) years from date of closure.

LGL2.2 Litigation Records ~~[OBSOLETE]~~

See Also: LGL1.7 [\(Litigation Cases\)](#).

LGL3 ???

LGL3.1 Hearing Records

The Division of Legal Services handles administrative hearings within the Department of Administration and on behalf of other agencies. This series documents those hearings. Administrative adjudication hearing records may involve desk audits, exam results, and exam rejections. The records may include, but are not limited to, appeal notices, tapes of hearings, transcripts, and decisions.

LGL3.1A Final Decisions

Retention: Permanent.

LGL3.1B All Other Records

Retention: Retain ten (10) years from date of closure.

LGL4 ???

LGL4.1 Public Records Requests and Responses

The Department of Administration receives requests for access to public records and responds or refers them to the appropriate agency for response. Citizens have the right to access to these records as per R.I. Gen. Laws § 38-2-3 unless the controlling entity can legally deny access as per R.I. Gen. Laws § 38-2-7. Those whose requests are denied may submit administrative appeals. Any complaints about how requests are handled may also be taken to the Attorney General. The Division of Legal Services acts on behalf of the agencies in these cases. The records may include, but are not limited to, requests for public records, responses to requests, administrative appeals filed by requesters, complaints, and decisions by the Attorney General's office in response to complaints.

LGL4.1A Labor-Related Requests

Retention: Retain three (3) years after resolution.

LGL4.1B All Other Requests

Retention: Retain three (3) years after resolution.

LG5 ???

LG5.1 Certificates of Records Destruction

Certification of Records Destructions forms (PRA 003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable records retention schedules. (R.I. Gen. Laws §§ 38-1-10, 38-3-6(j), and 42-8.1.10)

Retention: Permanent.

DPL Division of Planning

DPL1 State Planning Council

DPL1.1 State Planning Council Meeting Records OBSELETE

The State Planning Council was established by Executive Order # 16 on June 22, 1970 and codified into law by R.I. Gen. Laws § 42-11-10. Its main purpose is to ensure that a broad range of interests and viewpoints

is represented in the state's planning process. The Council consists of members from state agencies and local government as well as public members, as appointed by the Governor (see R.I. Gen. Laws § 42-11-10(e)). State law (R.I. Gen. Laws § 42-11-10(d) requires that the Council prepare a State Guide Plan, which serves to centralize, integrate, and monitor the state and local long-range goals, policies, plans, and related implementation activities. The Division of Planning provides support to the Council. State law requires the Council's participation in the siting of certain kinds of facilities. Currently, these include solid waste disposal facility sitings, which must obtain certificates of approval from the Council (R.I. Gen. Laws § 23-18.9-9); major energy facility sitings, which require Council advisory opinions (Energy Facility Siting Board, R.I. Gen. Laws § 42-98-9), and water transmission and intersystem facilities, which require Council approval (Water Resources Board, R.I. Gen. Laws § 45-15.2-4(d)). Another major example is determining the consistency of projects of the Economic Development Corporation and its subsidiaries with the State Guide Plan (R.I. Gen. Laws § 42-64-14). The State Planning Council also serves in various other capacities as the state representative for purposes related to responding to federal requirements, particularly in the areas of state transportation planning and economic development. In 1962, Congress enacted legislation requiring the establishment and federal funding of state Metropolitan Planning Organizations (MPOs). MPOs are state transportation policy-making organizations made up of representatives from the state's local government and governmental transportation authorities. The State Planning Council was designated as the MPO for Rhode Island by letter of the Governor dated February 21, 1974, and reaffirmed by letter of the Governor dated June 9, 1992. As Rhode Island's State Metropolitan Planning Organization, the Council has responsibilities related to state transportation planning. The purpose of the state MPO is to ensure that state transportation projects and programs receiving federal funds are based on a continuing, cooperative, and comprehensive planning processes. The MPO reviews and approves several types of projects and plans. These include the annual Unified Transportation Planning Work Program, the Long Range Transportation Plan, and the four-year program of transportation investments, known as the Transportation Improvement Program (TIP). The Council, in conjunction with two of its committees, also serves as Rhode Island's Comprehensive Economic Development Strategy (CEDS) Committee. CEDS is a federal program of the Department of Commerce's Economic Development Administration (EDA). Pursuant to the Public Works and Economic Development Act of 1965 (42 U.S.C. § 3162), the EDA administers a CEDS grant program, which is designed to bring together the public and private sectors in the creation of an economic roadmap to diversify and strengthen state and regional economies. Under this program, the Statewide Planning Program calls for local and regional entities to

develop and submit project proposals to use federal funds to implement some of the state's long-range economic development objectives and policies. The Division develops and coordinates a review process in order to make recommendations to the CEDS Committee (i.e., the Council). The CEDS Committee evaluates applications and endorses projects that then become eligible for grants from the federal Economic Development Administration. This record series consists of documentation of the Council's actions, including records related to its several roles for purposes of various federal programs requirements (e.g. MPO and CEDS.) It includes the State Guide Plan as well as Council agendas, minutes of meetings, public notices and related reports, advisory opinions, decisions and orders, hearing records, project approvals, and certifications of planning consistency (with the State Guide Plan) for a wide variety of government projects and plans submitted to the Council for its consideration. The minutes also include a range of advice and recommendation documentation submitted to the Council by the Division of Planning. The Council also receives advice, assessments, and recommendations on projects, plans, and studies from the Council's standing and temporary advisory committees (see DPL1.2 (State Planning Council Advisory Committees Records) below). All of the above documentation is filed with the appropriate Council meeting minutes file. (R.I. Gen. Laws §§ 42-11-10, 23-18.9-9, 42-98-9, 45-15.2-4(d), 42-64-14, and 42 U.S.C. § 3162)

Retention See Also: [See-GRS1.7 \(Meeting Minutes\)](#).

DPL1.2 State Planning Council Advisory Committees Records

The State Planning Council has several advisory committees to assist it in its work. These include permanent and standing committees as well as special, temporary advisory committees. These committees are made up of a membership appointed by the Council to represent diverse interests and viewpoints as required in the state planning process and in the preparation or implementation of plans. State law requires that the Council establish a permanent committee comprised of public members from different geographic areas of the state representing diverse interests as well as officials of state, local, and federal government. The permanent committee is known as the Technical Committee. The Council's regulations also call for the establishment of a standing Transportation Advisory Committee. This committee was established to assist the Council with setting goals, identifying issues, analyzing the advantages and disadvantages of alternative courses of action, evaluating impacts, recommending policies, strategies, or projects, and monitoring progress or results of actions taken. Also required by law is The Rhode Island Geographic System Executive Committee. In addition to the above, state law authorizes the Council to establish temporary special advisory committees, as required. These committees

perform various state planning activities in support of the Council's pursuit of its mission. Special committees are appointed to assist the Council, standing committees, or staff in a specific functional or operational area, and usually for a limited period of time. All advisory committee advice and recommendations documents are filed with the State Planning Council's records. This record series may include agendas, minutes of meetings, public notices, and related correspondence, public hearing records, application documentation, and advisory opinions and recommendations. (R.I. Gen. Laws § 42-11-10(f)(5) and (6))

DPL1.2A Standing Committees Records

Retention: Permanent.

DPL1.2B Special, Temporary Committees Records

Retention: Permanent.

DPL1.2C RIGIS Executive Committee Records

Retention: Permanent.

DPL2 Office of Statewide Planning

This office serves as the principal staff to the State Planning Council. Statewide Planning is subdivided into several units responsible for transportation, land use, comprehensive and consistency planning and review, and a planning information center. Each unit is responsible for preparing materials, reviewing documents, conducting research, and coordinating various aspects of the state planning process specific guidelines, standards, strategies, programs, and findings, and they also in support of the State Planning Council. They recommend to the State Planning Council prepare drafts of and guidance on the adoption, revision, and updating of the State Guide Plan.

DPL2.1 Program Reports, Technical Reports, Studies, Issue Briefs, and Guides

The Statewide Planning Program prepares a variety of reports. Program Reports are detailed topical reports that usually include policy guidance. The State Planning Council may adopt program reports as elements of the State Guide Plan. Statewide Planning also prepares Technical Reports, which are a series of numbered papers that are used to present technical information -- data and data analysis as well as issues, patterns, trends, and forecasts -- derived from various studies performed by staff. Technical Reports are frequently prepared to support the work of developing or revising elements of the State Guide Plan; however,

since they do not usually contain policy statements, they do not go through the State Planning Council's approval process prior to release. In addition to Program Reports and Technical Reports, the office also produces a wide variety of other reports, studies, and background documents for various purposes that complement, supplement, summarize, or publicize an element, or a particular aspect of an element, of the State Guide Plan. Other material may advise policymakers, provide census analysis, or offer technical assistance or guidance. This series also includes various working documents such as reference materials, preliminary data, and working document drafts of materials in preparation for completion of various final reports and studies.

Retention: Retain one copy permanently.

DPL2.2 Local Comprehensive Plan Consistency Review Records

Since 1972, Rhode Island has required all its municipalities to have local comprehensive plans. The 1988 Rhode Island Comprehensive Planning and Land Use Regulation Act as amended (the Act) established a standardized comprehensive planning program. The Act describes local comprehensive plans as statements (in text, maps, illustrations, or other media of communication) designed to provide a basis for rational decision-making regarding the long-term physical development of municipalities. The Act also established uniform requirements for plan contents, a new municipal approval process, and requirements for State standards setting, review, and approval. The plans address "future land use, which considers development in the context of land capability, protection of natural resources, promotion of a balance of housing choices, economic development, as well as the preservation and protection of open space, recreational, historic and cultural resources, and the orderly provision of facilities and services." Under the aforementioned act, the chief of the Statewide Planning Program is responsible for coordinating the review and approval of local comprehensive plans and amendments. Plans must also be updated or revised within statutorily specified periods of time. Plans and amendments to plans are reviewed to ensure that the goals of the Act have been met. This involves ensuring that all required elements of the plan are complete, and that all plans, elements, and amendments are consistent with all relevant elements of the State Guide Plan. The chief is also responsible for ensuring that each municipality's plan is compatible with the goals and policies of the state, its departments and agencies, and also with the plans of contiguous municipalities. As part of the review process, therefore, Statewide Planning also solicits comments from regional and state agencies, contiguous municipalities, and other interested parties. Records include local comprehensive plans, periodic required reports on plan implementation, the chief's findings, and related correspondence. (R.I. Gen. Laws § 45-22.2)

Retention: Retain while the local comprehensive plan is in effect, plus ten (10) years.

Note: Each town retains a permanent copy of its Local Comprehensive Plan as per LG11.3 (Comprehensive Community Plans).

DPL2.3 Intergovernmental Review (IGR) of Federal Grant Applications and Direct Federal Actions

Federal Executive Order 12372 establishes an "Intergovernmental Review of Federal Programs" (IGR) process. This Order requires the federal government to include consultation of state and local governments and affected communities in two kinds of project reviews. These include reviews of planned federal actions to be undertaken in each state ("Direct Federal Actions" and Army Corps of Engineer projects and permits) and, second, applications for federal funding for selected activities and projects. Gubernatorial ~~Executive-Exec.~~ Order ~~number No.~~ 83-11 designates the Statewide Planning Program as the Single Point of Contact (SPOC) ~~Clearinghouse Coordinator~~ to administer Rhode Island's project review process. The Division reviews applications and solicits comments from state and local officials and agencies as well as private organizations and stakeholders that may be affected by a proposed federal activity or project. Meetings may also be held to resolve outstanding issues. The records include Division of Planning assessments, copies of completed grant applications and supporting project summaries, environmental impact statements, project narratives, maps, and site plans, comments from solicited stakeholders, meeting notes, and associated correspondence with grant applicants and grant-reviewing parties and, finally, recommendations forwarded to the applicant and/or federal agency.

Retention: Retain three (3) years.

Note: Record copies of grant application files exist with grant applicants. (LG2.8.9 (Grant Files)).

DPL2.4 Interagency Advisory Reports, Findings, and Recommendations

State law, executive order, State Guideline Provision, or voluntary agreement may result in

requests for State Guide Plan consistency or other types of evaluations that do not go through the State Planning Council. For example, R.I. Gen. Laws § 37-6-2(b)(4) states that the State Properties Committee must consult the Division of Planning concerning the evaluation of State office leasing proposals. The records in this series consist of planning and project proposals received from state agencies, Statewide Planning

evaluation documentation, and related working documents. (R.I. Gen. Laws § 37-6-2(b)(4))

Retention: Retain five (5) years after completion of audit.

DPL2.5 Working Documents

This series includes reference materials, working drafts, and data collected during the preparation and processing of documents in [Series DPL2.1 \(Program Reports, Technical Reports, Studies, Issue Briefs, and Guides\)](#), [DPL2.2 \(Local Comprehensive Plan Consistency Review Records\)](#), [DPL2.3 \(Intergovernmental Review \(IGR\) of Federal Grant Applications and Direct Federal Actions\)](#), and [DPL2.4 \(Interagency Advisory Reports, Findings, and Recommendations\)](#).

Retention: Retain three (3) years.

DPL2.6 Aerial Images

The Office of Statewide Planning houses several sets of aerial images representing various geographical locations and features in Rhode Island. The images consist of sets of photopositive photographs made intermittently between 1939 and 1992 (1938, 1951-52, 1962 (partial), 1972, 1976, 1981, 1988, and 1992). These photographs were taken by private aerial photography services, except for the 1951-52 photos, which were taken by the Directorate of Intelligence, US Air Force. Also included are several sets of photonegatives and images on Mylar, which were produced using the same techniques as the aerial photographs.

Retention: Permanent.

DPL3 Housing and Community Development Program

DPL3.1 Housing Resources Commission Records

The Rhode Island Housing Resources Commission (HRC) was established by statute in 1998. It is an agency within the Division of Planning with responsibility for developing plans, policies, standards, and programs and providing technical assistance for meeting the housing needs of Rhode Islanders. It is also mandated to identify opportunities for housing-related financial assistance made available by agencies of the federal government. The HRC's membership includes representatives from the financial, real estate, housing construction, and legal services sectors as well as individuals from public corporations, non-profit home placement services (such as Rhode Island Housing) and housing organizations advocating for various communities. The Commission's membership also includes representatives from state agencies and local government, including officials from the Division of

Planning. The chief of the Division of Planning's Office of Housing and Community Development (see DPL3.4) also serves as the HRC's executive director. The records include minutes of meetings and supporting documentation. (R.I. Gen. Laws [§ Chapter 42-128](#))

DPL3.1A Non-Substantive Correspondence and Memoranda, and Correspondence Requiring No Response

Retention: Retain one (1) year.

DPL3.1B All Other Correspondence

Retention: Permanent.

DPL3.1C Program Establishment and Development Records

Retention: Permanent.

DPL3.1D Meeting Records **[OBSOLETE]**

~~Retention~~See Also: ~~See~~ GRS1.7 (Meeting Minutes).

DPL3.2 Interagency Council on Homelessness Records

The Rhode Island Interagency Council on Homelessness (RI-ICH) was established by Executive Orders in 2005 and 2007, after being authorized as an agency in 2005. Its purpose is to address homelessness by bringing together executive level personnel from state agencies as well as non-governmental entities to develop and implement strategies and programs for assuring a coordinated, effective response to reducing homelessness. The Office of Housing and Community Development (OHCD) (see DPL3.4 (Federal Homelessness Grant Program Application Records)) is responsible for providing space and operational support for the Council (Interagency Council on Homelessness Memorandum of Agreement, June 21, 2011, between HRC/OHCD, Corporation for Supportive Housing, Rhode Island Housing, and the United Way of Rhode Island). The Chair of the RI-ICH is the Chief of the Office of Community and Housing Development. The records consist of meeting minutes and supporting materials as well as correspondence. (R.I. Gen. Laws § 40-17-2)

Note: The RI-ICH web location is currently the HRC website.

DPL3.2A Non-Substantive Correspondence and Memoranda, and Correspondence Requiring No Response

Retention: Retain one (1) year.

DPL3.2B All Other Correspondence

Retention: Permanent.

DPL3.2C Program Establishment and Development Records

Retention: Permanent.

DPL3.2D Meeting Records [OBSOLETE]

~~Retention~~See Also: See GRS1.7 (Meeting Minutes).

DPL3.3 Continuum of Care Records

The Continuum of Care (CoC) comprises a set of federal competitively awarded programs created to address the problems of homelessness in a comprehensive manner. The programs currently include the Supportive Housing Program (SHP), the Shelter Plus Care (S+C) Program, and the Section 8 Moderate Rehabilitation Single-Room Occupancy (SRO) Program. Since 1994, the federal department of Housing and Urban Development (HUD) has required stakeholders within each community to come together to annually submit a single comprehensive, coordinated Continuum of Care (CoC) application for competitive federal housing grants rather than allowing individual providers in a community to each submit a separate application for funding. Thus, HUD's Continuum of Care program describes a planning process around which states are encouraged to form organizations to carry out continuous and coordinated community planning and to update homelessness related plans and data. Due to its small geographic extent, Rhode Island is a single Continuum of Care community, with one CoC organization. The 1998 statute creating the HRC also required the establishment of an Office of Homelessness Services and Emergency Assistance. This office carries out the HRC's homelessness policy and coordination responsibilities, including the state's CoC responsibilities. The CoC consists of representatives from seven standing committees and includes a wide representation from public and private organizations, service providers, and homeless sub-populations. These individuals meet to review annual objectives and to ensure they are being met. At quarterly meetings of the Office of Homelessness, committees review their progress and receive support and suggestions to further their work. Rhode Island Housing (Rhode Island Home Mortgage and Financing Corporation) serves as the state's lead applicant to HUD for funding of homelessness programs falling under the Continuum of Care. The HRC's Office of Homelessness provides staffing for the CoC to ensure coordination with other homelessness efforts, whenever possible. The Housing Resources Commission is the lead applicant for CoC funding. However, RI Housing handles the fiscal agent

and program administration responsibilities. Most CoC records are maintained at RI Housing. The Office of Homelessness establishes the format for conducting meetings, develops meeting agendas, protocols, and conflict resolution procedures, defines roles and responsibilities, maintains group process and ensures a continuing focus on goals, objectives, and action steps, and undertakes various studies and projects. The records may consist of minutes of meetings, grant files, federal reports, and monitoring and progress reports on statewide homelessness programs. (R.I. Gen. Laws § 42-128-9)

DPL3.3A Non-Substantive Correspondence and Memoranda, and Correspondence Requiring No Response

Retention: Retain one (1) year.

DPL3.3B All Other Correspondence

Retention: Permanent.

DPL3.3C Program Establishment and Development Records

Retention: Permanent.

DPL3.3D Meeting Records [OBSOLETE]

~~Retention~~See Also: ~~See~~ GRS1.7 (Meeting Minutes).

DPL3.3E Grant Files [OBSOLETE]

See Also~~Retention~~: ~~See~~ GRS1.18 (Grant Program Files).

DPL3.3F Plans, Reports, And Studies [OBSOLETE]

See Also~~Retention~~: ~~See~~ GRS1.5 (Annual Reports) and GRS1.6 (Special Plans, Publications, Studies and Reports).

DPL3.3G Policy Records [OBSOLETE]

See Also~~Retention~~: ~~See~~ GRS1.1 (Correspondence and Memoranda) and GRS1.3 (Policies and Procedures).

DPL3.4 Federal Homelessness Grant Program Application Records [OBSOLETE]

This series concerns involvement of the Office of Housing and Community Development (OHCD) in applications for federal funds to

address homelessness in Rhode Island. The OHCD was established as part of the Division of Planning in 2005 to consolidate the state's homelessness programs, and to coordinate their implementation with the Strategic Housing element of the State Guide Plan ([See DPL2.1 \(Program Reports, Technical Reports, Studies, Issue Briefs, and Guides\)](#)). The OHCD's principal homelessness responsibilities include supporting the state's local emergency housing agencies combined with programs to prevent homelessness, and to help the homeless to transition to permanent housing. The state's homelessness programs depend largely on federal grants. These grant programs, embodied in federal legislation, vary over time as housing conditions and needs change across the country. Thus, the OHCD's organizational structure and homelessness programs may fluctuate in response to the establishment and closure of federal housing and homelessness funding programs, and the HRC's identification of new sources of funding. The OHCD serves in two roles with respect to the state's homelessness programs. First, it serves as an applicant for and recipient of federal government formula and competitive housing grants, largely from HUD. Depending on the federal grant program's eligibility and application requirements, the OHCD may serve in a lead or contributory role, and sometimes enters into various partnerships with other entities, including other state agencies, cities and towns, and private not-for-profit organizations. When OHCD is the lead agency, it serves as the state's grant applicant and prime recipient of awarded federal funds. Second, it also administers and distributes HUD grant funds to various local homelessness agencies with whom it enters into contracts for the delivery of services (DPL3.3 [\(Continuum of Care Records\)](#)). This series concerns its function as state applicant for federal grant funding. A long-term Consolidated Plan and an Annual Action Plan, both required by HUD, and drawing on work from the Housing Resource Commission's Continuum of Care ([See DPL3.3 \(Continuum of Care Records\)](#)) serve as plans to address the state's housing issues. The Consolidated Plan is a three- to five-year strategy for implementing HUD formula-funded grant programs. The Annual Action Plan simultaneously serves to update the Consolidated Plan and also constitutes the state's annual application to HUD for Emergency Solutions Grant funding and for Community Development Block Grant Program grants, (as well as for several other state housing and homelessness programs with which the OHCD is not associated). Several homelessness grant programs arise out of the 2009 federal HEARTH Act (Housing Emergency Assistance and Rapid Transition to Housing Act). This act encompasses the Emergency Shelter Grant program and Homelessness Prevention and Rapid Re-Housing Program (HPRP). The OHCD is responsible for developing those parts of the state application for funds made available competitively through the ESG and HPRP programs. The funds under this program are intended to target individuals and families who are

homeless or at imminent risk for homelessness. These programs are also designed to reduce homelessness among particular groups such as low to moderate-income individuals and families, veterans, individuals with disabilities, and people with AIDS by providing local service agencies with the funding needed to deliver services to these homeless populations. The records in this series include homelessness-planning documents/-grant applications, and supporting documentation, correspondence with partner applicants, and various performance, financial, and other reports prepared in response to federal requirements.

Note: The 2010-2015 Plan serves as an application for the Community Development Block Grant Program (CDBG), HOME Investment Partnership Program (HOME), Emergency Solutions Grant Program (ESG) (formerly "Emergency Shelter Grant" Program), and the Housing Opportunities for Persons with AIDS Program (HOPWA). The Consolidated Plan also serves as a broad planning document that sets priorities for allocating funding received through these programs throughout Rhode Island.

DPL3.4A Special Plans, Publications, Studies and Report
[OBSOLETE]

~~Retention~~See Also: ~~See~~ GRS1.6 (Special Plans, Publications, Studies and Reports).

DPL3.4B Grant Files [OBSOLETE]

See Also~~Retention:~~ ~~See~~ GRS1.18 (Grant Program Files).

DPL3.5 Local Homelessness Funding Application Process Records
[OBSOLETE]

This series covers records relating to OHCD's administration and distribution of federal funding to local homelessness organizations. The OHCD, as prime recipient of grant funds under certain federal homelessness assistance programs (~~See~~ DPL3.4 (Federal Homelessness Grant Program Application Records)), reviews applications and makes awards to local applicant sub-recipients (state or local government agencies, local housing authorities, and private non-profit organizations) for the delivery of eligible homelessness - related services. Sub-recipients may, in turn, contract with other organizations and enterprises for the provision of shelter programs and related services. These projects may be designed to reduce homelessness

among specific groups - for example, low to moderate-income individuals and families, veterans, disabled individuals, and people with AIDS. The Emergency Solutions Grant program funds may be used for renovation of emergency shelter facilities and for the operation of those facilities, as well as to finance support services for the shelter residents (including case management, childcare, education, employment assistance and job training, legal, mental health, substance abuse treatment, transportation, and services for special populations). Under the federal Homelessness Emergency Assistance and Rapid Transition to Re-Housing Act (HEARTH) both components – Homeless Prevention and Rapid Re-Housing - fund relocation and stabilization services (including rental application fees, security deposits, utility deposits or payments, last month's rent and housing search and placement activities). Funds may also be used for short- or medium-term rental assistance for those who are at risk of becoming homeless or transitioning to stable housing. The HRC/OHCD is also part of a partnership (as of 2012) known as the Consolidated Homeless Fund Partnership (CHF). This partnership's membership consists of OHCD and Rhode Island's entitlement cities, that is, those communities that meet or exceed certain population and other HUD criteria (currently Providence, Pawtucket, and Woonsocket). Managed by the HRC's Office of Homelessness, the partnership members jointly solicit grant applications from local agencies for available Emergency Housing funding. These funds are specially designated for entitlement communities by the terms of the federal grant obtained under the Annual Action Plan. By this means, it develops consistent policies and procedures to allow for more effective and efficient programs and services across state and municipal boundaries. (The state's non-entitlement, "small city" communities may also apply to the OHCD separately for HUD funds set aside for them.) The CHF partnership may also use federal funds to issue requests for proposals for particular projects and services on an as-required basis. The records in this series include documentation of CHF and other sub-recipient applications to HRC/OHCD for federal grant funds. Records include Memoranda of Agreement with entitlement cities; documentation of applicant eligibility, proof of local government authorization for the program as well as information about local collaborative partners, other sources of funding, sub-recipient program policies and procedures; target population and geographic area served; agency capacity and experience; proposed program budgets, correspondence with agencies involved in developing the applications and OHCD application materials, documentation and certification of individual client eligibility; and award letters and facility inspection checklists and data. Files may also contain requests for proposals, vendor contracts, on-site inspection reports and certifications; sub recipient financial records, requests for payment forms, requisitions and general ledgers, and HUD Drawdown requests.

~~Retention~~See Also: ~~See~~GRS1.18 (Grant Program Files).

DPL3.6 Homeless Management Information System Records

Congress directed HUD to work with jurisdictions receiving federal grant funding to gather data on homelessness by 2004. HUD developed a Homeless Management Information System (HMIS) to fulfill this requirement. Rhode Island launched its HMIS in July 2003. The HMIS is the data gathering, analysis and reporting mechanism for federally funded homelessness programs. The HMIS provides a web-based interface for data entry. HUD's grant eligibility requirements for funding include a demonstration of ability to participate in the HMIS system. The HMIS consists of client-level data collected and entered into the system by individual agencies that run emergency shelters, transitional housing, and permanent supportive housing. The Rhode Island Coalition for the Homeless (RICH) acts as the lead HMIS agency. As a prime recipient (a principal federal grantee) and distributor of homelessness-related federal grants funds in Rhode Island, however, OHCD supports the collection of HMIS data, and periodically validates data entered into the HMIS by sub-recipients. This data also helps the Continuum of Care (~~see~~ DPL3.3 (Continuum of Care Records)) to identify and substantiate the state's requests for CoC program funding. It also draws on this information to produce standard and customized HMIS homelessness prevention and rapid re-housing reports for each of the homelessness grant programs. These may include reports required by federal legislation, for example Electronic Streamlined Non-Competing Award Process reports (eSNAP) for HUD's Homelessness Applications and Grants Management System, as well as "1512" reports to FederalReporting.gov on job creation required by the American Reinvestment and Recovery Act. These reports contain information on client populations, levels of service usage, and performance outcomes. The series includes data about individual organizations delivering services (name, site information, bed capacity, target populations); program type (Emergency Solutions/ HPRP, and other homelessness programs not managed by OHCD); "universal data elements" recording details of individual client personal identification (name, gender, veteran status, ethnicity, and housing status); and client history information (income sources and benefits, disabilities, health condition, mental health, domestic violence, substance abuse, HIV/AIDS).

DPL3.6A Quarterly and Annual Reports (E-SNAP)

Retention: Permanent.

DPL3.6B All Other Data [OBSOLETE]

RetentionNote: The Division of Planning's Housing program is not responsible for the retention of data used to generate reports. The staff of the Rhode Island Coalition for the Homeless administers the HMIS system.

DPL3.7 Community Development/Neighborhood Stabilization Program/Historic Preservation Grant Records

The records in this series cover OHCD's management, administration, and distribution of various pools of federal funding for neighborhood housing and community development programs, including funds periodically designated for rebuilding communities. OHCD is involved in federal programs whose purpose is to promote the stabilization, revitalization, and redevelopment of communities and neighborhoods experiencing economic and social distress. For this purpose, the OHCD receives federal formula funding targeting community development under the Community Development Block Grants program (CDBG). CDBG forms one component of the state's consolidated application to HUD. The state distributes these funds to units of general local government and not directly to citizens or private organizations. Using federal data on population, poverty, incidence of overcrowded housing, and age of housing, OHCD develops a matrix to identify and rank the state's eligible communities according to their level of need. The OHCD, however, has discretion to distribute funds partly on an "entitlement" basis and partly on a competitive basis. Funds are available for a broad range of activities, including acquisition of property for public purposes; construction or reconstruction of streets, water and sewer facilities, neighborhood centers, recreation facilities, and other public works; demolition and rehabilitation of public and private buildings; enhancement of public services; planning activities; assistance to nonprofit entities for community development activities; and assistance to private, for profit entities to carry out economic development activities (including assistance to micro-enterprises). Several other more specific programs fall under the umbrella of CDBG grants. The CDBG-Disaster Recovery (CDBG-DR) grant program specifically supports recovery from presidentially declared disasters – the floods of 2010 and Hurricane Sandy. It provides "necessary expenses related to disaster relief, long-term recovery, and restoration of infrastructure, housing, and economic revitalization..." Disaster-related activities are those that are able to demonstrate a logical connection between the impacts of the covered disaster and the activity's contribution to community recovery. The Neighborhood Stabilization Program (NSP) was initiated in 2008 in response to the national home foreclosure crisis. It is administered under the regulations established for the CDBG program. NSP is a federal program established for the specific purpose of revitalizing and

stabilizing communities hardest hit by residential foreclosures and abandonment. Funding has been made available to states and Entitlement Communities by the federal government through three rounds of NSP formula-based grant funding.—The State of Rhode Island has received NSP1 and NSP3 funding. The NSP program's objective is to increase the availability of affordable homes and rental housing and community infrastructure by providing financing to support developers' cost of purchase and redevelopment of foreclosed and abandoned homes and residential properties. Projects that have the greatest impact in areas with the highest level of need receive priority. Other factors considered in the review process include: capacity of the applicant to undertake the proposed project; feasibility of the project; timeliness of the project to expend funds in accordance with NSP regulations, and other resources projects, which leverage NSP resources, will receive priority consideration. Detailed NSP project files are maintained by these organizations. Documentation retained by OHCD may include plot plans, property deeds and evidence of site control, letters of funding commitment, local board resolutions authorizing applications; photographs of property; marketing plans, environmental review documentation, invoices and payment requests, client population information, and forms related to affirmative housing. Both the Disaster Recovery (CDBG-DR) and Neighborhood Stabilization Programs (NSP) are supplemental allocations, meaning that they have been funded for a given year only and are not ongoing programs like CDBG. Finally, the OHCD administers a federal Department of Agriculture Housing Preservation Grant (HPG) Program. This program focuses on rural regions of the state, as defined by the Department of Agriculture. It provides assistance to homeowners to help cover the cost for the repair or rehabilitation of individual housing, rental properties, or co-ops owned and/or occupied by very low- and low-income rural persons. As in the CDBG program, communities submit applications to OHCD for assistance for HPG assistance, with the majority of project files maintained locally. The records maintained by OHCD for the CDBG, NSP, and HPG programs may include, but are not limited to, applications and supporting documentation; requests for proposals from local agencies and organizations, various Environmental Requests for Release of Funds and documentation; correspondence from eligible applicants; documentation from parties designated to review applications, and training materials for prospective applicants. The files may also include applicant budget documentation; documentation of local citizen participation in the application/project development process; decision letters, contract documents, minutes of meetings, financial accounting records; monitoring and compliance documentation (for example compliance with labor standards and environmental requirements;) contracts with municipal authorities acting on behalf of applicants. Also included may be copies of "1512" reports to

FederalReporting.gov. on job creation required by the American Investment and Recovery Act, progress reports and final performance reports sent to HUD; and unsuccessful grant applications from housing developers, community development corporations and non-profits. Also included is documentation pertaining to temporary or permanent displacement of individuals and families as result of HPG-related projects.

DPL3.7A ??? **[OBSOLETE]**

~~Retention~~See Also: See-GRS1.18 (Grant Program Files).

DPL3.7B ???

Retention: Permanent.

DPL3.7C ??? **[OBSOLETE]**

See AlsoRetention: See-GRS1.18 (Grant Program Files).

DPL3.8 Integrated Disbursement and Information System (IDIS)
[OBSOLETE]

IDIS is a nation-wide HUD database. It is a real-time, mainframe-based computer application that provides up-to-date information on HUD programs. It serves principally as a financial management system that supports several federal housing programs, including the CDBG program, HOME, and ESG programs. It allows HUD to track expenditures by activity type. The state or local governments determine which of the eligible activities under each of these grant programs will best serve the needs of their community. The Consolidated Plan and Annual Action Plans (HUD. A Desk Guide for Using IDIS to Prepare the Consolidated Plan, the Annual Action Plan, and CAPER/PER) (~~see~~ DPL3.3 (Continuum of Care Records)) preparation is partly based on IDIS data. The IDIS, in addition, to being a planning tool, enables grantees to request installments of grant funding from HUD. OHCD uses the IDIS to draw program funds, which the state then distributes to sub-grantees of federal (Community Housing and Development (CPD) formula grant programs, including the OHCD's ESG and CDBG. HUD also requires that the state report accomplishment data on activities completed using the funds. This might include jobs created, individuals served, housing units created or assisted. As a primary grantee, the OHCD provides current information regarding homelessness prevention, rapid re-Housing, administration, and data collection and evaluation activities as required by HUD. The OHCD prepares activity reports based on IDIS-entered data.

~~Retention~~See Also: IDIS is administered and maintained by the Federal Government.

DPL3.9

State Housing Grant Program Records **[OBSOLETE]**

In addition to administering federally funded housing programs, the HRC/OHCD also receives state funds (or administers them on behalf of other state entities) for certain state housing-related programs. This series covers records documenting these state funded housing programs. Building Homes Rhode Island provides bond-financed state funds for the construction, rehabilitation, and operation of affordable homes and apartments. The HRC issues requests for proposals for construction and renovation work. Eligible applicants include developers, non-profit organizations, and community housing development organizations; private for-profit entities, limited partnerships, any of the state's incorporated cities and towns, Public Housing Authorities, Redevelopment agencies and any joint venture including one of these entities. The HRC reviews applications for completeness and then sends copies to Rhode Island Housing (Rhode Island Housing and Mortgage Financing Corporation), which determines eligibility and conformance with certain threshold requirements, and to the Historic Preservation Commission, which reviews all properties that are of historic significance. The Division of Planning staff also reviews applications for consistency with relevant elements of the State Guide Plan (~~see~~ DPL1.1 (State Planning Council Meeting Records)), and for consistency with local comprehensive plans (~~see~~ DPL2.2 (Local Comprehensive Plan Consistency Review Records)). Applications from eligible developers include company identification information, resolutions of the Board of Directors, Owner, or other governing body of the applicant authorizing submission of the Proposal, descriptions of the proposed development, a site plan and preliminary schematic plans, evidence of ownership or site control, identification and evidence of other financing commitments, evidence of compliance with local zoning and environmental regulations where applicable or identification of applicable requirements for which the developer will need permitting, and a proposed project schedule; anticipated project completion date, projected date for commencement of rehabilitation or construction activities, development schedule, project budget and personnel information. The records consist of HRC review materials and decision letters, developers' proposals and supporting documentation, including, but not limited to, site plans, architectural and contractor plans, company profile information, financing documents, budgets, insurance documentation, HRC site visit documentation, and correspondence with other application reviewers, and related correspondence with stakeholders. (Rhode Island Housing oversees the administration of the project implementation once awards have been made). A second state-funded program, the Neighborhood Opportunities Program (NOP), was established in 2001. The NOP aims to increase the

availability of decent, safe, sanitary and affordable rental housing to eligible low and moderate income or physically disadvantaged individuals and families, and to provide funding to revitalize local neighborhoods. It does this by subsidizing developers' cost of acquisition, construction, or rehabilitation of rental housing. It also supports neighborhood revitalization by contributing funding for the rehabilitation of vacant buildings or lots and providing gap financing to assist in the redevelopment of vacant or underutilized commercial or industrial properties; for acquiring, developing, constructing, rehabilitating, or replacing commercial, mixed-use or community projects that enhance neighborhood revitalization. The program consists of several pools of dedicated funding, one for the production of units of permanent affordable rental housing for disabled families and individuals with very low income who are homeless or at risk of being homeless; a second pool to provide gap financing and operating support for the acquisition, construction, or rehabilitation of rental housing to ensure rents are affordable to individuals and families working at or near minimum wage, and a third to provide gap financing to acquire, clear, develop or rehabilitate vacant buildings or lots. Eligible applicants for NOP funding include non-profit organizations with 501(c)3 status, community housing development organizations, and private for-profit entities, limited partnerships, any of the state's incorporated cities and towns, and public housing authorities. This funding allows building owners to set rents at levels that are affordable to low-wage families or those with disabilities. OHCD participates in the NOP Funding Committee, which makes recommendations for funding to the Commission. The HRC designated Rhode Island Housing to administer and monitor these programs to ensure compliance with the requirements set forth in the applicable regulations. Program records are maintained by RI Housing. Records may include, but are not limited to, Requests for Proposals, applications and supporting documentation from eligible applicants. Decision letters site visit reports, correspondence from review assessment partners, and contracts with entities awarded funding, periodic progress reports, and site inspection documents.

See Also Retention: ~~See~~ GRS1.18 (Grant Program Files).

**DPL3.10 State Housing Acquisition and Rehabilitation Program (SHARP)
Records OBSELETE**

Under the state's Housing Acquisition and Rehabilitation Program (SHARP), CDBG funding is made available to non-entitlement (small city) communities to acquire and hold undeveloped real estate, vacant lots, developed properties, or a combination, for ultimate use as one to four units of affordable housing for nonprofits for up to twelve months. This program, administered by Housing Network RI's Community Housing Land Trust, provides loans enabling communities and their

subgrantees to purchase and rehabilitate properties to be used as affordable housing in perpetuity. The program may be coupled with pre-agreement and/or a pool of funds to provide for the "gap" between the program income that can be generated through the sale of the property as affordable and the Interim Financing assistance. Program Funds and applications are approved and funded by OHCD using its pool of CDBG funding. The records consist of Housing Network application packages for approval and funding, decision letters, contracts, and requisitions for payment.

See Also ~~Retention:~~ ~~See~~ GRS1.18 (Grant Program Files).

DPL3.11 Lead Inspection Records

The Housing Resources Commission serves as the lead state agency for lead hazard mitigation. This responsibility (currently with the Commission's Office of Healthy Housing) involves the implementation of the requirements of the state's Lead Hazard Mitigation Act. This involves a certification program for lead hazard mitigation. State laws and regulations require that homeowners and landlords take steps to have their property inspected for conformity to various standards as well as regulatory and legal requirements in order to obtain Certificates of Conformance. A Certificate of Conformance is proof that a unit has met the requirements of the Lead Hazard Mitigation Law. This means that a Licensed Lead Inspector or Lead Inspector Technician has performed an Independent Clearance Inspection on a property and that any lead hazards on the property have been corrected. It does not mean that the property is free of lead but rather that the property does not currently pose a hazard to tenants. Where conditions have not been met, inspectors are required to submit a written report to the HRC. Previously issued Certificates of Conformance must accompany these reports (Lead Hazard Mitigation Clearance Inspection Reports-). Documentation submitted may also include evidence that the owner has taken a lead hazard mitigation seminar, and documentation of results of any ordered test results provided by (Department of Health-approved) lead-testing laboratories. Under the Lead Hazard Mitigation Law, individual who own ten or more rental housing units must either get a Certificate of Conformance for each individual rental unit or, if they meet certain eligibility requirements, a Certificate of Presumptive Compliance for some or all of rental units. Lead inspection records kept at the HRC also include other kinds of certifications, including, Independent Clearance and Affidavits of Completion of Visual Inspections. The HRC's lead inspection records are organized by inspector, company, and year. With the exception of the one-year period of validity for Presumptive Compliance certificates, all inspection certifications remain valid for two years, or until units receive new occupants, whichever is sooner. (R.I. Gen. Laws ~~§~~ Chapter 42-128.1)

DPL3.11A Certificates of Presumptive Compliance

Retention: Retain three (3) years.

DPL3.11B All Other Certification Documentation

Retention: Retain three (3) years.

DPL3.12 Lead Hazard Complaint Records

Tenants who receive no satisfaction from owners to whom they have sent an HRC-approved Notice of Deteriorating Conditions (chipping, peeling, cracking, chalking paint) can file a complaint with the HRC. The HRC reviews the case, may conduct an investigation, and then, if warranted, sends a notice of violation to property owners. If the owner fails to take corrective action within 30 days, the HRC issues a second notice of violation and also files a complaint with the city or town pursuant to the Housing Maintenance and Occupancy Code. Copies of the second notice are also sent to the Department of Health and the Office of the Attorney General. The HRC may recover the cost of inspections and filings from the property owner found to be in violation of the Lead Hazard Mitigation Standards. Records may include, but are not limited to, completed notices of deteriorating condition forms, notices of violation, inspection documentation, and monetary recovery documentation and related correspondence with tenants, property owners, and municipalities.

Retention: Permanent.

DPL3.13 Lead Hazard Mitigation Training Provider Certification Records

[In order to obtain certificate as a training provider for the Lead Hazard Awareness Seminar or for Mitigation Inspector Training, individuals must submit an application to](#)

HRC for review, and then complete courses approved by the HRC. The application must include the required information in the HRC's prescribed Application for Certification forms, and meet requirements as listed on Form HRC-PBLC 2. Requirements include but are not limited to: The name and address of the person(s) or organization that proposes to conduct the training course; identification and affiliation of course sponsor(s); the name of the responsible individual; criteria for instructors; documentation demonstrating that the applicant has employed or contracted with individuals, either on a full-time or temporary basis, a sufficient number of persons to serve as instructors (a minimum of two). Instructors must meet the training and experience criteria contained in the Form HRC-PB 2, Section 2 "Criteria for Instructors". The HRC may at any time require additional information to determine whether an

application meets the requirements of this section. Certifications expire on the last day of the month two (2) years from the date of issue by the HRC, unless sooner suspended or revoked. Records include copies of lead class attendance records Copies of lead hazard mitigation Letters of Approval and Rejections, Class evaluation from participants.

DPL3.13A Approved Applications and Granted Appeals

Retention: Retain until beginning of third calendar year after the application approved or the appeal granted.

DPL3.13B Denied Applications and Denied Appeals

Retention: Retain thirty days from date of denial, or until no longer required for any appeal, whichever is later.

DPL3.13C Suspended and Revoked Certification Files

Retention: Retain thirty days from date of denial or until no longer required for any appeal, whichever is later.

DPL3.14 Lead Hazard Mitigation Inspector Documentation

The HRC operates a Web-Based system that allows lead mitigation inspectors to issue Certificates of Conformance to property owners. To access the system, inspectors must provide HRC with a copy of the class certificate and the inspection reports to demonstrate compliance with the lead mitigation regulation. Records consist of copies of class certificates. (See DPL3.13)

Retention: Permanent.

DPL3.15 Intra-Governmental Review (Housing Review) Records

The HRC reviews applications seeking federal grant funds to ensure they are consistent with the State Housing Element and Area Housing Element provisions of the State Guide Plan. Records include copies of city and town comprehensive plans, grant applications (retained under various grant program files), and assessment documents transmitted by the HRC to Statewide Planning's Local Comprehensive Planning Program- (~~See~~ DPL2.2 ([Local Comprehensive Plan Consistency Review Records](#))). The Office of Healthy Housing is provided with copies of this documentation for comment to ensure that submitted plans comply with lead mitigation requirements.

Retention: Retain three (3) years.

DPL4 ???

DPL4.1 Certificates of Records Destruction

Certification of Records Destruction forms (PRA 003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules. (R.I. Gen. Laws [§§](#) 38-1-10, 38-3-6, and 42-8.1-10)

Retention: Permanent.

PCH Division of Purchases

PCH1 Delegation of Purchasing Authority Records

Delegated Purchase Authority means the transfer of purchasing authority from the Chief Purchasing Officer, or the Purchasing Agent, to another state official in accordance with the provisions and limitations of R.I. Gen. Laws [Chapter](#) 2-37 and regulations set forth in the state procurement regulation. Records document delegation of authority to make certain purchases and acquisitions of supplies, services, and construction for the state. (State Procurement Regulation 2.2.3.1.1)

Retention: Retain twenty (20) years or until superseded, whichever is later.

PCH2 Agency Purchasing Authority Lists

Director/Chief Executive of each user agency annually submits to the Chief Purchasing Officer for approval, a list of agency officials designated to have authority to act on behalf of the agency. Approved list is placed on file at the Department of Administration, Division of Purchases, Office of Accounts and Control, and Budget Office. (State Procurement Regulations 1.4.3.1 and 2.2.3.1.5)

Retention: Retain twenty (20) years or until superseded, whichever is later.

PCH3 Reports – Sole Source, Emergency, and Small Purchases

State statute requires that the Purchasing Agent compile annually a report of procurement actions that used sole source, emergency, and small purchase contracts methods during the preceding fiscal year. The summary includes name of each contractor, and the amount and type of

each contract. (State Procurement Regulation 1.4.1.3.1 and R.I. Gen. Laws § 37-2-37)

Retention: Retain ten (10) years.

~~Note~~See Also: For other reports, see ~~also~~ GRS1.5 (Annual Reports) and GRS1.6 (Special Plans, Publications, Studies and Reports).

PCH4 Reports – Reports on Price and Cost Trends

Chief Purchasing Officer reports to General Assembly at least every three (3) years on current costs, prices, trends and possible savings through improved practices. (R.I. Gen. Laws § 37-2-58)

Retention: Permanent.

See Also~~Note~~: For other reports, see ~~also~~ GRS1.5 (Annual Reports) and GRS1.6 (Special Plans, Publications, Studies and Reports).

PCH5 Reports – Transaction Summary Reports

State law requires that Department of Administration maintain records of all purchases and sales made under its authority, and make periodic summary reports of these transactions to the Chief Purchasing Officer, the Governor, and the General Assembly. (State Procurement Regulation 1.4.1.1 and R.I. Gen. Laws § 37-2-54(9))

See Also~~Note~~: For other reports, see ~~also~~ GRS1.5 (Annual Reports) and GRS1.6 (Special Plans, Publications, Studies and Reports).

PCH5A Reports

Retention: Permanent.

PCH5B Transaction Records

Retention: Retain ten (10) years or one (1) year after audit, whichever occurs sooner.

PCH6 Reports – Recycled Products

Chief Purchasing Officer is required to report annually to the General Assembly on progress in compliance on tonnage use of recycled materials. (State Procurement Regulation 5.4.6.5 and R.I. Gen. Laws § 37-2-76)

Retention: Permanent.

PCH7 Bidders/Suppliers/Vendor Lists

Chief Purchasing Officer maintains Master Price Agreement lists and bidder lists. These lists consist of names and addresses of Division of Purchases' approved suppliers of various goods and services from whom agencies can solicit bids, proposals, and quotations. Bidder lists may consist of Registered Suppliers, Unregistered Suppliers, and Emergency Response vendors. (State Procurement Regulations 4.4.4, 4.4.3.1, 4.4.3.2, and 9.6.5)

Retention: Retain until updated, superseded, or obsolete, but no less than three (3) years after contract awarded.

PCH8 Purchase Order Contract Files

Files consist of records documenting the purchasing process. Records span initial agency purchase requisition order for goods and services, purchase order, and final close of contract. Purchase Orders are contracts or formal agreements with a vendor(s) for the purchase or disposal of supplies, services, construction, or any other items. These records document the bid process, where there is one, and terms of agreement with selected vendor(s). Other documentation in each contract file depends on purchase method (e.g. reverse auction, competitive negotiation, request for professional services, sole source, etc.) as well as progress of bid, legal issues, contract execution, kinds of services, and monetary value. Documentation may include, but is not limited to, the following: agency purchase requisition order, with plans and specifications for service or product, bid preparation records (which may include notice of interest to vendors, request for proposals, documentation of posting of bid invitations in required locations, Invitation to Bid documents, list of recommended vendors, bid preparation instruction sheets, product and service specifications, bid list of parties who downloaded bids from the Department of Administration website, pre-bid conference vendor attendance sign-in sheets, correspondence between Division of Purchases and agency(ies) and between Division of Purchases and vendors, vendor bids and proposals, bidder protest records, vendor surety bond documentation, and selection justification documentation. Files may also contain change request records and documentation related to breach of contract disputes. Finally, files involving architectural and/or engineering services may contain recommendations from the Architectural and Engineering Consultant Services' Selection Committee along with Chief Purchasing Officer's letter of approval.

PCH8A Cancelled Bids

Retention: Retain three (3) years from opening date.

PCH8B Unsuccessful Bids

Retention: Retain five (5) years from the Purchase Order issue date.

PCH8C Purchase Order Contract Files

Retention: Retain ten (10) years from the end of the contract.

Note: The Department of Transportation retains all documentation pertaining to the management and execution of transportation-related design and construction projects. This includes records kept to account for the management and expenditure of funds as well as files pertaining to administration, design, engineering and execution of projects. Department of Transportation also retains a variety of purchasing-related records. Original signed contracts are filed with the Division of Purchases and the Department of Transportation. Various records documenting the bidding and contract award process reside within Division of Purchases contract files as well as in Department of Transportation files.

PCH9 Architectural, Engineering, and Consultant Services Selection Committee – Minutes of Meetings **[OBSOLETE]**

This committee is part of the Division of Purchases. It meets to review vendor bids responding to state Requests for Proposals and Letters of Interest. It reviews and evaluates those vendor proposals with architectural and/or engineering components selected by agencies and makes recommendations to the Chief Purchasing Officer. Committee reviews only projects above a certain established value (over twenty thousand dollars (\$20,000.00) in 2007).

~~Retention~~ See Also: ~~See~~ GRS1.7 (Meeting Minutes).

PCH10 Architectural, Engineering, and Consultation Services Selection Committee Files

Files consist of copies of technical evaluations for each purchase action submitted to the committee as well as associated correspondence and supporting documentation.

Retention: Retain ten (10) years after contract fulfillment or termination, or one (1) year after audit, whichever is later.

PCH11 Notices of Non-Performance Records

Records of formal complaints submitted to Office of Purchases by state agencies. Records include documentation of vendor deviation(s) from contract performance requirements and written justifications for complaint. Records depend on course of case. Records may include agency written complaints and justifications, Office of Purchases investigative reports, written decisions, notices of non-performance, contract amendments, change orders and related correspondence. (State Procurement Regulation 8.8)

Retention: Retain ten (10) years after termination of contract or legal action, whichever is later.

PCH12 Certificates of Records Destruction

Certification of Records Destruction forms (PRA003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules. (R.I. General Law §§ 38-1-10, 38-3-6(j), and 42-8.1-10)

Retention: Permanent.

MBE Minority Business Enterprise Compliance Office

MBE1 Certification Application Files

The Minority Business Enterprise Compliance Office (MBECO) is responsible for administering and implementing the state's policy of supporting the fullest possible participation of firms owned and controlled by minorities, as defined by R.I. Gen. Laws § 37-14.1-1. Contractors bidding to offer products and services to state agencies must include the use of services and products available from businesses that are certified as Minority Business Enterprises (MBE). The office is responsible for accepting applications for certification of businesses as minority enterprises and promoting the development of certified Minority Business Enterprises (MBE) as well as Women-owned Business Enterprises (WBE), and Disadvantaged Business Enterprises (DBE) in Rhode Island. This program is limited to small businesses (as defined by the U.S. Small Business Administration size standards under 13 C.F.R.

Part 121) owned and controlled by one (1) or more minorities, women, or disadvantaged individuals and which the Office has certified as a minority business enterprise under regulations issued by the R.I. Department of Administration. A minority small business concern is one that is at least fifty-one percent (51%) owned and controlled by one (1) or more socially and economically disadvantaged individuals. In the case of a publicly owned business, at least one (1) or more socially and economically disadvantaged individuals must own fifty-one percent (51%) of the stock. Also, one (1) or more such individuals and women must control the management and daily business operations. The MBECO is responsible for reviewing applicant documentation and making recommendations to the Certification Review Committee. MBECO applications may be approved, withdrawn, dormant (incomplete/inactive), or denied. Finally, the MBECO also provides financial, legal, and personnel advice and assistance to MBEs throughout the life of contracts in which they participate. This record series documents the certification application process for individual applicant companies. The content of each company file depends on the kind of company and the course of the application process. Records contain application forms along with supporting documentation, which includes personal financial statements, income tax returns, loan agreements, equipment leases, year-end balance sheets, licenses, bank authorizations, minutes of director and stockholder meetings, schedules of salaries, insurance agreements, and proof of facility ownership. Files may also contain proof of ethnicity and proof of citizenship documentation. As well, files include site visit reports to ensure MBE-certified companies remain in compliance with legal and regulatory requirements, construction-related records and notices of hearing, as well as annual recertification application forms, and related correspondence. Files may also include records related to company appeals to the federal Department of Transportation of CRC denial decisions.

Note: Under current law, "minority" means a person who is a citizen or lawful permanent resident of the United States and who is:

- ~~—(1)~~ Black (a person having origins in any of the black racial groups of Africa);
- ~~—(2)~~ Hispanic (a person of Mexican, Puerto Rican, Cuban, Central or South American, or other Spanish culture or origin, regardless of race);
- ~~—(3)~~ Portuguese (a person of Portuguese, Brazilian, or other Portuguese culture or origin, regardless of race);

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[RICR Paragraph 2]

—(4) Asian American (a person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands);

—(5) American Indian and Alaskan Native (a person having origins in any of the original peoples of North America).

MBE1A Annual Personal and Business Tax Returns

Retention: Retain five (5) years.

MBE1B Personal and Business Financial Statements

Retention: Retain three (3) years.

MBE1C Construction-Related Reports

Retention: Retain three (3) years.

MBE1D All Other Documentation

Retention: Retain five (5) years after last file activity.

MBE2 Primary Contractor Compliance Files

All state funded and state directed public construction programs and projects and in-state purchases of goods and services must include the engagement of MBEs, DBEs, or WBEs. This applies to any and all state purchasing, including, but not limited to, the procurement of goods, services, construction projects, or contracts funded in whole or in part by state funds, or funds which, in accordance with a federal grant or otherwise, the state expends or administers, or in which the state is a signatory to the construction contract. Primary contractors must prepare an MBE Compliance Plan and submit it to the Director or his designee for approval. By law, plans must make provision for sub-contracting a minimum of ten percent (10%) of the dollar value of the entire procurement or project to minority business enterprises. The Office is responsible for reviewing primary contractors' Minority Business Utilization Plans for the engagement of minority businesses. If the Director or his designee does not approve the plan the prime contractor has submitted, the prime contractor may present a revised plan. Prime contractor may need to submit copies of purchase orders, subcontracts, cancelled checks, and other records that may indicate the number, names, dollar value of MBE subcontracts, dates, and schedule time for performance of work by an MBE subcontractor. Files in this series may include individual Contractor Minority Business Utilization Plans, revised plans, financial and contract documentation, and records related to hearings concerning primary contractor compliance with laws and

regulations. Records may also include documentation related to contractor/vendor justification for non-compliance with ten percent (10%) requirement.

Retention: Retain three (3) years after MBE contract terms fulfilled.

MBE3

Records of Certification Review Committee

The Certification Review Committee is an administrative adjudicatory body consisting of five (5) members appointed by the Director of the Department of Administration. The Committee is responsible for the certification, recertification, and/or decertification of MBE/WBE/DBE applicant firms and or certified firms. The committee reviews MBECO application recommendations as they relate to company control, dependency, compensation, or the appearance that a firm may have deliberately structured itself in order to take advantage of the MBE and DBE programs. The committee also schedules hearings in those instances where a formal meeting is requested by an applicant or the Certification Review Committee and conducted pursuant to the Administrative Procedures Act (R.I. Gen. Laws Chapter 42-35). The MBECO may require and applicants may request a hearing before the Committee arrives at a final determination. Hearings conducted by the Committee concern the certification, recertification, or decertification of an applicant or certified firm. The Committee also monitors primary contractor legal and regulatory compliance. In those instances where the Certification Review Committee has determined that a prime contractor has not met the requirements of MBE law and regulations, the contractor has a right to appeal the decision to the Committee. The Committee may approve or deny the applicant's appeal, or the case may be filed as inactive when an applicant has failed to appear. The records include minutes of meetings and related documentation. A record of the hearings is kept on "electronic recording equipment" (audiotape cassettes) as specifically required by regulation, as well as verbal transcripts in those cases where the applicant has appealed the Committee's decision to the federal DOT and the DOT has requested a record of the hearing.

Retention: Permanent.

MBE4

MBE Tracking System

The MBE office uses a searchable database to maintain control of its information and MBECO activity history about each applicant for minority status. The database includes company name and location information, ownership identity, the number of employees, and minority percentage of the total workforce, the minority status (Black, Latino, Asian, woman, the business type, and year established, as well as sales statistics. The

application is capable of providing aggregated reports keying on any field in the form.

Retention: Permanent.

MBE5 Certificates of Records Destruction

Certification of Records Destruction forms (PRA 003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable records retention schedules. (R.I. Gen. Laws §§ 38-1-10, 38-3-6, and 42-8.1-10)

Retention: Permanent.

OAC Office of Accounts & Control

OAC1.1 System Access and Authorization Records

Documentation submitted by agencies to Accounts and Control requesting access and use of state services and systems in place for recording sales to and payments by the state.—Included are forms submitted by departments requesting access and use privileges for specific applications of the state's automated financial information system by designated agency staff, forms seeking designation of specific departmental personnel as agents authorized to approve and sign for purchases made on behalf of the agency, and office supply purchase order forms, and imprest cash application forms (attached to petty cash vouchers).—Also includes forms for access to state's time and attendance reporting system (STARS).—In addition, series includes taxpayer identification forms submitted to Accounts and Control by vendors as well as by state agencies.

Retention: Retain three (3) years after updated, superseded, or of no further administrative value.

OAC1.2 Agency Billing Records and Reports

Series documents agency expenditures.—Contains expenditure reports that agencies periodically send to Accounts and Control.—Reports pertain to individual agency expenditures by item, expenditure object, description, and funding sources.—Includes reports related to charges for phone and fax use, external billings, technology and computer services billings, postage billings, and state motor pool expenditures. Includes monthly reports of continuing expenditures to cover funding of window and supplementary pensions for health and for Employee Retirement System. Also includes various Accounts and Control generated accounts payable reports.—Reports contain aggregate

information documenting state agency appropriations and expenditures and charges to the state for various purchased products, services, and other expenditures. (R.I. Gen. Laws § 35-6-19)

Retention: Retain ten (10) years from date of payment.

Note: Window and supplementary pensions refer to pensions offered to state employees by the state during a limited period in 1986 and 1989 respectively.

OAC1.3 Payment Documentation -- Vouchers and Invoices

Documentation related to bills and payments for state purchases of products and services. Records may include, but are not limited to, purchase order and encumbrance documents, invoices and invoice vouchers, direct payment documentation for standing orders and regular purchases, backup documentation for vouchers, office supply vouchers, and petty cash vouchers. -- Series also includes documentation relating to payments to DCYF parents. (R.I. Gen. Laws § 35-6-19)

Retention: Retain ten (10) years from date of payment.

Note: Department of Children, Youth and Families foster parent payments are made on a monthly basis rather than bi-weekly.

OAC1.4 State Purchase Card Records

Authorized staff can use state purchase cards (credit cards) to purchase goods and services directly related to state business. -- Cards may also be used to make purchases from specific vendors (off-line purchases). Records document authorization and use of cards and also purchases made using cards. -- Documentation may include, but is not limited to, purchase card applications/agreements forms, card user identification forms, monthly credit card purchase statements, advertisement purchase request forms, off-line purchase forms, voucher back-up documents, and purchase card authorization forms. (R.I. Gen. Laws § 35-6-19)

Retention: Retain ten (10) years from date of payment.

OAC1.5 Revenue Records

Series documents agencies' accounts receivable transactions. -- Includes cash receipt vouchers, including cell phone reimbursement records.

Retention: Retain ten (10) years.

Note: Most records related to agency/state revenues reside with General Treasurer.

~~Note~~ See Also: For records relating to accounts receivable write-offs, see OAC1.7 (Agency Accounting Reports).

OAC1.6 Financial Statements

Series encompasses various Accounts and Control financial statements and related work papers.— May include, but is not limited to, Comprehensive Annual Financial Report (CAFR) of revenues, expenditures, balances, reconciliation statements, net assets, cash balances, as well as annual state business and economic indicators, and the CAFR work papers. Series also includes monthly statements of state revenues from various sources (grants and contribution, taxes, fees and receipts for state leasing, testing, licensing, renting, permitting services, and collection of fines) as well as the Consolidated Statewide Cost Allocation Plan.

Retention: Retain ten (10) years.

OAC1.7 Agency Accounting Reports

Series encompasses various accounting reports filed by state agencies with Accounts and Control.— Includes, but is not limited to, report of individual program expenditures, accrual and reconciliation documentation, Authorized Red Balance Requests reporting projected cash and/or budget deficits and surpluses, federal grant report forms providing information about grant title, grant source, grant schedule, expenditures, and reconciliation data.— Series also includes reports of uncollectible accounts receivable and Imprest Cash Fund Reports. (R.I. Gen. Laws § 35-6-19)

Retention: Retain ten (10) years.

OAC1.8 Interagency Fund Transfer Records

Records related to transfer and adjustments of money from one state/agency fund to another.— Includes interagency billing forms (A12T), Internal Transfer forms, and fund adjustment or transfers forms.

Retention: Retain ten (10) years.

OAC1.9 Travel Expenditure Records

Documentation related to public employee state business travel. Includes employee in-state travel reimbursement and accounting reports

relating to expenses incurred during use of vehicle on in-state business as well as documentation on out-of-state travel expenses reports.

Retention: Retain ten (10) years.

OAC1.10 Payroll Records

Records relating to state's calculation, payment, and adjustment of employee wages and salaries.—Also includes records related to payment of retiree pensions.—Documentation encompasses payroll vouchers with attachments, which may also include emergency supplemental payroll requests and payroll adjustment forms.—Series also includes payroll exception reports and payroll attendance reports, payroll registers, payroll check registers, and payroll deductions registers as well as pay distribution analysis documents, (summary reports), garnishment data, payroll accrual documents, and Department of Children, Youth, and Families payroll documents (foster parents and special payments). Data is stored in electronic form in an attendance and reporting system (STARS).

Retention: Retain ten (10) years.

Note: State Retirement System maintains employee payroll/payment documentation for purposes related to retirement benefits.

OAC1.11 Payroll — Tax Deposit and Check Change Records

Documentation pertaining to state government's federal tax obligations as an employer. Includes forms and other documents related to federal tax deposits.—Also includes documents related to check changes, which may affect federal portion of payroll record-based taxation.—Includes 945 federal tax forms (Annual Return of Withheld Federal Income Tax), federal tax deposit vouchers, and payroll check changes, including Employee Retirement System adjustment check changes, wage and tax statement corrections forms, payroll year-to-date reconciliations, and Employer's Quarterly Federal Tax Return forms.

Retention: Retain ten (10) years.

OAC1.12 Fixed Asset Control and Tracking Records

Series documents acquisition, inter-agency transfer, and disposal of state fixed assets. Accounts and Control maintains a fixed assets control and tracking reporting system to ensure currency, integrity, and reliability of information about the nature and value of the state's fixed assets. State fixed assets include tangible and intangible property with a certain state-determined use life and cost or value.—Types of assets may

include, but are not limited to, land (and land use rights) and buildings (and renovations and leasehold improvements), vehicles, equipment and machinery, computer hardware, software, and network infrastructure, office furniture and state infrastructure (roads, bridges, sidewalks, sewage and drainage systems).—Purpose is to maintain auditable information concerning the state's fixed assets, in addition to detailed information concerning location and space for inventory control purposes.—Designed to capture information from all state departments and agencies responsible for equipment and space.—Fixed assets acquired by various means are reported to the Office of Accounts and Control via capital acquisition reports.—Data collected and maintained concerns the fixed asset, including its make, model, serial number, condition, physical location, purchase price, manner of acquisition and disposal of asset.—Also includes data concerning asset depreciation. Series also includes documentation and data pertaining to retirement of fixed assets, as well as the transfer of assets from one agency to another.—On a biennial basis, each department and agency will receive a complete listing by primary appropriation account number, location, and floor code, and category of all assets reflected in the System from the Office of Accounts and Control.—The asset listing prepared every other year also contains a certification form to be completed by the Department Director indicating that the listing is a complete and accurate inventory of the assets held by that agency.

OAC1.12A Asset Acquisition Data

Retention: Retain one (1) year after retirement of asset.

OAC1.12B Inter-Agency Asset Transfer Data

Retention: Retain one (1) year after transfer of asset.

OAC1.12C Asset Retirement Data

Retention: Retain one (1) year after retirement of asset.

OAC1.12D Biennial Reports

Retention: Permanent.

OAC1.12E Certification Form

Retention: Retain two (2) years.

OAC1.13 Certificates of Records Destruction

Certification of Records Destruction forms (PRA003) signed by the authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules. (R.I. Gen. Laws §§ 38-1-10, 38-3-6(j), and 42-8.1-10)

Retention: Permanent.

BA Office of Internal Audits

BA1 Accounting Procedures

Statement or procedures for auditors.

Retention: Retain until superseded.

BA2 Certification Notices

Certification of court receipts and expenditures, balance due statements, itemized summary.

Retention: Retain one (1) year.

BA3 Correspondence – Town Audits

Attached bill for services regarding town audits.

Retention: Retain one (1) year.

BA4 Personnel Folders

CS-3, leave forms etc.

Retention: Retain until termination.

BA5 Reports – Annual Audit – Towns

State Auditors – audit reports and work papers on Cities and Towns.

Retention: Retain sixteen (16) years.

BA6 Reports – Examination of Accounts

For City of Providence, State Auditor's report #2 – 5 copies.

Retention: Retain six (6) years.

BA7 Reports – Audits of State Agencies

Includes work sheets and correspondence – Retention supplies to audits and work papers.

Retention: Retain (10) years.

BA8 Statement “B”

Control sheets-summary of expenditures.

Retention: Retain two (2) years.

BA9 Subject File

Payroll and other expenditure reports.

Retention: Retain one (1) year.

BA10 Time Reports – Auditors

Time sheets of personnel used in billing cities and towns.

Retention: Retain one (1) year.

BA11 Vouchers – Invoice

Fees to witnesses, officers, jurors.

Retention: Retain one (1) year.

BA12 Work Sheets – City of Providence Audit

Uncollected taxes, assessments, and revenue.

Retention: Retain until superseded.

BA13 Reports – Annual Financial

Made by Cities and Towns to Department of Administration.

Retention: Retain ten (10) years.

BA14 Inquiry and Investigation Records

Documents investigations conducted by the Bureau of Audits at the request of the Governor, the Department of Administration Director, or other Departments through the Director. Files consist of investigation records.

Retention: Retain five (5) years.

Note: Generally, a final determination is made outside the Bureau of Audits, although an investigation may lead to the issuance of a public report, which is retained permanently.

SPC State Properties Committee

SPC1 Minutes of Meetings

The State Properties Committee (SPC) was established in 1953 (Public Law 1953, Chapter 3105) for the purpose of acquiring, administering, and disposing of state land and other real property. It is composed of a member appointed by the Director of the Department of Administration to serve as chairperson, the Attorney General, serving ex-officio, the General Treasurer, serving as a nonvoting ex-officio member, the Director of the Department of Administration, serving ex-officio, and two members representing the public, appointed by the Governor with the advice and consent of the Senate. This series consists of the SPC's minutes of meetings and associated documentation, which largely concern the review and approval of agencies' applications to sell, lease, transfer, or convey, and/or amend an interest in state-owned land and other real property. (R.I. Gen. Laws § 37-6-1)

Retention: Permanent.

SPC2 Property Acquisition and Disposition Files

The State Properties Committee was established for the purpose of reviewing and approving state agencies' requests to acquire and dispose of land and other real property. For each property, the SPC keeps documentation of both kinds of transactions – property acquisitions and disposal – in a single file. The SPC approval of agency acquisition requests normally occurs in two stages, first giving Conceptual Approval for the agency to issue Requests for Proposals and then to enter into negotiations for the acquisition of a property, and second, granting Final Approval to enter into a contract. The files include documentation related to the SPC's review and approval of agencies' application to acquire property. Documentation includes agency memos requesting Conceptual Approval and completed SPC Conceptual Approval Action Request Forms, which may include information about sources of funding, negotiating price, type of acquisition (purchase, gift, condemnation or negotiated settlement), and the current legal status of the property. Included also are requests for final approval of the final purchase and sale agreement and deeds. The documentation describes the property, the intended use, and may also include, but is not limited to, photographs and maps, SPC letters informing the agency of SPC's approval of the warranty deed, and a copy of the original warranty deed.

The files in this series also include records documenting the SPC's review and decisions on agencies' request for approval to dispose of surplus state land and facilities. The files may contain letters from the agency requesting approval to sell the property, the name of the intended purchaser, photographs, maps and plans, descriptions of the condition of the property, the method of its acquisition, documentation attesting to the purchaser's authority to purchase the property, the intended use of the property, reasons for the sale, and any anticipated objections to the sale, and quitclaim deeds. In accordance with state law, the SPC notifies other state departments and agencies and other entities of an agency's intention to sell a property, and solicits comments and recommendations. For example, the files may contain memos from Statewide Planning regarding the impact of the transaction on local town and city comprehensive plans, comments from neighboring towns and cities on the transaction, documentation from the Department of Environmental Management concerning environmental issues as well as agency submissions of Department of Environmental Management Open Space and Natural Resources Values forms, which provide information concerning underdeveloped or undeveloped properties that include conservation land, forested land, wetlands, recreation land, agricultural land, and critical habitats. The Rhode Island Historic Preservation Commission must provide written recommendations concerning any archaeological findings and file a written statement releasing the land for sale, or setting conditions on the intended sales. (R.I. Gen. Laws § 42-45.1-9)

SPC2A Condemnation Files

Retention: Permanent.

SPC2B Historic Properties Files

Retention: Permanent.

SPC2C All Other Files

Retention: Retain for fifteen (15) years after state ownership of property terminated.

SPC3 Property Development Rights Files

Agencies must obtain State Properties Committee (SPC) approval to enter into agreements for the acquisition of deeds of development rights for particular properties. The acquisition of development rights is a purchased right or conservation easement to a particular property. It restricts all future uses except those specified in the agreement, usually related to farming and environmental and aesthetic preservation, with the goal of permanently protecting the state's best farmland and

preserving a base of agricultural land for food protection and open space. Selling development rights enable landowners to keep land in agricultural use and also to receive compensation for the potential development value of the land. The landowner retains ownership of the land and agrees to the terms of a "Deed to Development Rights" limiting future ability to subdivide and develop the land. The documentation includes SPC Action Request Forms, maps and photographs and descriptions of the property, and a summary of the value of the property, for example, conservation or agriculture.

Retention: Permanent.

SPC4 Property Easement/Use Files

The state may grant easements to towns and cities and other entities for various purposes, including commercial easements and utility easements. State agencies may also seek temporary easements to obtain access to private property for various public purposes. State agencies may also seek to acquire easement rights in perpetuity when they need to access a certain property in order to maintain or repair and maintain certain kinds of equipment that are located on private property. This process may also involve DEM's review and approval of proposed easement transactions for environmental impacts. This series also includes temporary use files, which document the SPC's approval of agreements between agencies and other entities for the temporary use of private property to conduct state business. The records in this series include SPC Action Request Forms, DEM approval letters, and agreement documentation.

SPC4A Temporary Easement/Use Agreement Files

Retention: Retain ten (10) years after agreement expires.

SPC4B Permanent Easement Files

Retention: Permanent.

SPC4C Easements in Perpetuity

Retention: Retain ten (10) years after agreement expires.

SPC5 City Park Use Permits

The State Properties Committee may, upon receipt of a request from a city or town, permit the use of state-owned property within the city or town for park or recreational purposes. The city or town receiving

permission to use state property is held responsible for the proper maintenance and care of the property. Records include requests, certificates of insurance, and agreement documentation.

Retention: Retain twenty-one (21) years after permit expires.

SPC6 Property Use Licensing Files

The State Properties Committee must approve all requests agencies receive for the use of their property and premises for public or private events.—Data may include name and address of contact person, phone number, date and type of event, hours requested, name of custodian on duty, and terms and conditions of use. Records include copies of contracts or agreements, certificates of insurance, and waiver release forms executed by event participants, and related correspondence.

Retention: Retain ten (10) years after expiration of license.

SPC7 Lease Files

State agencies may enter into lease agreements as lessors or lessees with other entities, including individuals and private enterprises as well as other government entities. No agency can enter into a lease agreement without the approval of the State Properties Committee. The records in this series include agency need statements (amount of land/space required, level of finish of interior space, location requirements, environmental issues, utility needs, and any special needs, applications for SPC Conceptual Approval to proceed with a Request for Proposal, copies of the agency's Request for Proposals, and memos related to granting or denial of Conceptual Approval. Also included are letters of request for final approval of lease agreement, and indentures of leases and amendments to leases. Where the state is the lessee, the following documentation is required: Certificates of the Disclosure of Corporations, documentation concerning conformity with tax requirements and handicapped accessibility standards, No Conflict of Interest Certificates, Evidence of Insurance, visual exhibits of the property, Certificates of Authority for signing agreements, the Fire Marshal's approval, and memos notifying the agency of approval. All files are organized by property location.

Retention: Retain ten (10) years from date of final payment for lease and final lease extensions.

Note: This ten-year retention is also applicable when a state agency decides to purchase a property or facility it has been leasing.

SPC8 Annual Report to General Assembly

By state law (RI Gen. Laws § 37-6-1.1), the Committee must submit an annual report of its activities during that fiscal year to the Governor, the Speaker of the House of Representatives, the President of the Senate, and the Secretary of State. The report includes rules or regulations promulgated, studies conducted, policies and plans developed, approved, or modified, and programs administered or initiated. The report is also posted electronically on the websites of the General Assembly and the Secretary of State pursuant to the provisions of RI Gen. Laws § 42-20-8.2.

Retention: Permanent.

SPC9 Quarterly Property Disposal Reports

State law requires that the SPC submit to the Secretary of State a quarterly report listing all actions taken. Information required includes the name(s), including corporate and fictitious name(s), of all parties to any action taken or approval given, the location, by number, street, and city/town, along with tax assessor's plat and lot, of any property affected by any action taken or approval given, the amount of payment or reimbursement paid or to be paid in each instance, and the location of each document, deed, and/or other instrument of conveyance and demise of land or other real property sold or leased. The Secretary of State compiles, publishes, and makes [s](#) available for public inspection all lists prepared in accordance with the above ~~R.I. Gen Laws chapter~~ § 37-6-1.3 Public disclosure of the management and disposal of property records. (R.I. Gen. Laws §§ 37-6-1.3, 37-7-1, 37-7-2, 37-7-3, 37-7-5, 37-7-5.1, 37-7-8, and 37-7-9)

Retention: Retain three (3) years.

SPC10 Certificates of Records Destruction

Certification of Records Destruction forms (PRA 003) signed by authorized agency official and submitted to, and signed by, the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules. (R.I. Gen. Laws §§ ~~§~~ 38-1-10, ~~§~~ 38-3-6(j), and ~~§~~ 42-8.1-10)

Retention: Permanent.