

RECORDS RETENTION SCHEDULE

LG1

Municipal Clerk Records

September 2000
(Reissued May 2004)
(Reissued June 2008)
(Amended October 2009)
(Amended March 2010)
(Amended November 2010)
(Amended September 2013)
(Amended May 2016)
(August 2016)
(April 2017)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903

Records Retention Schedule LG1

Municipal Clerks Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of forty-seven (47) separate sets of records, or series, recognized as those records generated by the municipal clerk. Included in each entry is a series number, records series title and description, and a retention period. For example,

<u>Series No.</u>	<u>Series Title & Description</u>	<u>Retention Period</u>
LG1.4.12	Designation of Agent of Nonresident Landlord Form filed per RIGL § 34-18-22.3 for purposes of service of process	Retain until updated, superseded or obsolete.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

**State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration**

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist _____ & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating retention, do not count the year in which the records were created.
If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

LG1.1 Real and Personal Property Records**LG1.1.1 Land Evidence Records**

Official or record copy of all instruments recorded in the general index of land evidence records of the municipality (RIGL § 34-13-1.). Includes all instruments that document land ownership and transfer including those records and supporting documentation which show agreements, land changes and development in the community. Includes but is not limited to: Letters of Attorney, Contracts for sale of land, Bonds for title or covenants, Notices (RIGL § 9-4-9.), Notices and process to be filed under other statutory provisions, Decrees in equity and judgments at law affecting title, All instruments evidencing or relating to a security interest in personal property or fixtures (*UCC*) (RIGL § 6A-9-302, § 6A-9-401, § 6A-9-403.), Instruments required by statute to be recorded including deeds, mortgages, transfers and discharges, leases or memoranda, transfers and calculations, Instruments of defeasance, Instruments creating trusts (excepting wills), Instruments and notices affecting title of land, Affidavits as to family facts, Affidavits as to bounds and monuments of land, and Certificates of the Secretary of State as to change of corporate name.

Retention: Permanent.

Note: One Certification of Records Destruction may be submitted annually for the upcoming year to dispose of records that will be imaged and microfilmed per the Rules and Regulations for the Making and Management of Imaged Public Records and the Rules and Regulations for Microfilming Standards.

LG1.1.2 Receiving Books/Day Sheets

Initial recording of instruments entitled to be recorded in the land evidence records. Includes day, hour and minute instrument was presented for recording, and land evidence book and page notation (RIGL § 34-13-4.). May include name of grantor and grantee and type of instrument recorded.

Retention: Retain three (3) years.

LG1.1.3 Copies of Land Evidence Filings – See LG1.1.1 and Note.**LG1.1.4 Earmarks**

Records the registration of livestock within the municipality.

Retention: Permanent.

LG1.1.5 Tax Books

Records that indicate all assessed taxes on real and personal property. Includes name of owner of property, address, assessed worth and exemptions.

a) Authorized or warranted copies of tax books, rolls or lists.

Retention: Permanent.

b) Duplicate copies.

Retention: Retain until updated or superseded.

Note: Official or record copy may be held by Municipal Tax Collector.

LG1.1.6 Assessor's Maps

Copies of land value maps which show assessor's plat and lot numbers.

Retention: Retain until updated or superseded.

Note: Official or record copy should be held by Municipal Tax Assessor.

LG1.1.7 Recorded Surveys

Plan or map showing the measurements, dimensions, descriptions, boundaries, areas and contours of a parcel of property (RIGL § 34-13-1.).

Retention: Permanent.

LG1.1.8 Plat Maps

Plat map or plat book that contains the legal description of land, showing the division of the land into streets, blocks and lots and indicating the measurements of the individual parcels. Indicates legal plat and lot numbers (RIGL § 34-13-1.).

Retention: Permanent.

LG1.1.9 Condo Maps

Includes name and boundary survey of condominiums, legal description, location and dimensions (RIGL § 34-36.1-2.09).

Retention: Permanent.

LG1.1.10 State Highway Maps

State Highway Maps filed by the Rhode Island Department of Transportation (RIDOT) indicating the taking of municipal property by condemnation. Information includes condemnation plat and lot numbers and plat, lot and parcel descriptions.

Retention: Permanent.

Note: Original copy held by the Rhode Island Department of Transportation.

LG1.1.11 Indices

Location and cross-reference systems devised and maintained for the purpose of retrieving land records, plans, drawings, maps and any other records filed per statute. Includes Grantor/Grantee index.

Retention: Retain until updated or superseded.

LG1.1.12 Hospital Lien Docket

Register which records the filing of any lien claim under the provisions of RIGL § 9-3-4. - 9-3-7.

Retention: Retain ten (10) years from last entry.

LG1.1.13 Notices of Removal of Household Goods, Chattels and Personal Effects of Residents

Report indicating removal of household goods, chattels, and personal effects from one residence to another (RIGL § 5-17-2.).

Retention: Retain six (6) years after filing.

LG1.1.14 Business Name Register

Record that registers the names of businesses located within the municipality. Includes name and address of owner and date of registration.

Retention: Retain until of no administrative value, then review for historical value.

LG1.1.15 Hospital Liens (added 5/2016)

Notices of hospital liens and releases of hospital liens filed with the municipality per RIGL § 9-3-5.

Retention: Retain three (3) years from date of filing of release.

LG1.2 Probate Records

LG1.2.1 Probate Records (Dockets)

All records relating to the legal establishment of the validity of a will. Includes but it is not limited to administrator's or executor's bonds, inventories, petitions, (including withdrawn or denied), fee cards, wills, notices of probate hearings and inheritance tax liens.

Retention: Permanent.

LG1.2.2 Probate Records Indices

Location and cross-reference systems devised and maintained for the purpose of retrieving probate and estate records.

Retention: Retain until updated or superseded.

LG1.2.3 Wills (amended 3/ 2010)

Wills deposited to be safely kept per RIGL § 33-7-1. Per 2008 PL 306, this requirement was repealed effective December 31, 2008 (see RIGL § 33-7-7.1). This series now includes certified mail receipts and release or receipt forms.

Retention: Retain release forms one (1) year from date of signing. Retain certified mail receipts and documentation (including wills) one (1) year from the date of issuance of the certified mail notice.

Note: Wills that had been filed under RIGL § 33-7-1 before the requirement was repealed, and do not include contact information, should be retained 75 years from deposit date.

LG1.2.4 Probate stenograph and electronic recordings (new series added August 2016)

Recordings of probate proceeding made by the probate clerk at the request of the presiding probate judge (RIGL § 8-9-7 & 33-22-19.1) .

Retention: Retain recording one (1) year from the date of hearing.

LG1.2.5 Probate proceedings sign-in sheets (New series added 4/2017)

Record used to record attendance of attendees of probate proceedings.

Retention: Retain one (1) year from the date of hearing.

LG1.3 Vital Records

LG1.3.1 Birth, Marriage and Death Records (amended 11/2010)

Births, marriages and deaths registered in the municipality. Includes marriage intentions, delayed births, juvenile marriages (RIGL § 15-2-11.) and recorded out of state deaths of residents.

a) Marriage and death filings

Retention: Permanent.

b) Birth filings prior to 1960

Retention: Permanent.

c) Birth filings 1960 to present

Retention: Destroy.

Note: The Department of Health, Vital Records Registrar will issue statement when subsequent years of birth filings become available on the State Electronic Birth Registration System. Once this statement has been issued, the municipalities should destroy these records after a Certification of Records Destruction is approved by the State Archives Division.

LG1.3.2 Birth, Marriage and Death Returns

Individual filings of births, marriages and deaths occurring within the municipality.

Retention: Permanent.

Note: Returns may be transferred to the State Archives.

LG1.3.3 Marriage License Worksheets (amended 5/2016)

Rhode Island Department of Health Form (VS-4A) required for the issuing of marriage licenses.

Retention: Retain three (3) years then shred.

Note: As of August 1, 2013, DOH/Vital Statistics no longer requires the municipalities to forward the original marriage license worksheet (VS-4A).

LG1.3.4 Vital Records Requests

Requests for certified or non-certified copies of birth, marriage and death records.

a) Requests for restricted vital records. (amended May 2016)

Retention: Retain three (3) years.

b) Requests for open vital records.

Retention: Retain one (1) year.

LG1.3.5 Vital Records Indices

Location and cross-reference systems devised and maintained for the purpose of retrieving birth, marriage and death records.

Retention: Retain until updated or superseded.

LG1.3.6 Cemetery Records

Agreements, burials, deeds, perpetual care agreements (RIGL § 23-18-8.1.) indexes, and registers (RIGL § 23-18-10.1, 2011 PL Chapter 117).

Retention: Permanent.

LG1.3.7 Burial Transit Permits

Department of Health Form (VS-9) for burial and transit. May include out-of-state permits. (RIGL § 23-3-18.)

Retention: Permanent

LG1.3.8 Disinterment, Transit, and Re-interment Permits

Department of Health Application (VS-29) for disinterment, transit and re-interment. (RIGL § 23-18-11.2.)

Retention: Permanent.

LG1.3.9 Safety Paper Logs

Log kept as part of the prescribed security procedures for issuing certified birth, marriage and death records from numbered safety paper. Log indicates whether a blank safety paper certificate was issued, voided or missing.

Retention: Cut off at end of calendar year and retain ten (10) years.

Note: All safety paper voids are considered non-records and should be destroyed as per DOH policy.

LG1.4 Administration

LG1.4.1 Blasting Notifications

Notifications and copies of blasting permits issued by the State Fire Marshall's Office sent to and signed and date stamped by municipal clerk. Indicates date approved, requester's name and address and date of expiration. May include attached correspondence by other municipal offices indicating approval or objections to project.

Retention: Retain one (1) year.

LG1.4.2 State Regulatory Agency Notices

Notices by state regulatory agencies forwarded to municipal clerk pursuant to statutory regulations. May include but not limited to copies of locus maps, surveys, meeting notices, meeting cancellation notices, notices of applications filed for state assent, agency findings and decisions, meeting agendas, preliminary determinations, and description of projects.

Retention: Retain one (1) year.

LG1.4.3 Licenses and permits

Includes application information or other documentation in connection with a state or local licensing/permit process. May include but not limited to dog licenses, hunting and fishing, private detective, peddler, auto salvage, flea market, filling station, Sunday sales, liquor and firearms.

If Licensing Authority:

a) Firearms and alcoholic beverages.

Retention: Retain ten (10) years after expiration.

b) All other licenses and permits.

Retention: Retain three (3) years after expiration.

If Not Licensing Authority:

c) Copies and notifications/notices of licenses and permits issued.

Retention: Retain one (1) year.

LG1.4.4 Military Discharges

Honorable discharges and/or separation papers filed in the office of the municipal clerk pursuant to RIGL § 30-18-1.

Retention: Permanent.

LG1.4.5 Registers

Appointed officials, clergy, and physicians.

Retention: Permanent.

LG1.4.6 Claims

Claims filed against the municipality for compensation. Includes but is not limited to initial letter of contact with municipality, attorneys' correspondence to municipality, copies of court judgments, motions to dismiss, copies of receipts for payment of damages, and estimates citing damage.

a) Paid or settled claims.

Retention: Retain seven (7) years after settlement.

b) Claims referred to subcontractor in charge of project or State agency.

Retention: Retain three (3) years.

c) Denied claims.

Retention: Retain three (3) years from date of decision.

LG1.4.7 Reports

Internally generated reports including reports and returns to other municipal departments and state agencies.

a) Daily and weekly reports.

Note: Reports required in audit process must be retained one (1) year after audit is completed.

Retention: Retain one (1) year.

b) Monthly, quarterly and periodic reports.

Retention: Retain three (3) years

c) Annual and special reports and studies.

Retention: Permanent.

Note: Official or record copy of annual reports generated by departments of municipal governments should be held by the agency that created the report.

LG1.4.8 Legal Advertisements

Notices sent by the municipal clerk to newspaper(s) for publication. Content includes time, date and location of meeting, and topics to be discussed or considered. May indicate which newspapers received notice(s), where notice was posted, and which municipal officials received copies. May include but not limited to meeting notices of council, notices indicating changes in operating hours of municipal offices, invitation to submit bids and proposals, tax assessor's notices, decrees of abandonment, and licenses to be considered before council.

Note: Official or record copy of Council, commissions, committees, boards or Financial Town meeting notices should be kept as part of LG4.1 –Town and City Council Records - Meetings and Hearings.

Retention: Retain one (1) year after audit.

LG1.4.9 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.

(RIGL § 38-1-10, § 38-3-6, and § 42-8.1-10.).

Retention: Permanent.

LG1.4.10 Business Registration Records

Series documents fee-based registrations of businesses within the municipalities per RIGL § 6-1-2. Includes applications for new and renewed trade name certificates and home operation permits.

a) Fee based one-time registrations

Retention Retain three (3) years after business no longer exists or license is withdrawn or denied.

b) Fee based registrations renewed annually

Retention: Retain one (1) year after audit.

LG1.4.11 Business Registration Index

Alphabetical index of filings relative to RIGL§6-1-2.

Retention: Retain until updated or superseded.

LG1.4.12 Designation of Agent of Nonresident Landlord

Form filed per RIGL 34-18-22.3 for purposes of service of process.

Retention: Retain until updated, superseded or obsolete.

Note: This form is also filed with the Office of the Secretary of State, Corporations Division.

LG1.4.13 Bonds of Elected and Appointed Officials

Surety bonds submitted by elected and appointed officials per RIGL § 45-7-1, 45-7-4 and 45-8-1.

Retention: Retain seven (7) years after termination.

LG1.4.14 Lien Reports and Billing Records

Reports and billing records created for the purpose of the recording of any lien, release, withdrawal or revocation in the land records of the cities and towns. Includes correspondence, document listing, summaries as well as invoices generated by the municipality for payment to the agency for the cost of the recording. May include but not limited to IRS lien and state lien records.

Retention: Retain six (6) years after audit.

LG1.4.15 Poor Farm Records (added 9/2013)

Records that document the activities of the Overseer of the Poor and the municipal poor farm. May include admissions logs, annual reports, books of indentures, account books and property records.

Retention: Permanent.

LG1.4.16 Restoration, Conservation and Reformatting Records (added 11/2010)

Records documenting the restoration and conservation of records of permanent, historical or long-term value. Also includes documentation on the microfilming or imaging of records. Records include but are not limited to, final contracts and agreements, requisition and purchase orders, reports and logs, quality control documentation and correspondence.

a) Requisitions and purchase orders

Retention: See LG2.4.4 – Requisitions and Purchase Orders

b) All other records

Retention: Permanent.

LG1.4.17 Genealogical Society of Utah Reproduction Records (added 11/2010)

Records that document the microfilming and /or imaging, supply and sale of Rhode Island public records produced by the Genealogical Society of Utah (GSU). Records include, but are not limited to, Memoranda of Understanding, operator reports, transmittal lists and permissions for organizations to purchase films/images.

Retention: Permanent.

LG1.4.18 Lobbyist Reports (new series added 5/2016)

Reports and registration forms/data filed with the municipality per requirements of municipal ordinance. Includes annual application, quarterly reports and final reports. Application and reports may be filed electronically per the requirements of the ordinance. Data may be made available to the public through the municipal website. May include compiled reports or summaries as required.

a) Lobbyist financial reports, applications and registration forms

Retention: Retain six (6) years

b) Lobbyist final reports

Retention: Retain twenty (20) years.

c) Annual/summary reports or lists prepared and/or published

Retention: Permanent.

See also:

GRS1 Executive, High-Level and Policy Making Records

GRS2 Legal Records

GRS3 Safety and Security Records

GRS4 Facilities Records

GRS5 Daily Operations Records

GRS6 Records Management Records

GRS7 Information Management Records

GRS8 Fiscal Records

GRS9 Personnel Records (if not delegated authority)

All GRS schedules are available at <http://sos.ri.gov/divisions/frequent-filers/records-management>

RECORDS RETENTION SCHEDULE

LG2

Municipal Finance Directors,
Tax Collectors, Treasurers, Comptrollers,
Purchasing Agents,
School Business Managers,
Fire Districts, Water Districts
Special Purpose Districts and
District Management Authorities

September 2007
(Amended November 2010)
(Reissued September 2013)
(Amended May 2016)

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Records Retention Schedule LG2

Municipal Finance Director

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of seventy-five (75) separate sets of records, or series, recognized as those records generated by the municipal clerk. Included in each entry is a series number, records series title and description, and a retention period. For example,

LG2.1.1 Accounts Payable Records

Records that document all monies expended by the municipality. Includes but is not limited to payroll, travel expenditures, insurance, pension and investments, and rotary fund expenditures.

Retention: Retain six (6) years after audit.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

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CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
<div>8. 1 certify that I have reviewed the above listed records and authorize their destruction.</div> <div>Dept. Head or Records Custodian _____</div> <div>State Archivist & Public Records Administrator _____</div>			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

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1. Department - means any state or local government entity. Include the name of your city or town.

2. Division - means any sub-unit of any department.

3. Date - the date your department prepared the form.

4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.

5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.

Note: Using the precise record series number and title will expedite the approval process.

6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.

Note: *For purposes of calculating retention, do not count the year in which the records were created.* If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.

7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.

8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
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Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

LG2.1 Audit and Accounting Records

LG2.1.1 Accounts Payable Records

Records that document all monies expended by the municipality. Includes but is not limited to payroll, travel expenditures, insurance, pension and investments, and rotary fund expenditures.

Retention: Retain six (6) years after audit.

Note: Retain accounting records relative to the administration of contracts ten (10) years after audit.

LG2.1.2 Accounts Receivable Records

Records that document all monies received by the municipality. Includes property taxes, water, sewer, funds transfer, escrow accounts, general fund accounts, state aid and credits.

Retention: Retain six (6) years after audit.

Note: Retain accounting records relative to the administration of contracts ten (10) years after audit.

LG2.1.3 Ledgers

Accounting records of all accounts receivable, accounts payable, and general ledgers. May include account descriptions, debits and credits, encumbrances (expenditure management records), trial balances, pre-closing trial balances, and final balances of expenditures.

a) Year-end report

Retention: Retain six (6) years after audit.

b) Monthly cumulative ledgers

Retention: Retain until of no further administrative value.

c) Monthly non-cumulative ledgers

Retention: Retain one (1) year after audit.

LG2.1.4 Journals

Records that list all transactions of disbursement and receipt as well as distributions by account number.

Retention: Retain six (6) years after audit.

LG2.1.5 Claim Vouchers and Invoices

Records that facilitate the *payment* of purchases of equipment and services by departments within the municipality. May include attached purchase orders, packing slips, return of merchandise authorization forms, records of employee use of municipal-issued credit cards (monthly statements with receipts and/or supporting documentation), employee travel expense records and reimbursement vouchers, and any other supporting documentation that itemizes costs or details the reasons for the expenditures.

Retention: Retain six (6) years after audit.

LG2.1.6 Receipts

Receipts for money received or for payments by the municipality. May include refunds and credits. May be partially duplicated in other record series related to accounts receivable and payable. May include daily cash report or summary, register tapes, and copies of bank deposit slips.

Retention: Retain one (1) year after audit.

LG2.1.7 Fundraising Records

Accounting records of various fundraising activities of the municipality. Includes accounts payable and receivable.

Retention: Retain six (6) years after audit.

LG2.1.8 Statements of Operations

Monthly report of revenue and expenditures of the municipality. Includes balance sheets, vendor information, variances and totals.

Retention: Retain three (3) years after audit.

LG2.1.9 Audit Records and Financial Reports

Records that document annual and special audits of the municipality. May include supporting documentation such as work papers, correspondence and reports.

a) Annual and special audits, including executive correspondence from chief executive and fiscal officers and special reports

Retention: Permanent.

b) Work-papers, correspondence and supporting documentation

Retention: Retain six (6) years after final release of applicable audit.

LG2.2 Budget Records and Reports

LG2.2.1 Budget

Annual proposed and approved budget of the municipality.

Retention: Retain one (1) copy permanently.

Note: Official or record copy may be held by municipal clerk or chief executive.

LG2.2.2 Budget Work Papers

Agency work papers including copies of *departmental requests* submitted to agency.

Retention: Retain two (2) years.

LG2.2.3 Monthly Report to Chief Executive Officer et al

Monthly report by the chief financial officer to the chief executive officer and each member of the municipal council/school committee certifying the status of the municipal budget per RIGL §45-12-22.2 (b).

Retention: Retain three (3) years after audit.

LG2.2.4 Quarterly Reports to the State

Quarterly Reports submitted by the municipality's chief financial officer to the Office of Municipal Affairs per RIGL §45-12-22.2 (b).

Retention: Retain three (3) years after audit.

LG2.2.5 Corrective Action Plans

Plans submitted to the Office of Municipal Affairs by the chief executive officer of the city or town in the event of projected deficits per RIGL §45-12-22.2 (c).

Retention: Permanent.

LG2.2.6 Deficit Elimination Plans

Plans submitted to the State Auditor General by the municipality per RIGL §45-12-22.3 (a).

Retention: Permanent.

LG2.2.7 Tax Levy Reports

Reports submitted to the Office of Municipal Affairs containing the adopted tax levy and other pertinent information (adopted budget, tax information and employee benefits) as prescribed in RIGL § 44-5-2(b).

Retention: Permanent.

LG2.2.8 State Aid Reimbursement Report (added 11/2010)

Annual Report sent to the Office of Municipal Finance per RIGL § 45-13-8 reporting the cost of each state mandate for the preceding fiscal year.

Retention: Retain three (3) years.

Note: Official or record copy is held by the Department of Revenue, Office of Municipal Finance.

LG2.3 Tax Collection

LG2.3.1 Abatements

Report of abatements/tax refunds calculated from assessor's report. May include attached assessor's report or notices.

Retention: Retain seven (7) years after audit.

LG2.3.2 Delinquent Tax Bill Notices

Copies of delinquent tax bill notices sent to tax payers. Includes lists and worksheets.

Retention: Retain three (3) years.

LG2.3.3 Tax Sale Records (amended 5/2016)

Records that document the preparation and auction of the tax sale. Includes official legal notice, certified returns with USPS receipts/undeliverable certified returns, and tax collector's return. May include but is not limited to: departmental copy of purchase requisition to place legal notice in newspaper, real property delinquent notice, correspondence, tax payer detail reports, requests for redemption information, account summary information, copies of tax bills, instructions for tax sale bidders, lists of auction attendees/sign-in form, copy of purchase requisition for auction services, copy of collector's deed and payment vouchers for the redemption of properties.

a) Official legal notice, tax collector's return, tax sale list and all records filed with the municipal clerk pursuant to RIGL §44-9 Tax Sales.

Retention: Permanent.

b) All other records created once costs occur relating to the tax sale.

Retention: Retain three (3) years from the date of the tax sale.

c) Tax sale preparation records for parcels removed from the tax sale due to payment of taxes.

Retention: Retain ninety (90) days from the date of the tax sale.

See also: LG2.3.7 Agreements for Payment of Delinquent Taxes.

LG2.3.3 Tax Sale Records (continued)

d) Tax sale preparation records which relate to RIGL 44-9-25(c).

Retention: Retain five (5) years from the sale of the property or transfer of title for taxes or until right of redemption is foreclosed whichever is longer.

LG2.3.4 Tax Sale Mailing Book

Mailing receipt book used as a record of all certified letters sent to taxpayers regarding notification of taxes due prior to advertisement of tax sale.

Retention: Retain three (3) years after last entry.

LG2.3.5 Legal Advertisements

Notices sent by the municipal tax collector to newspaper(s) for publication. Content includes time, date and location of meeting, lists of parcels of real estate to be sold for the payment of taxes assessed. Includes owner(s) name and plat and lot numbers. May indicate which newspapers received notice(s), where notice was posted, and which municipal officials received copies.

Retention: Retain one (1) year after audit.

LG2.3.6 Redemption Requests

Calculation worksheet for determining taxes owed on property subject to tax sale.

Retention: Retain until of no further administrative value.

LG2.3.7 Agreements for Payment of Delinquent Taxes

Agreements between the municipality and taxpayer for payment of delinquent taxes.

Retention: Retain six (6) years after final resolution.

LG2.3.8 Notice of Intention to Perfect Lien

Financing Statement/UCC Lien filed by the tax collector/treasurer for payment of delinquent taxes on tangible property that is not subject to tax sale. Notice includes plat and lot numbers, type of tax, tax amount and interest. May include the following attached documentation: copies of tax bills, postal certification and receipts.

Retention: Retain until lien is discharged per RIGL §44-9-55 or allowed to expire after five (5) years (RIGL §44-9-52).

LG2.3.9 Bankruptcy Records

Records that serve as notification to the municipality of the filing of a bankruptcy by an individual or business/corporation.

a) Official notices

Retention: Retain one (1) year.

b) Case files

Retention: Retain six (6) years after final disposition.

Note: Copies of notices may be forwarded to the municipal solicitor.

LG2.3.10 Notice of Denial of Registration Rights

Form supplied to the municipality from the Division of Motor Vehicles for purposes of informing tax payers who are delinquent in the payment of motor vehicle excise taxes. May include those returned by mail due to change of address.

Retention: Retain until updated or superseded or of no further administrative value.
No Certification of Records Destruction required.

LG2.3.11 Refunds (amended 11/2010)

Report of refunds issued for taxes paid on tangible and real property.

a) Report of refunds

Retention: Retain six (6) years after audit.

b) Worksheets

Retention: Retain three (3) years.

LG2.3.12 Municipal Lien Certificates (amended 9/2013)

Copy of certificate that itemizes the balance owed to the municipality of any unpaid taxes, assessments, rates and charges on property. May also be called a tax certificate. Includes plat and lot (or block and parcel) numbers, and exemptions. May include motor vehicle excise tax certificates, water and sewer closing statements, correspondence and supporting documentation (RIGL §44-7-11).

Retention: Retain one (1) year from date of issuance.

Note: Paid municipal lien certificates are filed in the land evidence records and are held by the municipal clerk as a permanent record.

For the retention of fiscal records and/or data associated with the payment of balances owed and associated fees, see LG2.1.2 Accounts Receivable Records – retain six (6) years after audit. For the retention of duplicate fiscal records and data held by other departments, see GS1.B15 Accounts Receivable Case Files – retain one (1) year after audit.

LG2.3.13 Tax Bills/Invoices (amended 5/2016))

Municipality's copy of tax bills (electronic or hard copy) issued for the payment of taxes or services regarding real estate, motor vehicle, tangible, water and sewer. Includes supplemental and pro-rated tax bills. May include any supporting records such as lists, reports and worksheets as well as any records that document payment errors such as returned checks for stop payments and/or insufficient funds.

a) Tax bills

Retention: Retain six (6) years after audit.

b) Supporting records

Retention: Retain three (3) years.

LG2.3.13 Tax Bills/Invoices**c) Payment error records**

Retention: Retain three (3) years after resolution.

d) Undeliverable tax bills (added 5/2016)

Retention: Retain three (3) years.

LG2.3.14 Tax Bill Stubs and Receipts

Daily receipts of tax bills paid. May include tax bill stubs, daily cash reports or summary, register tapes and copies of bank deposit slips.

Retention: Retain one (1) year after audit.

Note: If using remote deposit system, retain scanned checks until completion of reconciliation, then shred. No notification required.

LG2.3.15 Claims Files

Records of claims filed for purposes of tax collection. Records may include reports and lists of taxpayers that are delinquent on payment, affidavits and collection status reports.

a) Record copy of files

Retention: Retain seven (7) years after settlement.

b) Duplicate copies

Retention: Retain until of no further administrative value.

Note: Record copy may be held by municipal solicitor.

LG2.4 Purchasing Records**LG2.4.1 Lease/Purchase Records**

Records that document the lease/purchase of equipment. Includes copies of purchase orders, copies of master equipment lease/purchase agreements, rental payment schedules, copies of purchase requisitions, correspondence with financial institutions, copies of invoices and bills of sale, final acceptance certificates, acceptance of rental payment obligation, essential use/source of funds certificate and certificate of insurance. May include correspondence between purchasing department and department requiring the equipment, bid proposal copies and worksheets, copies of municipal council docket and minutes approving lease, copies of tabulation of bids, financing proposals and invitations to bid.

Retention: Retain ten (10) years after expiration of lease or ten (10) years after purchase.

LG2.4.2 Bids

Records that document the bid process for the purchase of services, supplies or capital improvements. May include bid requests, resumes, specifications, proposals, cost quotes, product literature, correspondence, public notice of invitation to bid, copies of requisitions for purchase orders or similar relevant documentation.

a) Successful bids or negotiated awards

Retention: Transfer with supporting documentation to Contract Files LG2.4.3.

b) Unsuccessful bids

Retention: Retain three (3) years.

c) Duplicate copies

Retention: Retain until of no further administrative value.

Note: This retention period supersedes retention on Public Works Schedule LG10.6.3.

LG2.4.3 Contracts

Record of winning contract awards. May include bid and contract papers, notice of contract award, subcontractor lists, copies of bonds, bid requests, specifications, correspondence, copies of invoices, and insurance certificates.

a) Original or record copy

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

Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (RIGL § 9-1-17).

b) Duplicate copies

Retention: Retain until termination of contract.

Note: This retention period supersedes retention on Public Works Schedule LG10.6.4.

Note: For union contracts and labor relations records see GRS1.17 Labor Relations Records.

LG2.4.4 Requisitions and Purchase Orders

Records that facilitate the *approval* of purchases of equipment, services and goods by departments within the municipality. May include requests for purchase, bid information, bid waivers, competitive pricing information, and emergency purchase requests. May also include voided or cancelled purchase orders and requisitions.

Retention: Retain six (6) years after audit.

LG2.4.5 Auction Records

Records documenting municipal auctions of surplus or obsolete items and equipment. Includes memoranda, copies of claim vouchers, invoices, and cancelled checks, inventory and receiving reports, auctioneer's log, lot inventory report, lists, copies of clippings/legal notice in newspapers, legal notices, departmental notifications of surplus/obsolete equipment, correspondence and fax transmittal sheets.

Retention: Retain six (6) years after audit.

LG2.4.6 W-9 Federal Identification Number of Vendors Forms

Vendor forms required in the purchasing process.

Retention: Retain until updated, superseded or obsolete.

LG2.4.7 Vendor Case Files

On-going files of vendors that provide services to the municipality. May include copies of purchase orders, invoices and packing slips, product brochures and catalogs, copies of bid specifications, correspondence and notes.

Retention: Retain until updated, superseded or obsolete. Periodically weed non-essential and duplicative materials.

Note: Records may partially duplicate those held in other record series.

LG2.5 Insurance Records**LG2.5.1 Insurance Policies and Records**

Records of insurance policies (accidental, health, workers compensation, automobile, burglary, fidelity and surety, fire and life) held by the municipality. Includes contracts and agreements.

Retention: Retain ten (10) years after expiration.

LG2.5.2 Insurance Files

Records that document the administration of insurance coverage for employees. Includes correspondence, updates to insurance schedules, change request forms, updates of items or individuals covered, student rider verification forms, copies of insurance identification cards, insurance certificates, synopsis of insurance coverage, and policy booklets indicating terms and agreements.

Retention: Retain until updated, superseded or of no further administrative value.
Periodically weed to remove duplicative or non-essential materials.

LG2.5.3 Certificates of Appraisal

Shows valuation of property including replacement and actual cash value.

Retention: Retain until updated or superseded.

LG2.5.4 Certificates of Insurance

Provides confirmation of coverage and may include attached cancellation notices indicating lack or delay in payments.

Retention: Retain until updated or superseded, or obsolete.

LG2.5.5 Insurance Processing Records

Records received from insurance vendors. Includes billing statements, cancelled checks, and copies of claim checks.

Retention: Retain six (6) years after audit.

LG2.5.6 Insurance Billing and Payment Records

Documentation of monthly billing and payments for health/dental coverage. Includes invoices received, subscriber listing records, eligibility forms, termination forms, co-pay deduction and reimbursement registers, and payment authorization information. May include documentation relating to COBRA payments, copies of checks, lists and computer printouts, departmental copies of requisitions and vouchers, statement of account and lists of participants.

Retention: Retain six (6) years after audit.

LG2.5.7 Insurance Claims

Case files of claims that may include attached incident, accident or police reports, copies of certificates of liability insurance, performance bonds, labor and material payment bond, power of attorney, automotive liability and/or collision liability property claims notice, copies of State of Rhode Island uniform accident report, diagrams of accidents, descriptions of damage, quotes for repairs, list of expenditures incurred, copies of signed releases (for execution of a settlement for a claim), attorneys letters, and copies of summonses. May also include monthly lists or reports of insurance claims activity provided by insurance provider on any policy held by the municipality. Includes expenses paid by insurance providers.

LG2.5.7 Insurance Claims (continued)**a) Monthly lists of claim activity**

Retention: Retain one (1) year.

b) Records of particular claims

Retention: Retain seven (7) years after settlement.

c) Denied claims

Retention: Retain three (3) years from date of decision.

Note: See also – LG1.4.6 - Claims

LG2.6 Payroll Records**LG2.6.1 Payroll Records**

Records that document wages/salaries paid, deductions (before and after tax) for pension, health insurance, disability insurance, labor union dues, etc., and taxes paid by each employee of the municipality. This record includes the weekly or bi-weekly payroll as well as the yearly payroll register.

a) Weekly or biweekly payroll

Retention: Retain six (6) years.

b) Yearly payroll register

Retention: Retain seventy-five (75) years.

c) Employee earnings records/pay histories

Retention: Retain five (5) years after termination.

Note: Retain yearly payroll register for long-term verification of employee retirement eligibility. If this record is not available, it is necessary to keep the individual pay histories of all employees. Retain pay detail, including deductions, or other documentation that is sufficient to document employee creditable service for a period of seventy-five (75) years.

LG2.6.2 Payroll Accounting Records

Records relating to the account that funds the municipal payroll. Includes summary sheet (interest earned, amount of outstanding checks and total checks voided for month), list of outstanding payroll checks, bank statements, register receipts, stop payment requests, voided check report, transfer sheet warrant (summary of money transferred by category from certain accounts), payroll summaries, check register warrant, direct deposit register, deduction report, and worksheets.

Retention: Retain six (6) years after audit.

Note: For payroll records relating to grants, see LG 2.8.9

LG2.6.3 Rate and Time Records

Records that record time/hours worked, hourly rate or salary, overtime hours, compensation time, leave time, or adjustments to rate or wage. Includes time sheets, time cards and sign-in logs or sheets.

Retention: Retain four (4) years after posting.

LG2.6.4 Requests for Leave

Records that document *requests for leave*. Requests for leave include vacation, compensatory, special, conference/professional development, personal, holiday, or jury duty.

Retention: Retain four (4) years.

LG2.6.5 Sick Leave Records

Records that document sick leave. Includes sick/injury, family sick, and bereavement.

Retention: Retain four (4) years.

LG2.6.6 Wage and Tax Statements

Employer copy of wage and tax statements or information returns including W-2, W-3 1099, 1099R, 940, 941 and 943 forms.

Retention: Retain four (4) years after the due date of such tax for the return period to which the records relate, or the date such tax is paid, whichever is later.
(26CFR31.6001-1(2))

LG2.6.7 Direct Deposit Authorization Agreements

Signed agreement of the employee indicating consent for direct deposit of wages via wire transfer into specified accounts. Includes SSN, type of account and account numbers, amount to be deposited and bank information. May include any authorization by employee to deduct wages for donations, contributions to pension/retirement accounts, union dues or related activities.

Retention: Retain until updated, superseded or obsolete.

LG2.6.8 Request for Salary Adjustment

Requests for salary adjustment relative to the completion of courses with approved credits.

Retention: Retain four (4) years.

Note: Maintain summary information in personnel folder.

LG2.6.9 Wage and Rate Tables

Records that provide rates in computing straight-time earnings, wages, salary or overtime pay computations.

Retention: Retain two (2) years from last effective date.
(29CFR516.6).

LG2.6.10 Garnishments (added 11/2010)

Records that document requests and court orders received for purposes of withholding wages for payments of support, debt, tax levies and other reasons. Records include, but are not limited to, court orders, wage records, correspondence, departmental copies of invoices, release of levy, release of property from levy, notices of levy on wages and other income, garnishee's affidavit, copies of agreement to allow wages to be garnished, writs of attachment, and summaries of payments.

Retention: Retain six (6) years after release, resolution or end of garnishment.

LG2.6.11 Independent Contractors Records (New series added 11/2010)

Records that document the hiring of independent contractors as specified in RIGL § 28-29-17.1 and filed with the Department of Labor and Training. May be filed electronically or hard copy and includes Notice of Designation as Independent Contractor and Notice of Withdrawal of Designation as Independent Contractor. Electronic filings include electronic confirmations.

Retention: Retain three (3) years after services are no longer performed for the municipality or three (3) years after Withdrawal of Designation is filed with the Department of Labor and Training.

Note: These records are maintained as a permanent record by the Department of Labor and Training.

LG2.6.12 Monthly Notification of Post Retirement Employment (added 5/2016)

ERSRI (Employees' Retirement System of Rhode Island) form used to notify the agency of post-retirement employment of MERS retirees.

Retention: Retain one (1) year.

Note: Official copy is filed with ERSRI and maintained as part of the MERS retiree's documentation.

LG2.7 Bond Records**LG2.7.1 Bond Administration Files and Accounts**

Records that document the implementation and administration of a *general obligation, public, bearer, register bonds or refunding bonds* issued by the municipality for long-term debt of capital and other projects. Includes official statements, bond register, ledgers/accounts payable records, including monthly statements of transactions, receipts and redeemed coupons, authorizations for payment and vendor information. May include correspondence, press releases, proposal for bond anticipation notes, preliminary studies, proposals and prospectuses, certificates of issuance, bond product reports, banking records, agreements and draw down schedules.

a) Bond implementation records including bond register and official statements

Retention: Permanent.

b) Bond administration and accounting records including receipts and coupons

Retention: Retain seven (7) after bond is satisfied and final audit.

LG2.7.2 Bond of Sergeants

Bonds of sergeants with surety made to the municipal treasurer per RIGL § 45-16-2.

Retention: Retain seven (7) years after termination.

LG2.7.3 Surety Bonds

Surety bonds filed with the municipal building official or treasurer to insure the completion of projects or as required by state law or municipal ordinance. May include escrow agreements and correspondence. (RIGL § 23-18-5, 23-28.28-32)

Retention: Retain six (6) years after expiration.

LG2.7.4 Performance Bonds

Performance bonds filed by vendors with the municipal building official. Includes certificates of insurance (RIGL § 23-27.3-116.8).

Retention: Retain seven (7) years after termination of contract.

LG2.7.5 Default of Bonds

Case files relative to the default of bonds for failure to complete project development in accordance with municipal regulation or code.

Retention: Retain seven (7) after final resolution.

LG2.7.6 Bond Anticipation Notes (revised 9/2013)

Temporary notes (RIGL § 45-12-18) issued in anticipation of the issuance of bonds authorized under RIGL § 45-12-1 and payable within five (5) years of their issuance dates.

Retention: Retain seven (7) years after final payment and audit.

LG2.8 Administration**LG2.8.1 Banking Records**

All records and statements of bank accounts held by the municipality. Includes registers, reconciliation, check stubs, deposit slips, cancelled and voided checks, carbons and electronic funds wire transfers.

Retention: Retain six (6) years after audit.

LG2.8.2 Investment Records

Records detailing the municipality's investment activities. Includes monthly reports and statements submitted by investment companies. May include banking records, transaction reports, reconciliations, portfolio summaries, and income summary and total account value.

Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (RIGL § 9-1-17).

a) Portfolio reports and income summaries

Retention: Retain ten (10) years after termination of account.

b) All other records

Retention: Retain six (6) years after audit.

LG2.8.3 Loan Records and Reports

Records maintained by the municipality regarding the administration of loans funded from the Rhode Island Economic Development Corporation and their revolving loan fund as well as other loan programs. Includes balance sheets and reports. May include copies of mortgages held by the municipality, copies of promissory notes, and supporting documentation such as loan payment information, copies of letters regarding delinquent payments, and correspondence between different municipal departments.

Retention: Retain six (6) years after final payment, cancellation and audit.

LG2.8.4 Escrow Files

Files maintained for the administration of tax escrow accounts with the municipality. Includes but is not limited to, tax authorization forms, correspondence, supplemental tax bill request list from lending institutions, and notices of delinquent taxes.

Retention: Retain ten (10) years after file is closed.

LG2.8.5 Loss Reports

Monthly and annual reports detailing losses regarding claims (injury, medical, workers' compensation, etc.) against the municipality. May detail individual claims and payments, claims by department, transactions, claim status and statistical information including loss forecasts and analysis.

a) Monthly reports

Retention: Retain one (1) year after audit.

b) Annual reports

Retention: Retain three (3) years.

LG2.8.6 Leases

Leases/agreements made by the municipality with other corporate, non-corporate or governmental bodies. File may include correspondence, copies of municipal resolutions, signed lease, map or plan of parcel and right of way descriptions.

Retention: Retain ten (10) years after termination of agreement or lease.

Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (RIGL §9-1-17).

LG2.8.7 Equipment Case Files

Records documenting the life cycle of equipment purchased by the municipality. Includes copies of invoices, purchase orders, packing slips. May include inventory parts ordering forms, warranties, maintenance agreements, repair documentation and operation manuals.

Retention: Retain ten (10) years after final disposition.

LG2.8.8 Fixed Asset Records

Records documenting the fixed assets of the municipality for accounting purposes. Includes annual physical inventory report (description, id#, serial numbers and location), acquisition and final disposition reports.

a) Physical inventory records

Retention: Retain until updated or superseded.

b) Acquisition and final disposition reports

Retention: Retain three (3) years after audit and final disposition.

LG2.8.9 Grant Files

Records relating to the development of grant proposals to state or federal agencies and the administration of grant awards and programs. Records may include, but are not limited to, grant applications and agreements, studies, notices, technical specification, drawings, plans, bid and contract records, accounting, banking, purchasing, and payroll records, bonds, monitoring and performance reports, expenditure and outlay reports, memoranda, and correspondence.

a) Grant applications and amendments, final performance, disposition and expenditure reports.

Retention: Permanent.

b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records

Retention: Retain ten (10) years from submission of close-out and final expenditure report or submission of annual financial status report for grants renewed annually.

c) Real property and equipment records

Retention: Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.

**d) Income transaction records (earning of income) after grant support
(Where required by the terms of the grant)**

Retention: Retain ten (10) years from the end of fiscal year in which the income is earned.

e) Unsuccessful grant applications

Retention: Retain three (3) years.

Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.

Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (RIGL §9-1-17).

LG2.8.10 Reports

Internally generated reports *not covered in other record series*, including reports and returns to municipal departments and state agencies.

a) Daily and weekly reports

Retention: Retain one (1) year.

Note: Reports required in audit process must be retained one (1) year after audit is completed.

LG2.8.10 Reports (continued)

b) Monthly, quarterly and periodic reports

Retention: Retain three (3) years.

c) Annual and special reports and studies

Retention: Permanent.

Note: Official or record copy of annual reports generated by departments of municipal governments should be held by the agency that created the report.

LG2.8.11 Certification 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. (RIGL § 38-1-10, § 38-3-6(j), and § 42-8.1-10.).

Retention: Permanent.

See also:

GRS1 Executive, High-Level and Policy Making Records

GRS2 Legal Records

GRS3 Safety and Security Records

GRS4 Facilities Records

GRS5 Daily Operations Records

GRS6 Records Management Records

GRS7 Information Management Records

GRS8 Fiscal Records (if not fiscal authority)

GRS9 Personnel Records (if not delegated authority)

All GRS schedules are available at <http://sos.ri.gov/divisions/frequent-filers/records-management>

RECORDS RETENTION: SCHEDULE

LG3

Municipal Assessors Records

April 2006
(Reissued March 2008)
(Reissued November 2010)
(Amended September 2013)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminister Street
Providence, Rhode Island 02903

Records Retention: Schedule LG3

Municipal Assessors Records

This Records Retention: Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of twenty-seven (27) separate sets of records, or series, recognized as those records generated by the municipal clerk. Included in each entry is a series number, records series title and description, and a Retention: period. For example,

LG3.1.3 Notice of Change of Address

Notification of change of address filed with the municipality.

Retention: Retain one (1) year after posting.

The Retention: periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many Retention: periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

**State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration**

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal Retention: requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on Retention: schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the Retention: schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating Retention:, do not count the year in which the records were created.
If the Retention: period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

LG3.1 Property Records**LG3.1.1 Abatement Records**

Records relating to requests for a reduction in the assessment of taxes owed on property. Includes decisions of the tax assessor and applications.

a) Final decisions of the tax assessor, council or board of assessment review.

Retention: Permanent.

b) Application or request for abatement.

Retention: Retain three (3) years after audit.

Note: Final decisions are recorded in the records of the board of assessment review or municipal council.

LG3.1.2 Exemptions (Amended 11/2010)

Requests/applications for various exemptions (homestead, veterans, senior etc.) submitted to the assessor.

a) Exemption Requests/Applications.

Retention: Retain until obsolete or of no further administrative value.

b) Exemption Renewals.

Retention: Retain one (1) year.

c) Veterans Discharges/Exemptions

Retention: Retain original discharge (Federal Form DD214) filed per RIGL§30-18-1 & 30-18-2 permanently. Retain duplicate copies of discharge three (3) years.

Note: Original discharge filed per RIGL§30-18-1 & 30-18-2 may be held by the municipal clerk (see LG1.4.4).

Note: Exemption information may be recorded on the property record card and is recorded in the tax roll.

LG3.1.3 Notice of Change of Address

Notification of change of address filed with the municipality.

Retention: Retain one (1) year after posting.

LG3.1.4 Special Assessment Records

Records documenting the payment of special assessments fees.

Retention: Retain seven (7) years after satisfaction of payment.

LG3.1.5 Field Cards

Property Assessment Record of all properties and buildings in the municipality. May be used as a worksheet for determining the value of a property. Contains the following information: record of ownership, comparable sales data, property factors (topography, street, trend, improvements), building permit record, assessed value, land value computation and summary, picture of property and memoranda. May include supporting documentation such as copies of deeds and sales abstracts and sketches of property.

Retention: If used as a worksheet, retain until updated or superseded or of no further administrative value. If the field card is the property record card, see Retention: for LG.3.1.6 below.

LG3.1.6 Property Record Card

Property Record Card of all properties and buildings in the municipality. Includes the following information: Owner; ownership history or chain of title; site information (topography, utilities, location, street, easements, view etc.) land valuation data, assessed value, property details (house style, roof style & cover, exterior walls); Interior data (HVAC, basement, foundation, walls, floors, bathrooms, amenities) and buildings summary. Also includes digital photographs, photographs or drawing of properties. May include DEM or municipal certifications for land use.

a) Property Record Cards, including photographs, prior to computerization.

Retention: Permanent.

b) Property Record Cards born electronic including digital photographs.

Retention: Permanent. Records must be backed up and backup stored off site. In the event software is replaced, all prior data must be migrated to the new system. Retain old data and software one (1) year after testing of system and verification of data migration.

LG3.1.7 Permits

Copies of permits/notices for building, electrical, mechanical, plumbing, and heating work used for tracking assessment changes in properties. May be held with the field or property record card (RIGL § 23-27.3-114.1.1).

Retention: Retain until of no further administrative value.

Note: Official or record copy of permits issued are held by Building Official and is retained as long as the building or structure remains in existence (RIGL § 23-27.3-108.7 - See LG7.1.2).

LG3.1.8 Records of Certification of Forest and Open Space.

Records from DEM or municipality that certify land as forest, farmland or open space. Includes annual form sent out by assessor and returned from property owners that wish or do not wish to maintain their properties as open space/forest/farmland and certified return receipts.

RIGL § 44-27-1 to 13., § 44-5-12 (b)., § 44-5-39.

a) Annual forms and certified/registered return receipts.

Retention: Retain one (1) year after renewal or lapse of classification.

b) DEM or municipal certifications for land use.

Retention: Retain until updated or superseded.

c) Copies of notices of land use change tax and tax bills.

Retention: Retain until satisfaction of payment.

LG3.1.9 Tax Books

Lists that indicate all assessed taxes on real and personal property. Includes name of owner of property, address, assessed worth and exemptions (RIGL § 44-5-20).

a) Authorized or warranted copies of real estate tax books, rolls or lists.

Retention: Permanent.

b) Motor vehicle tax books.

Retention: Retain ten (10) years.

c) Duplicate copies.

Retention: Retain until updated or superseded.

Note: Official or record copy may be held by Municipal Tax Collector or Municipal Clerk.

d) Working Copies of Tax Books

Retention: Retain until of no further administrative value.

LG3.1.10 Plat Maps

Assessor's copy of plat map or plat book that contains the legal description of land, showing the division of the land into streets, blocks and lots and indicating the measurements of the individual parcels. Indicates legal plat and lot numbers (RIGL § 34-13-1.).

a) Official or record copy.

Retention: Permanent.

b) Copies.

Retention: Retain until updated or superseded.

Note: Official or record copy may be held by the Office of the Municipal Clerk.

LG3.1.11 Personal Property File

Annual statement of valuation of property filed with the office of the municipal assessor relative to RIGL §44-5-15. for the purpose of tangible property tax assessment of businesses. May include the following supporting documentation: application for abatement (RIGL § 44-5-26), attached list of tangible property, tax roll printout, permit information, notes and information regarding the dissolution of the business, reports and worksheets.

a) Annual returns with attachments.

Retention: Retain ten (10) years.

b) All other records.

Retention: Retain six (6) years after file has become inactive. Periodically weed superseded or non-essential information.

Note: Files that remain open for collection of back taxes after dissolution of the business should be retained ten (10) years from date the business was dissolved.

LG3.2 Revaluation Records**LG3.2.1 Revaluation Records**

Records of the physical revaluation conducted per RIGL § 44-5-11 & 44-5-11.5. Includes inventory and hearing records. May include reports and cards used by agency/vendor performing assessment.

Retention: Retain until next physical evaluation or statistical update is completed and certified.

Note: Assessed value of the property as well as any changes to the property is recorded on the property record card.

LG3.2.2 Statistical Updates

Records of statistical updates conducted every three years between the physical evaluation conducted per RIGL § 44-5-11 & 44-5-11.5 on the ninth year. May include questionnaires mailed to and submitted by taxpayers and hearing records.

Retention: Retain until next physical evaluation or statistical update is completed and certified.

Note: Assessed value of the property as well as any changes to the property is recorded on the property record card.

LG3.2.3 Land Value Maps

Assessor's maps that show land base values by areas, sections or neighborhoods. Includes plat and lot numbers. Updated in conjunction with statistical and physical revaluations.

a) Original updated map or mylar

Retention: Permanent.

b) Copies

Retention: Retain until of no further administrative value.

LG3.3 Board of Assessment Review**LG3.3.1 Board of Assessment Review Records**

Records of the board (or municipal council where there is no Board of Assessment Review) that considers abatements of property taxes and land use classifications. Includes but is not limited to application for abatement of property tax; decisions of assessor denying request; copies of tax bills; account summaries; requests for hearing/appeal; reports; agendas, meeting notices, minutes and final determinations/decisions from the Board (RIGL § 44-5-26).

a) Agendas, meeting notices, minutes and final determinations/decisions.

Retention: Permanent.

b) All other records.

Retention: Retain three years after appeals exhausted and final determination.

LG3.4 Administration**LG3.4.1 Street Listing**

Property lists by street address used by staff and general public for research purposes. May include plat and lot numbers (or block and parcel), property owners, and land and building values. May include 911 street listings.

Retention: Retain until updated or superseded.

LG3.4.2 Chain of Title

Summary of ownership of property within the municipality. May include the following: Plat and lot numbers, type of deed, sale price of property, date recorded in the land evidence records, and book and page number references to the land evidence records.

Retention: Permanent. If replacing card or updating format, verify that all previous information has been transferred to new card or format.

Note: This series may be held by the Municipal Clerk. Chain of title information may also be noted in the field or property record cards.

LG3.4.3 Cost Manuals

Pricing schedules used to determine land, building and motor vehicle values for tax assessment.

a) Land and Building cost manuals prior to computerization.

Retention: Retain until of no further administrative value.

b) Land and Building cost manuals integrated with software programs.

Retention: Retain one (1) year after software is updated or superseded and verification of data migration.

c) Motor vehicle cost manuals.

Retention: Retain monthly and annual copies until obsolete or of no further administrative value. No Certificate of Records Destruction required.

LG3.4.4 Automobile List

Used to calculate assessments, this annual record from the Department of Administration lists all motor vehicles registered within the municipality. Includes name of owner, address, license number, vehicle identification number, registration activity, and year and value of motor vehicle.

Retention: Retain until updated or superceded. No Certificate of Records Destruction required.

LG3.4.5 Certified Statements of Valuations

Annual Report of the assessor's statement of assessed valuations and tax levy for the municipality. Includes gross assessed values, exemptions (real property, motor vehicles), and net assessed values (RIGL § 44-5-22).

Retention: Permanent.

LG3.4.6 Property Transfer Listing

Worksheets or copies of deeds used to update files and chain of title cards.

Retention: Retain until of no further administrative value. No Certificate of Records Destruction required.

LG3.4.7 Sales Abstracts Report

Department of Administration Form D-1 sent to the Office of Municipal Affairs for the reporting of all real estate conveyances no later than 60 days after the deed of conveyance is recorded in the land evidence records of the municipality.

Retention: Retain three (3) years after audit.

LG3.4.8 Municipal Assessments Report

Annual report/list sent to the Department of Administration that summarizes the amount and type of assessments by state code (RIGL §44-5-44).

Retention: Permanent.

LG3.4.9 Sales and Market Analysis Records

Records used to determine true market value of a property. Included are sales data and questionnaires.

Retention: Retain until of no further administrative value.

LG3.4.10 Reports

Internally generated reports including but not limited to reports and returns to other municipal departments and state agencies.

a) Daily and weekly reports.

Retention: Retain one (1) year.

Note: Reports required in audit process must be retained one (1) year after audit is completed.

b) Monthly, quarterly and periodic reports.

Retention: Retain three (3) years.

c) Annual and special reports and studies.

Retention: Permanent.

LG3.4.11 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. (RIGL §38-1-10, §38-3-6, and §42-8.1-10.)

Retention: Permanent.

LG3.4.12 Decisions (New series added 9/2013)

Correspondence and copies of decisions of the Rhode Island Vehicle Value Commission relative to appeals by taxpayers regarding the taxable value of motor vehicles. Includes correspondence from the municipalities to taxpayer informing them of the decision/s of the Vehicle Value Commission as well as decisions and correspondence of the municipal assessor for motor vehicle appeals not heard by the Commission.

a) Decisions by the assessor relative to values of motor vehicles.

Retention: Retain ten (10) years.

LG3.4.12 Decisions (continued)**b) Copies of decisions of the Vehicle Value Commission**

Retention: Retain three (3) years.

Note: Abatements of taxes, including excise taxes of motor vehicles are recorded in the minutes of the Municipal Council. Decisions of the assessor or Board of Assessment Review regarding real estate are permanent records (See LG3.3.1)

See also:

GRS1 Executive, High-Level and Policy Making Records

GRS2 Legal Records

GRS3 Safety and Security Records

GRS4 Facilities Records

GRS5 Daily Operations Records

GRS6 Records Management Records

GRS7 Information Management Records

GRS8 Fiscal Records (if not fiscal authority)

GRS9 Personnel Records (if not delegated authority)

All GRS schedules are available at <http://www.sos.ri.gov/archives/recordschedules/>

RECORDS RETENTION SCHEDULE

LG4

Records of Municipal Boards, Commissions, Committees
and Councils including Town and City Councils and
Schools Committees

July 1, 1993
(Reissued May 2004)
(Revised January 2009)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903

Records Retention Schedule LG4

Municipal Boards, Commissions, Committees and Councils

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of thirteen (13) separate sets of records, or series, recognized as those records generated by municipal councils. Included in each entry is a series number, records series title and description, and a retention period. For example,

<u>Series No.</u>	<u>Series Title & Description</u>	<u>Retention Period</u>
LG4.2.6	Local Rules and Regulations: Not Adopted May include sets of rules and regulations that govern a particular aspect of municipal development on the local level.	Ten years; then review.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist _____ & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS or GRS (General Records Schedules).
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating retention, do not count the year in which the records were created.
If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

Municipal Boards, Commissions, Committees and Councils

LG4.1 Meetings & Hearings (Formerly LG4.1.1 through LG4.1.11)

Accounts of the proceedings and actions of any board, commission, committee or council. Included are Council Meetings, Commission Meetings, Committee Meetings, Board Meetings, Business Meetings, Financial Town Meetings, School Committee/Board Meetings, Special Meetings, Task Forces, Work Sessions, Executive Sessions and Hearings. Includes minutes, transcripts, recordings and notes.

Also includes council packets assembled for a meeting. May include notices of meetings, warrants, agendas, meeting dockets, roll call, copies of official minutes, claims, correspondence, complaints, licenses, applications, bids, blueprints, petitions, waivers, reports, legal opinions, financial studies, budgets, election certificates, tallies and returns, declarations, recommendations, special local legislation, amendments to council rules, ordinances and resolutions, background papers, staff reports and supporting documentation.

(a) Town and City Council Meetings

Accounts of the proceedings and actions of the municipal council.

Retention: Permanent. Microfilm annually and store master film off-site. Weed duplicative materials (previously identified in approved municipal or general records control schedules) from council packets excepting unique supporting records and those records specifically created for the meeting.

(b) All Other Meetings of Municipal Boards, Commissions, Committees and Councils including Hearings, Executive Sessions, Business Meetings, Special Meetings, Financial Town Meetings and School Board/Committee Meetings.

Retention: Permanent

(c) Recordings

Recordings (audio or video) of meetings and/or hearings (that provide verbatim account of proceedings) created for purposes of creating the minutes and/or a transcription of the meeting.

Retention: Retain six (6) months after verbatim transcription and approval of minutes or proceedings, or retain five (5) years if recordings are not transcribed. Retain transcripts permanently.

Note: Retain tapes permanently (unless transcribed) of proceedings, debate or actions of municipal boards, commissions, committees or councils document significant or landmark issues.

(d) Stenographers tapes and notebooks.

Retention: Retain six (6) months after verbatim transcription and approval of minutes or proceedings. If not transcribed, retain five (5) years. Retain transcripts permanently.

Note: Zoning Boards of Review – Retain stenographic records or sound recordings until transcribed or until all time for appeals is exhausted plus six (6) months (RIGL§ 45-24-61 & 45-24-69). Retain transcripts permanently.

Note: Boards of Canvassers – Any stenographic record taken per RIGL 17-10-6 (Evidence given at final canvass) shall be retained permanently.

Municipal Boards, Commissions, Committees and Councils

LG4.1 (Continued):

(e) Meeting Notes

Working notes of the clerk of the council, committee, board or commission that are used only as an aid to the preparation of the minutes.

Retention: Retain until meeting minutes approved. No notification required.

(f) Recordings for Public Broadcast

Video or digital images created of the proceedings of any municipal board, commission, committee or council and used for public broadcast.

Retention: Retain three (3) years.

Note: Retain tapes permanently (unless transcribed) if proceedings, debate or actions of municipal boards, commissions, committees or councils document significant or landmark issues

See also: GRS1.8 (Open-Government E-Filing Records)

LG4.2 Regulatory Matters

Includes local legislation in which the municipality has an interest or has been involved.

LG4.2.1 Ordinances: Adopted

May include lists of all ordinances, ordinance number and ultimate decision.

Retention: Permanent. Microfilm annually and store master film off-site.

Note: Maintain certified copy of all official ordinances in a separate ordinance file.

LG4.2.2 Ordinances: Not Adopted

May include lists of all proposed ordinances, the pro-poser (e.g. dept., board, ward, councilor), ordinance number and ultimate decision (e.g. adopted, changed, withdrawn, in committee indefinitely).

Retention: Retain ten (10) years then review.

LG4.2.3 Resolutions: Adopted

May include lists of all resolutions, resolution number and ultimate decision.

Retention: Permanent. Microfilm annually and store master film off-site.

Note: Maintain certified copy of all official resolutions in a separate resolution file.

Municipal Boards, Commissions, Committees and Councils

LG4.2.4 Resolutions: Not Adopted

May include lists of all proposed resolutions, the pro-poser (e.g. dept., board, ward, councilor), resolution number and ultimate decision (e.g. adopted, changed, withdrawn, in committee indefinitely).

Retention: Retain ten (10) years then review.

LG4.2.5 Local Rules and Regulations: Adopted

May include sets of rules and regulations that govern a particular aspect of municipal development on the local level.

Retention: Permanent.

LG4.2.6 Local Rules and Regulations: Not Adopted

May include sets of rules and regulations that govern a particular aspect of municipal development on the local level.

Retention: Retain ten (10) Years then review.

LG4.2.7 State Legislation: Proposed

May include local constituency requests to amend or change existing state laws.

Retention: Retain ten (10) years then review.

LG4.2.8 Notifications

Notifications sent to taxpayers, abutters and citizens relative to proceedings before any municipal board, commission, committee or council. May include certified mail receipts and returned mail.

Retention: Retain seven (7) years.

LG4.2.9 Registered/Certified Mail Log Book

Log used to document all certified and registered mailings relative to LG4.2.8.

Retention: Retain seven (7) years from last entry.

LG4.3 Appointments

May include lists of boards, commissions, committees or councils, notices of appointments and resignations, lists of members with terms and dates of appointment and the code or executive order establishing the local board, commission, committee or council.

Retention: Permanent.

Municipal Boards, Commissions, Committees and Councils

LG4.4 Correspondence (formerly LG4.4.1 through LG4.4.2)

Often referred to as General Correspondence or General Administrative Files.

(a) Correspondence - Routine Nature

Retention: Retain one (1) year

(b) Correspondence – Special

Retention: Retain three (3) years.

LG4.5 Certification of Records Destruction (formerly LG4.4.3)

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.
(RIGL § 38-1-10, § 38-3-6, and § 42-8.1-10.).

Retention: Permanent.

See Also:

GS #1 General Office, Administrative, Fiscal and Reference Records
GS #2 Personnel and Payroll Records

GRS #1 Executive, High-Level and Policy Making Records
GRS #2 Legal Records
GRS #3 Safety and Security Records
GRS #4 Facilities Records
GRS #5 Daily Operations Records
GRS #6 Records Management Records

All general schedules are available at http://www.sec.state.ri.us/Archives/general_schedules/
(Revised January 2009)

RECORDS RETENTION SCHEDULE

LG5

Public School Records

September 2001
(Reissued March 2008)
(Reissued October 2009)
(Amended August 2013)
(Amended September 2013)
(Amended May 2016)
(Amended August 2016)
(April 2017)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903

Records Retention Schedule LG5

Public School Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of 136 separate sets of records, or series, recognized as those records created or maintained by municipal public schools/school districts. Included in each entry are a record series number, series title and description, and a retention period. For example,

<u>Record Series #</u>	<u>Record Series Title & Description</u>	<u>Retention Period</u>
LG5.1.31	Student Rosters Lists of student names by homeroom, program or special service. May include teacher name and total students.	Retain until of no further administrative value.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
(401) 222-2353

**State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration**

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating retention, do not count the year in which the records were created.
If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

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Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.1	Student Records	
LG5.1.1	<p>Student Record Folders Cumulative file of individual student records that contain the following elements: Name, address, birth data and social security number of student, personal and family history including parents' names, occupation, and name of family physician, entrance and withdrawal record, scholastic and attendance record, standardized testing data, school rank, and transcript record. Other information may include childhood diseases and immunization data, entrance application, school and after-school activities, home language assessment surveys, disciplinary actions, copies of report cards and class schedules, reviews and recommendations for college entrance applications, student employment information, and Authorizations for Release of Confidential Information (34CFR99.32(2)).</p> <p>(a) Permanent Record Card. Includes student's name, address, phone number, scholastic and attendance record, classes attended, grade level completed, year completed, objective test data and birth/biographical data. (Board of Regents. Rule 27. Student Record System.)</p> <p>(b) All other records.</p>	<p>Permanent.</p> <p>Retain five (5) years after student leaves program or five (5) years after student reaches the age of eighteen (18), whichever is longer.</p>

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.1.2	Student Transfer Records Records documenting transfer of a student to another school. May include requests of parents, approvals, memos and correspondence.	Retain one (1) year.
LG5.1.3	New Student Checklist Indicates name and pertinent data of transfer, new students, receipt dates of required records and forms.	Retain one (1) year.
LG5.1.4	Student Emergency Forms Annual file of student emergency contact information. Contains parent/guardian address and phone numbers. May include information on medical conditions.	Retain one (1) year.
LG5.1.5	Student Release to Adult Records File of forms that stipulate who can/cannot pick up a child from school, used by school personnel to control the release of a child to an adult. May contain Standing Restraining Orders.	Retain three (3) years.
LG5.1.6	Student/Parent Awareness Records Annual forms signed by student and parents, affirming they have read the student handbook and will abide by its codes, policies and regulations. Policies may include computer/internet acceptable use policy.	Retain until of no further administrative value.
LG5.1.7	RI Department of Labor and Training Work Permits Work permits issued to minors by authorized school personnel for after-school employment.	Retain one (1) year.

Note: Record copy maintained by the Department of Labor and Training.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.1.8	Registered Driver Education Certificates Copies of driver education certificates issued to students who have completed the necessary requirements. RIGL§31-10-19, CRIR G-14.7.1	Retain seven (7) years from issuance.
LG5.1.9	Vocational Program Application Forms Student data request forms (4 part) for placement in area vocational-technical schools. (a) Applications accepted. (b) Applications denied. (c) All other copies.	Retain one (1) copy in Student Record Folder. Retain three (3) years. Retain until of no further administrative value.
LG5.1.10	Teachers' Student Files Files compiled and maintained by teacher on individual students. May include notes on student's class work, behavior, achievement level, areas of learning difficulty, and examples of class work and notes.	Retain until final grades and testing data posted.
LG5.1.11	Student Discipline Records Records documenting disciplinary actions taken. May include detention slips, student referrals, incident reports, action taken / recommendation, suspension notifications, letters to parents. May also include truancy records or files kept by the truant officer. These files may include but are not limited to truancy record/summary of court activity, correspondence, attendance/absentee data and copies of student entrance/update application.	Retain in accordance with school/school district policy.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.1.12	Student Expulsion Records Records documenting student expulsion from school. May include incident report, statements of witnesses, police report, parental notice, student record, request for disciplinary hearing, hearing minutes, recommendations and decisions.	Retain in accordance with school/school district policy.
LG5.1.13	Health Record Card Records health and medical information on individual students. May include the following information: name, DOB, gender, address, phone number, family physician, school attended, parent/guardian name, emergency contacts with phone numbers, notations on diseases/allergies/immunizations, including dates and tests, operations, growth record (height/weight), date of health examination including date/grade/parent present/physician's initials, date of dental examination, dates of vision and hearing tests, health screenings, physicians' recommendations. May include doctor's notes, medication authorizations and excuses from school or physical activities	Retain five (5) years after student leaves program or five (5) years after student reaches the age of eighteen (18), whichever is longer. (Rules and Regulations for the Licensing of School-Based Health Centers (R23-SBHC) July 2002, Section 14 Health Care Records)
LG5.1.14	Student Special Education Records Records documenting special education services provided to a student. Includes referral documents, evaluation records (which may include psychological, educational, social, speech and language, medical, psychiatric, neurological, physical therapy and occupational therapy), Individual Educational Plan (IEP), correspondence and regulatory forms and Authorizations for Release of Confidential Information (34CFR99.32(2)).	Retain five (5) years after student leaves program* or five (5) years after student reaches the age of eighteen (18), whichever is longer. <i>*Note: Students may remain in program until age 21.</i>
LG5.1.15	Request to Destroy Records Form indicating request of parent/guardian to destroy student special education records.	Retain in Student Special Education Records file for the specified period. (See LG5.1.14)

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.1.16	Student Guidance Records Individual student files compiled and used by guidance counselors. May include, but are not limited to, ethnic and home language surveys, information about attendance, academic progress, school and extra-curricular activities, awards, scholarships, leadership positions, incident and discipline reports, notices to parents, correspondence to and from employers of students, teacher reports about students, counselor interviews, service referrals, vocational and career guidance, course enrichment requests.	Retain five (5) years after student leaves program or five (5) years after student reaches the age of eighteen (18), whichever is longer.
LG5.1.17	Student Job Training Files Case files of individual students involved in job-training/school to work programs. May include application to the program, parental permission forms, evaluations and assessments.	Retain five (5) years after student leaves program or five (5) years after student reaches the age of eighteen (18), whichever is longer.
LG5.1.18	Home Schooled Student Records Records documenting student instructed at home, and by public law (RIGL§ 16-19-2.) maintained in the school. May include parental home schooling request, approval from the school committee, periodic attendance record, monthly plan of instruction (curriculum forms), quarterly progress reports (written evaluations, dated work samples or other mutually agreed upon means of evaluation), tests and scores. The file may also include parental request for textbooks or other instructional materials, forms requesting participation in the State's standardized testing program, and standard emergency information forms for students who will be tested in school.	Permanent unless pertinent data is transferred to Permanent Record Card. If data is transferred to Permanent Record Card, then retain supporting records five (5) years after student leaves program or five (5) years after the student reaches the age of eighteen (18), whichever is longer.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.1.19	Homebound Student Records Records of students who are instructed in their homes, due to illness or disabilities, by school employed tutors.	Retain five (5) years after student leaves program or five (5) years after student reaches the age of eighteen (18), whichever is longer.
LG5.1.20	Preschool Screening and Child Find Records Case file for pre-kindergarten children for screening of speech, hearing, vision, and development. May include developmental questionnaire completed by parent, parental permission form, confidentiality statement, authorization to release information, health record, registration forms, test results, evaluations, IEP conference sheet, First Step Record, recommendations, referrals.	Retain until child/student reaches third grade or until information becomes obsolete due to new testing.
LG5.1.21	Student Referrals and Placement Recommendations Records of students referred to special service, special education or ESL programs based on testing and IEP scheduling and recommendations. May include referral records, student activity logs, parental permission form, evaluation notices, authorization to release information, and correspondence.	Transfer pertinent data to relevant student file.
LG5.1.22	ESL Student Files Individual files on students participating in the English as a Second Language (ESL) Program. Includes biographical data, school history summary, correspondence and permission and termination forms. May include testing and scoring records, placement/assessment data sheet, home language survey, RIDE Census forms, and native country school records.	Retain two (2) years after exit from program and after transferring pertinent documentation into student record folder (LG51.1.).

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.1.23	Student Progress and Monitoring Records Files of progress reports and monitoring forms, especially for students in ESL, Special Education and vocational programs. Used by administrators, program directors and counselors.	Retain two (2) years after exit from program and after transferring pertinent documentation into student record folder (LG51.1.).
LG5.1.24	Waiver for Non-Participation in ESL Program Form that indicates parents' refusal for student to participate in ESL Program.	Retain one (1) year, then transfer to student record folder (LG5.1.1.).
LG5.1.25	Foreign/Non-Immigrant Student File File of Certificates of Eligibility for Non-Immigrant Student Status (F-1, & M-1). Includes the form submitted by the foreign student seeking student status, letter from the superintendent accepting the student into the school system, and may include copies of forms from/to Immigration and Naturalization Service.	Retain one (1) year after student leaves program.
LG5.1.26	Student Registrations Yearly account of all students enrolled in school/district. Information includes name of student, gender, age, names of parents or guardians, entrance and exit date, and daily attendance. May include registration applications. RIGL § 16-12-4. (a) Annual registration report. (b) Registration applications. (c) Teacher's Attendance Registers	Permanent. Retain one (1) year. Retain until of no further administrative value.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.1.27	Student Class Schedules Yearly schedule of individual students. Includes name, address, names of parents/guardians, date of birth, and phone number. May include class listing, course titles, homeroom number, teachers' names, course numbers and credits.	Retain until of no further administrative value.
LG5.1.28	Student School Entrance/Exit Data Form Form completed by schools for all students for purposes of needs assessment of students entering the system. (Board of Regents - Rule33-C - Special Populations: Compensatory Education)	Retain five (5) years.
LG5.1.29	Student Test Results Compiled standardized test results. May include analyses, summaries by grades, departments, school or district. <i>Note: Record copies of standardized test results are maintained by the Department of Elementary and Secondary Education and are permanent records.</i> <i>Note: For retention on individual student test results see LG5.1.1</i>	Retain until of no further administrative value.
LG5.1.30	Absence Lists Daily or periodic lists of absences for students and teachers, including absences due to special authorized events (e.g. band).	Retain until of no further administrative value.
LG5.1.31	Student Rosters Lists of student names by homeroom, program, or special service. May include teacher name and total students.	Retain until of no further administrative value.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.1.32	Student Detention Lists Daily list of students with detention. Includes name, homeroom, phone number and reason for action.	Retain until of no further administrative value.
LG5.1.33	Students with Reduced/Free Lunch Annual lists of students receiving reduced or free lunch, breakfast or milk. May include periodic updates. <i>Note: Record copies of lists are maintained by the district/food service company. See LG5.5.2.</i>	Retain until of no further administrative value.
LG5.1.34	Student Enrollment Records Records documenting student enrollment. May include enrollment figures, figures of students removed from roll, periodic reports on student enrollment, with breakdown by grade, program, school, or other classifications. (a) Annual enrollment figures. (b) Periodic enrollment updates.	Permanent. Retain one (1) year.
LG5.1.35	Student Vehicle Registration Cards Annual file of students parking their vehicles on school property. Information includes vehicle identification and assigned parking space, make and model of car, student's address and homeroom and car owner's name. May include applications for parking space.	Retain until of no further administrative value.
LG5.1.36	Student Locker Assignments Annual file of current student locker assignments and lock combinations.	Retain until of no further administrative value.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.1.37	Students on Federal Property File File of student-parent surveys to determine if a student lives on federal property or has parents employed on federal property. Used by Business Office for federal funding.	Retain until updated or superseded or until of no further administrative value.
LG5.1.38	Field Trip Records Records relating to student field trips and other events off the facility grounds. May include teacher requests for permission to make field trips, programs of events, permissions or denials, transportation and chaperoning agreements, parental permission forms, and evaluations. (a) Permission forms/slips signed by parents. (b) All other records.	 Retain one (1) year. In the event of accident or injury, retain three (3) years after minor reaches the age of eighteen (18) years. Retain one (1) year.
LG5.1.39 (Added 5/2016)	Academic program application records Records relative to the application process for advanced or accelerated learning academic programs offered by the school district. May also include applications for tutoring programs and enrichment programs. Records may include but are not limited to: initial application by student, parent nomination forms, teacher recommendations and evaluations of students, copies of report cards, self assessments, requests for alternative testing, and correspondence.	Retention: Retain three (3) years after the student is no longer in the program. <i>Note: Copies or portions of the records may reside at the specific school offering the program. Student academic achievement data is recorded in the cumulative/permanent record (See LG5.1.1-Student Record Folders).</i>

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.1.40 (New series added 4/2017)	Student 504 plans Pursuant to Section 504 of the Rehabilitation Act of 1973 as amended, the local education authority (LEA) / School District is required, if receiving federal financial assistance, to accommodate students with disabilities to a free appropriate public education (FAPE) through reasonable accommodations or modifications. Records include but are not limited to: Notice of Section 504 Referral/Eligibility Meeting; Notice of Section 504 Disability Determination; Notice of Parent and Student Rights under Section 504; Grievance Policy and Procedure; Grievance Filing Form; Notice of Section 504 Meeting; Section 504 Accommodation Plan and any other records as required by the Act a) Student 504 records b) Policies and procedures of the LEA required under the Act.	 Retain five (5) years after the student leaves program or five (5) years after student reaches the age of eighteen (18), whichever is longer. Permanent. See GRS1.3 Policy and Procedures
LG5.1.41 (New series added 4/2017)	Residency Investigations Records of student residency investigations conducted by truant/residency officer or designated school official and submitted by the official or school Principal to the Superintendent. May include but is not limited to residency check requests, correspondence (email), copies of notices to parent or guardian and supporting documentation.	 Retain until of no administrative value but no less than three (3) years.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.2	Teacher Records <i>Including Substitute Teachers, Teacher Assistants, Counselors, Therapists, Library Staff, Student Teachers, Instructors, Tutors, Mentors, Coaches, and Other Personnel Responsible for Leading Students.</i>	
LG5.2.1	Teacher Certification Records Records relating to the certification of teachers. May include applications for initial certification, evidence of certification, requests for emergency certification, revocations of certification, and rosters of certified teachers. (a) Copy of original and most recent certification. (b) All other records.	 Retain as part of teacher's personnel folder. Retain until updated or superseded or of no further administrative value.
LG5.2.2	Teacher Evaluation File Records of teacher evaluations. May include routine or special evaluations of teachers, student response surveys, supervisory reports, and correspondence.	Retain as part of teacher's personnel folder.
LG5.2.3	Teaching Awards Materials relating to professional awards and recognitions given to teachers. May include invitation to participate in particular competitions, application forms for nominations, correspondence, clippings, and lists of award winners. (a) Awards and award notifications.	 Retain as part of teacher's personnel folder.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.2.3 (Continued)	(b) All other records.	Retain until of no further administrative value. Review for inclusion with School History Records (LG5.4.10).
LG5.2.4	Substitute Teachers Records relating to substitute teachers. May include procedures for procuring/utilizing a substitute teacher, requests for substitute teachers, substitute lists, information about substitutes.	Retain until of no further administrative value.
LG5.2.5	Student Teacher Placement Records relating to the placement of student teachers. May include correspondence with colleges and universities about placement of their students as student teachers, school approvals, assignments, appointments, and evaluations.	Retain until of no further administrative value.
LG5.2.6	Teacher Assistant Records Records relating to teacher assistants. May include programs and standards for teacher assistants, announcements of openings, applications, resumes and cover letters, files of individual assistants, orientation and training materials, lists of workshop assignments, lists of assistants and assignments and correspondence.	
	(a) Unsuccessful job applicant records.	Retain three (3) years.
	(b) Records relating to individuals hired as teacher assistants.	Retain as part of personnel folder.
	(c) One copy of any in-house orientation and training materials or any other programmatic records particular to the school/school system or district.	Permanent.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.2.6 (Continued)	(d) All other records.	Retain of no further administrative value.
LG5.2.7	Schedules File of current schedules of teachers and personnel of all departments who lead students on a scheduled basis or who have scheduled times to consult with students.	Retain until updated or superseded.
LG5.2.8	Training Records Documents relating to training, continuing education and in-service programs for employees. May include correspondence, attendance records, programs and brochures of classes offered.	
	(a) Fiscal records relating to class cost reimbursement.	Retain one (1) year after audit.
	(b) Certifications for completion of classes.	Retain as part of personnel folder.
	(c) One copy of any in-house training materials or any other programmatic records particular to the school/school system or district.	Permanent.
	(d) All other records.	Retain until of no further administrative value.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.3	Athletics Department	
LG5.3.1.	Rhode Island Interscholastic League Records Records of the Athletics Department participation in the Rhode Island Interscholastic League (RIIL). May include Declaration of Intent to Participate forms, requirements to play and consequences for not adhering to rules, and notarized RIIL assumption of risk forms, signed by players and parents, eligibility lists, waiver requests to vary from regulations, memos and correspondence. (a) Assumption of Risk forms. (b) All other records.	 Retain one (1) year. In the event of accident or injury, retain three (3) years after minor reaches the age of eighteen (18) years. Retain one (1) year.
LG5.3.2	Pre-Participation Physical Evaluation Records Case files of physical evaluations of athlete-students.	Retain one (1) year.
LG5.3.3	Activity Records Documents the activities of the Athletic Department. May include, but is not limited to, schedules of meets (games, tournaments, matches), schedule confirmation forms signed by principal, eligibility lists, game narratives and score sheets, summary of yearly activities, correspondence. (a) Activities Annual Report or summary.	 Permanent.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.3.3 (Continued)	(b) All other records.	Retain until of no further administrative value.
LG5.3.4	Promotional Material and Programs Documents kept for public relations, historical, or school-spirit purposes. May include sports programs, posters, brochures, flyers, calendars, materials related to awards, photographs, clippings, and other media recordings.	Retain one copy permanently.
LG5.3.5	Travel and Transportation Records Records of travel and transportation for athletes/athletic department. May include schedules of away games, requests from coaches to Athletic Director for permission to transport students away from school premises, and busing schedules.	Retain until of no further administrative value. In case of accident or injury, retain three (3) years after minor reaches the age of eighteen (18) years.
LG5.3.6	Coaches' Records Records of the Athletic Director relating to coaches, and their certification and training. May include director/coach memos, correspondence, coaches' notes on training and players, coaches' schedules, questionnaires, and checklists.	Retain until of no further administrative value.
LG5.3.7	Game Officials: Referees and Umpires Lists of individuals available to officiate, schedules, calendars, agreements, notes, correspondence.	Retain until updated or superseded.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.3.8	Supply Records Inventories of equipment and supplies. <i>Note: For equipment purchased with grant monies, see LG5.8.2</i>	Retain until updated, superseded, or of no further administrative value.
LG5.3.9	Coaches' Student/Participant Files Individual files on students/players participating in team sports. May include copies of physical examination, copies of report cards and schedules, and information relating to athletic ability.	Retain until student graduates or leaves program.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.4	Library	
LG5.4.1	Card Catalog Card or OPAC listing of library holdings by author, title and subject headings.	Retain until updated or superseded.
LG5.4.2	Shelf List Listing of library holdings arranged by shelf location.	Retain until updated or superseded.
LG5.4.3	Interlibrary Loan Records Requests for books through interlibrary loan system. May include reserve notices, check-in slip, and hold alerts.	Retain until transaction.
LG5.4.4	Overdue Notices/Fines Notices sent to students concerning overdue books and fines owed to library. May include notices and lists of unresolved charges.	Retain until resolution and completion of audit.
LG5.4.5	Vertical/Subject Files Reference or subject materials maintained by the reference staff to aid in information and referral services.	Weed as necessary. Retain until updated, superseded, or obsolete.
LG5.4.6	Donation and Endowment Records Records relating to the establishment and administration of endowments, bequests, and donations. May record donations made in the memory of an individual, group or corporate body or as a book endowment Note: Records which document a significant donation or endowment should be retained permanently.	Retain until of no further administrative value. Review for historical value.
LG5.4.7	Program and Exhibit Files Documents programs, services and exhibits sponsored or co-sponsored by the library. May include, but not limited to, press releases, copies of brochures and mailings, reading lists, memos and correspondence, clippings, photographs, invitations, registration and	

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.4.7 (Continued)	evaluation forms, resumes of exhibitors and lists of participants.	
	(a) One copy of program/promotional literature, any related photographs and exhibit documentation.	Permanent.
	(b) Completed evaluation or survey forms.	Retain one (1) year.
	(c) Reports, summaries or compilations of responses from survey or evaluation forms.	Permanent.
	(d) Other program/exhibit records.	Retain until of no further administrative value.
LG5.4.8	Disaster Preparedness Plan Documents the plan of action to be taken in the event disaster. Written in accordance with the Manual published by the Office of Library and Information Services. RIGL § 29-6-3(e).	Retain current plan only.
LG5.4.9	Complaints Complaints reported to library director/staff. May include complaints regarding programming, material selection, availability, and attached responses and final decisions.	Retain three (3) years. Complaints concerning censorship issues (including filtering) should be reviewed for historical value.
LG5.4.10	Historical Documentation Materials providing documentation on the school's history. May include scrapbooks, photographs, newspaper clippings, yearbooks, programs, school newspapers, newsletters, and events material.	Permanent.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.5	Food Service	
LG5.5.1	State and Federal Food Programs Records Records of the state and federal breakfast, lunch and milk programs. May include application materials for establishing participation, approvals and agreements, policy statements and attachments, notice of public release to local press, guidelines for eligibility and authorized collection procedures and correspondence.	Retain three (3) years after date of final claim for reimbursement for the fiscal year to which they pertain or beyond 3 years until resolution of any audit questions (7CFR210.9, 210.15).
LG5.5.2	School Participation in Public Food Programs Records created for the purpose of administering state and federal programs for free or reduced-price food and milk. Records document the process of soliciting applications from families with student children for participating in the programs, of verifying family eligibility, and of identifying student participants. May include public notices of the programs, invitations to apply, questionnaires and documents submitted by families to verify income, form letters to advise families of eligibility (automatic eligibility for families in Food Stamp/FIP programs), letters to Food Stamp/FIP authorities, lists of eligible families, rosters/lists of student participants, and (for purposes of RIDE reports) surveys and samples of participating families. Also includes production and menu records used for demonstrating that the required number of food components and food items are offered on any given day.	

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.5.2 (Continued)	(a) Administrative and verification records including individual applications (approved and denied) submitted by families.	Retain three (3) years after date of final claim for reimbursement for the fiscal year to which they pertain or beyond 3 years until resolution of any audit questions (7CFR210.9, 210.15).
	(b) Production and menu records.	Retain three (3) years after date of final claim for reimbursement for the fiscal year to which they pertain or beyond 3 years until resolution of any audit questions (7CFR210.10, 210.15).
LG5.5.3	Claims for Reimbursement Documentation of reimbursements from the State to the local school for breakfast, lunch and milk programs. May include meal count sheets, enrollment statistics, worksheets cash reports of food purveyor company and prescribed Department of Education forms (SMP-1, LBSMP-1, LB-3, LB-1b).	
	(a) Copies of DOE forms required for reimbursement and records of revenue and expenditures.	Retain three (3) years after the date of submission of the final Financial Status for fiscal year or until resolution of any audit issues (7CFR210.14 & 15).
	(b) Accounting records including copies of checks issued by the state agency, check stubs, copies of deposit slips and correspondence	Retain three (3) years after audit.
	<i>Note: Records may be held by Municipal Finance Director or School Finance Director.</i>	

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.5.4	Records of Distribution of USDA Donated Food Records of school participation in the USDA Donated Food program. May include the school application for participation in the program, the agreement between the State of Rhode Island and the school district, and program operation records including verification records.	Retain three (3) years from the close of the fiscal year to which they pertain. However, in instances when claims action and/or audit findings have not been resolved, the records shall be retained as long as required for the resolution of such action or findings (7CFR250.16.6b).
LG5.5.5	Licenses Licenses from the Department of Health for serving food on school premises. File may include applications for license, receipts for fee.	Retain until superseded.
LG5.5.6	Food Service Operation Records Records that document daily activities of the food service operation. May include, but not limited to, daily meal and cash reports, reports to RIDE, monthly invoices, purchase orders, procedures manuals, nutrition reference materials and vendor authorization forms.	
	(a) Reports and records the school food authorities will need to support Claims for Reimbursement.	Retain three (3) years after the date of submission of the final Financial Status for fiscal year or until resolution of any audit issues (7CFR210.16).
	(b) All other records.	Retain until updated or superseded.
LG5.5.7	Evaluations of Food Services File of student and staff surveys, evaluations, and suggestions for food services and menu modifications.	Retain until of no further administrative value.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.5.8	Refrigerator/Freezer Temperature Log Record of log sheets of regular and periodic readings of temperatures of refrigerators and freezers that contain food products for consumption within the school premises.	Retain one (1) year.
LG5.5.9	Inspection Reports Reports of annual inspections. May include inspections of school kitchens by the Department of Health and inspections of the food service operation.	Retain three (3) years.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.6	Transportation	
LG5.6.1	School Bus Inspections State of Rhode Island School Bus Inspection Report of semi-annual school bus inspections performed at a state certified facility. RIGL § 31-22-11. <i>Note: Record copy is held by the Department of Transportation, Inspection Division.</i>	Retain two (2) years.
LG5.6.2	Driver Pre-Trip Inspection Checklist Documents daily inspections that bus drivers perform before picking up students. Involves verification that lights, brakes, and safety devices function properly, cleanliness and specified equipment is present RIGL § 31-22-11.4	Retain three (3) years.
LG5.6.3	School Bus Repair and Maintenance Records Record of all maintenance and repairs conducted on all owned, leased or contracted school buses. Included in these records shall be a record of any torque pressure as recommended by the manufacturer. RIGL §31-22-11.2, Board of Regents - Rule 32 - School Transportation.	Retain all records for the life of the vehicle.
LG5.6.4	School Bus Driver Records. File of each school bus driver in district. May include application for school bus certificate, physical exam, state and local bureau of criminal investigation report (BCI), driving records, reports of involvement in any school bus accident, road test results, driver training and retraining reports and certificates, and correspondence.	Retain three (3) years after termination.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.6.5	Busing Notices Copies of letters or notices indicating that a student will be transported by school bus. Used to notify the transportation office and parents.	Retain until updated, superseded or of no further administrative value.
LG5.6.6	Service Requests Letters or messages from parents requesting transportation or change of transportation. May include doctors' notes.	Retain until updated, superseded or of no further administrative value.
LG5.6.7	Schedules and Route Records Bus schedules and route maps. May also include mileage charts, walking distance and mileage studies, class lists, bus stop information, newspaper notices, and correspondence.	Retain until updated, superseded or of no further administrative value.
LG5.6.8	Bus Run Daily Record Daily record or log of each bus run including name of school, bus monitor assigned to that run or the type of continuing or emergency variance used on the run.	Retain one (1) year.
LG5.6.9	Passenger Lists and Service Requests Student passenger bus lists. May include permission and change of pick-up/drop-off forms. (a) Permission forms or slips.	Retain one (1) year. In the event of accident or injury, retain three (3) years from the date of accident or injury.
	(b) All other records and lists.	Retain one (1) year.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.6.10	Transportation Appeals and Decisions Records of decisions and appeals about school transportation. May include denials of bus transportation for a student, documents of appeal process, decisions by school committees, referees, the Commissioner of Education, and courts. RIGL § 16-21.1-5.	Retain five (5) years after final decision.
LG5.6.11	School Bus Violation Detection Monitoring System Records Recordings made by live digital video for purposes of detecting school bus traffic violations. May include logs created for the purposes of indexing events and documenting access to the recordings. a) Camera recordings/images that do not identify a violation <i>Note: Certification of Records Destruction not required</i> b) Camera recordings/images that identify a violation. c) Annual report created pursuant to RIGL §31-51-9.	 Destroy within twenty-four (24) hours of the date the live video was recorded, unless ordered by a court of competent jurisdiction (RIGL §31-51-8). Destroy within one (1) year after the citation is resolved by administrative payment, trial or other final disposition, unless ordered by a court of competent jurisdiction (RIGL §31-51-8). Permanent.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.6.12 (New series added August 2016)	Automated School Zone Speed Enforcement System records Records created pursuant to RIGL 31-41.3-1. Records may include but are not limited to recorded images, aggregate data and reports. a) Images that do not identify a violation <i>Note: Certification of Records Destruction not required</i> b) Images that identify a violation. c) Annual report created pursuant to RIGL §31-41.3-14	 Destroy within ninety (90) days of the date the image was recorded, unless otherwise ordered by a court of competent jurisdiction (RIGL 31-41.3-13). Destroy within one (1) year after citation is resolved by administrative payment, trial or other final disposition of the citation unless ordered by a court of competent jurisdiction (RIGL 31-41.3-13). Permanent.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.7	Facilities	
LG5.7.1	<p>School Facility Plans and Blueprints Records of the buildings and properties of the school district or school. May include, but not limited to, plans, blueprints, materials specifications, maps, addresses, layout and grade, plumbing and electrical diagrams, inventories, schedules of interior finishes.</p> <p><i>Note: For records relating to grant-funded projects, see LG5.8.2</i></p>	Retain as long as the building or structure remains in existence; then review for historical value.
LG5.7.2	<p>Work Orders Record of work performed and completed. Data may include date(s), time(s), order number, location, description of work, authorization, names of persons performing work, itemized labor, equipment, and material information</p>	Retain three (3) years.
LG5.7.3	<p>Permits File of permits for work and receipts for permits issued. (RIGL § 23-27.3-108.1.7.)</p> <p><i>Note: Official or record copy is held by Municipal Building Official.</i></p>	Retain one (1) year.
LG5.7.4	Underground Storage Facilities	See GRS 3.13
LG5.7.5	Asbestos Inspection and Abatement Records	See GRS 3.14
LG5.7.6	Fire Extinguisher Service	See GRS 3.9
LG5.7.7	Building/Land Use Request Records	See GRS 4.4
LG5.7.8	Hazardous Materials Right To Know Files	See GRS 3.15
LG5.7.9	<p>Cleaning and Maintenance Supply List Comprehensive list of all solutions, compounds and other products used in and around the school for cleaning and maintenance.</p>	Retain until updated or superseded.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.8	Administration	
LG5.8.1	Meetings and Hearings Records Accounts of the proceedings and actions of any board, commission, committee or council including School Committees and special committees formed for the purpose of studying a specific topic or problem. May include notices of meetings, agendas, meeting packets, lists of participants, minutes, reports and supporting documentation.	Permanent.
LG5.8.2	Grant Files Records relating to the development of grant proposals to state or federal agencies and administration of grant awards and programs. Grants may include, but are not limited to, those created by Chapter I, Title I, Title II, Title IV, Title VI, Chapter II, DHHS, EESA, FCC, HELP, IASA, RIDE, RIDPA, RIEAP, RISSA, SAFAA, Drug Free Schools Act, Field Service Support Act, Job Training Partnership Act, McKinney Homeless Assistance Act, Perkins Act, RI Council on the Arts, RI Foundation, The Champlin Foundation, E-Rate and The Melville Trust.	
	(a) Grant applications and amendments, final performance, disposition and expenditure reports.	Permanent.
	(b) Financial and programmatic records, periodic performance reports, supporting documents, statistic records, other required and pertinent records.	Retain ten (10) years from submission of closeout and final expenditure report or submission of annual financial status report for grants renewed annually.
	See Notes.	
	(c) Real property and equipment records.	Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.8.2 (Continued)	(d) Income transaction records (earning of income) after grant support. Where required by the terms of the grant. See Notes.	Retain ten (10) years from the end of fiscal year in which the income is earned.
	(e) Unsuccessful grant applications. <i>Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the 10 year period, the records must be retained ten (10) years after completion of the action and resolution of all issues which arise from it.</i> <i>Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years.</i> (RIGL § 9-1-17)	Retain three (3) years.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.8.3	Policies, Procedures and Guidelines Policies, procedures, guidelines, and plans of the school, school system or district. May include, but are not limited to, policies on open meetings and requests for public records, on sexual harassment, on discrimination, affirmative action, visitors to school, differentiated diplomas, procedures for reporting child abuse, for requesting variances to regulations/waivers, guidelines for curricula development, for operations, for interpreters, for counseling students with disabilities, compliance procedures, mission and conflict of interest statements, hand-books and codes, organizational charts, standards, rules and regulations.	Retain one record copy permanently.
LG5.8.4	Programs and Project Records Cumulative files documenting the development of programs and projects, including Charter Schools. May include policy statements, studies, surveys, questionnaires, project descriptions, plans, specifications, proposals, agreements, guidelines, correspondence, memoranda, meeting records, press releases, cost estimates, budget information, resolutions, evaluations, and reports. (a) Final report and essential supporting documentation for projects/programs implemented. (b) Reference records and projects/programs not implemented. <i>See Also LG5.8.3 – Grant Records</i>	Permanent. Retain until obsolete or of no further administrative value.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.8.5	Reports and Studies Internally generated or commissioned reports and studies, including reports and returns to other municipal departments and state agencies, not including reports to RIDE. (a) Daily and weekly reports. <i>Note: Reports required in audit process must be retained one (1) year after audit is completed.</i> (b) Monthly, quarterly and periodic reports. (c) Annual and special reports and studies.	Retain one (1) year. Retain three (3) years Permanent.
LG5.8.6	Reports to Rhode Island Department of Elementary and Secondary Education Annual, bi-annual and periodic reports required by RIDE. May include, but are not limited to, Form 31, pupil summary data reports, state housing aid reports, busing variance reports, June and Fall reports and any other reports prescribed by the agency. Note: Official or record copy is held by the Department of Elementary and Secondary Education.	Retain ten (10) years.
LG5.8.7	Executive Orders and Proclamations File of messages and proclamations from the Governor. May include, but are not limited to, communications about school holidays, initiation of state-sponsored school programs, messages of support, encouragement, commendations. <i>Note: Record copy is held by the RI State Archives after the Governor leaves office.</i>	Retain until of no further administrative value. Review for historical value if related solely to the school or district.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.8.8	Reference Materials	See GRS 5.11
LG5.8.9	<p>Legal Records Records of a legal nature, court decisions, Commissioner of Education or referee decisions relating to legislation/laws, relating to the school/district, or to schools or education in general.</p> <p>(a) Records and decisions relating to the district or school.</p> <p><i>Note: Record copy may be held by municipal solicitor or school district legal counsel.</i></p> <p>(b) Copies of records and decisions relating to schools or education in general and used for reference purposes.</p> <p><i>See Also: GRS 2 Legal Records</i></p>	<p>Retain record copy permanently.</p> <p>Retain until of no further administrative value.</p>
LG5.8.10	<p>Occupational Safety Files relating to the safety of employees and workers on school property. May include correspondence from / to Department of Labor, Division of Occupation Safety, about violations, compliance orders, agreements.</p> <p>(a) Individual case files of accidents or complaints.</p>	<p>Retain thirty (30) years if employee is exposed to toxic or harmful substances other wise retain five (5) years while the employee is active or five (5) years after complaint or accident reported.</p>
LG5.8.10	(b) Summary log of occupational injury and	Retain five (5) years

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
(Continued)	illness, annual summary and supplemental records. <i>See Also: GRS 9.9 Employee Injury and Health Impairment Records</i>	following the end of the year to which they relate (29CFR1904.6).
LG5.8.11	OSHA Compliance Orders and Reports Copies of compliance orders from Department of Labor and Training, Division of Occupational Safety. May include health or safety citations, work orders, follow-up inspection reports, and letters of full compliance. (RIGL § 28-20)	Retain seven (7) years after final action relating to an inspection or violation.
LG5.8.12	Complaint Files Complaints relating to such issues as transportation, food service, discrimination. May include findings, correspondence, and decisions.	Retain three (3) years after final decision.
LG5.8.13	Incident Reports Reports of incidents on school property or bus stops that involve students. May include description of incident, student biographical data, administrative action taken, copy of police reports, and correspondence with local and state agencies.	Retain five (5) years.
LG5.8.14	Accident Reports Reports of student accidents. May include type, description and location of accident, student biographical data, indication of parental notification and acceptance or refusal of medical treatment, follow-up actions and any attached reports relating to accident.	Retain three (3) years after minor reaches the age of eighteen (18) years. Retain reports three (3) years from date of accident for students eighteen (18) years and older.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.8.15	Injury Log Book Documentation of all minor injuries occurring on the school premises. Information should include date and time of injury, location of where injury occurred, chief complaint, treatment administered, disposition, and signature of responder. CRIR 14 000 011, Section 17.11.2	Retain three (3) years after last entry.
LG5.8.16	First Aid Training Records Documentation that first aid training has been provided to all designated school personnel. CRIR 14 000 011, Section 17.2.1	Retain until updated or superseded.
LG5.8.17	Records of Medication Administered to Students Documentation of medications administered by a certified school nurse or registered nurse to students. CRIR 14 000 011, Section 18.4	Retain three (3) years.
LG5.8.18	Water Quality Records Files relating to the quality of the water on school property. May include communication/reports about water system monitoring, water supply, asbestos and lead contamination of the water supply, cooler inspections, certificates and correspondence.	Retain three (3) years.
LG5.8.19	Air Quality Records Records relating to the air quality within the school facilities. May include testing results, reports and evaluations, complaints, projects and repairs, cost projections and reports, notices of compliance, correspondence.	Retain three (3) years

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.8.20	Inspection Records Records of annual inspections of school property such as boiler, electrical, building, health and fire by municipal and state authorities. RIGL § 23-28.12, CRIR 08 000 004 (E)	Retain three (3) years.
LG5.8.21	Fire Emergency Records Records relating to fire prevention, fire drills or rapid dismissals (RIGL § 16-21-5), and fire emergencies. May include fire prevention materials, codes and regulations, building evacuation plans, drill procedures, schedules and reports.	Retain three (3) years. Update plans and procedures yearly. (RIGL § 16-21-4 to 16-21-5).
LG5.8.22	Solid Waste Receipts File	See GRS 4.9
LG5.8.23	Sex Offender Notifications Forms remitted by parents to receive /not receive names of sex offenders. RIGL § 11-37.1-12.	Retain until updated or superseded.
LG5.8.24	Sign-in / Sign-out Records Log or register of daily visitors, guests, and volunteers who enter school buildings.	Retain one (1) year.
LG5.8.25	Notices and Announcements File of notices, announcements and advertisements for newspaper publication, or to have announcements broadcast on the P.A. system, posted on a bulletin board, or by other means. (a) Notices and announcements for newspaper publication if kept for billing purposes. (b) All other notices.	Retain one (1) year after audit. Retain until no further administrative value.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.8.26	School Calendar School calendar and correspondence relating its approval.	Retain until no further administrative value. Review for historical value.
LG5.8.27	Curriculum Guides Curriculum manuals developed, for grades levels and subjects, by the local district or agency.	Retain one record copy permanently.
LG5.8.28	Listings of Textbooks Annual listings of textbooks. May include inventories, lists of books used at each grade level.	Retain until updated, superceded, or of no further administrative value.
LG5.8.29	Notification of Recognition Notices to the superintendent of a faculty, staff, or student member nominated or selected for an award, honor or recognition.	File copy in Student record folder - LG5.1.1 or staff personnel file.
LG5.8.30	Crossing Guards Files Lists of names and location assignments of crossing guards at each school. May contain correspondence.	Retain until updated or superseded.
LG5.8.31	Union Relations Records	See Labor Relations Records – GRS1.17
LG5.8.32	Medicaid Reimbursement Records Records relating to claims for reimbursement for services given by school to students. May include student eligibility records, forms to the RI Medical Assistance Program, evidence of matching funds where applicable, treatment logs, record of services completed or denied, bills to Medicaid, evidence of checks received, statements and reports.	Retain ten (10) years.
LG5.8.33	School Claims for Reimbursement Records of claims for reimbursement from other agencies or entities for services provided to students. May include claims for rehabilitation services, tuition reimbursement	Retain three (3) years after audit.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.8.33 (Continued)	(including foreign students), transportation, requests and settlements, claims against other cities and towns for providing educational services/shelter to children whose parents reside outside the district, state reimbursement to schools for housing aid projects, other claims for reimbursement to the school and supporting documentation.	
LG5.8.34	Claims for Reimbursement from the School Records of claims from outside agencies for school reimbursement for student special services unable to be provided by the school. (Examples: hospital therapeutic services, foster care placement, vocational-technical school students.)	Retain three (3) years after audit.
LG5.8.35	Records of Scholarship Funds and Trusts Records of scholarships, trusts and endowments. May include account statements, correspondence, copies of award notices, and agreements. <i>Note: Records which document a significant donation or endowment should be retained permanently.</i>	Retain as long as the scholarship, trust or endowment remains active.
LG5.8.36	Construction and Improvement Records Records of construction, renovations, building projects and capital improvements and repairs. May include inspections, proposals, specifications, plans, drafts, meeting notes with architects/contractors, architect's reports, invitations to bid, contracts, reports, and correspondence.	Retain as long as the building or structure remains in existence.

Public Schools Records Retention Schedule

Records Series No.	Record Series Title and Description	Retention
LG5.8.37	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. (RIGL §38-1-10, §38-3-6, and §42-8.1-10.)	Permanent.
LG5.8.38 (Added 5/2016)	Criminal Records Review for Volunteers Files of annual criminal records review of volunteers kept pursuant to RIGL §16-2-18.1, RIGL §16-2-18.4 and RIGL §16-2-18.5. Files include copies of criminal background reports/results and correspondence from the Bureau of Criminal Identification or the local police department indicating the absence or presence of disqualifying information of the applicant.	Retain for three (3) years following the departure of the volunteer, or, in the case of volunteer/applicant that was disqualified, for three (3) years following determination of disqualification.

See Also:

LG2	Financial Records for Municipal Finance Directors, School Business Managers et al.
LG4	Records of Municipal Councils including School Committees
GRS #1	Executive, High-Level and Policy Making Records
GRS #2	Legal Records
GRS #3	Safety and Security Records
GRS #4	Facilities Records
GRS #5	Daily Operations Records
GRS #6	Records Management Records
GRS #7	Information Management Records
GRS #8	Fiscal Records
GRS #9	Personnel Records (if not delegated authority)

All general records schedules are available at <http://sos.ri.gov/divisions/frequent-filers/records-management>

RECORDS RETENTION SCHEDULE

LG6

Police Department Records

September 1994

(Reissued June 1999)

(Reissued May 2004)

(Reissued March 2008)

(Reissued January & September 2009)

(Amended March 2010)

(Amended November 2010)

(Amended September 2013)

(Amended May 2016)

(Amended August 2016)

(Amended March 2017)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903

Records Retention Schedule LG6

Police Department Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of eighty-six (86) separate sets of records, or series, recognized as those records generated by the municipal police departments. Included in each entry is a series number, records series title and description, and a retention period. For example,

<u>Series No.</u>	<u>Series Title & Description</u>	<u>Retention Period</u>
LG6.3.1	Assignment Log/Schedule Daily roster for work/shift. May include officers' names, beats, car numbers, equipment, activities or duties assigned to each officer.	Retain three (3) years.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

**State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration**

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
<div>8. I certify that I have reviewed the above listed records and authorize their destruction.</div> <div>Dept. Head or Records Custodian _____</div> <div>State Archivist & Public Records Administrator _____</div>			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating retention, do not count the year in which the records were created. If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
<u>Operations</u>		
LG6.1	Complaint	
LG6.1.1	Complaint Cards Record of calls to police. Includes information on reporting party, location and nature of incident, time and dispatch information, and disposition.	Record copy may form part of other series; if not, retain five (5) years.
LG6.1.2	Complaint Report Files Records complaint, report, and follow-up of incident. May include complaint report card, incident, accident, misdemeanor, felony, fraudulent check, missing person, domestic violence, supplemental, or other reports, consent to search, witness and Miranda rights statements, property records, arrest, court, processing, and disposition documents, and copies of records from arrest files.	The following retention periods apply unless a case is in litigation:
	(a) Criminal incidents.	Retain until expiration of statute of limitations.
	(b) Non-criminal incidents.	Retain three (3) years.
	(c) Motor vehicle accidents. • if not covered under other categories.	Retain three (3) years.
	(d) Accidental or unexplained death.	Permanent
	(e) Missing persons, unsolved.	Permanent
LG6.1.3	Index to Complaints Name and information on complainant, victim, location, nature of incident, and complaint report reference number. May include date, time, and dispatch details.	Purge with related Complaint Report Files, when obsolete, or administrative value is lost.
LG6.1.4	Field Interrogation Cards Name and identifying information on persons questioned in the field, location, comments and disposition. May include data on vehicle, NCIC checks. Used for informational and analysis purposes.	Retain five (5) years.

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.1.5	Administrative Card/Log Slips Records time taken in additional activities and actions of officers such as court appearances, education, talks, assisting another officer, overtime.	Retain three (3) years.
LG6.1.6	Daily Log/Day Sheet Compilation of complaints, time received, verification, officer number, unit sent, location of call, beat/tab, and summary. May include weather, names of staff off duty and type of leave, prisoners, and other data.	Retain five (5) years.
LG6.1.7	Daily Bulletin Twenty-four hour highlight of activity of a criminal or informational nature. May include date, time, location, beat/tab, MO/suspect or other information, amount of property loss, and complaint number.	Retain one (1) year.
LG6.1.8 (New series added 5/2016)	Protective orders Protective orders are filed with the local police departments pursuant to RIGL §15-15, 8-8.1 and 15-5 and include restraining orders, no contact orders and temporary orders.	Retain one (1) year (RIGL §15-5-19.1) from expiration. <i>Note: Original records of restraining orders are kept by the issuing court and are filed with the Office of the Attorney General relative to RIGL § 12-29-8.1 Restraining order no-contact order system (R.O.N.C.O.)</i>
LG6.2	Dispatch	
LG6.2.1	Radio/Dispatch Log Records date, time, address, type of call, officer/car number.	Retain three (3) years.
LG6.2.2	Dispatch Tapes Audio tapes of calls received and dispatch instructions.	Retain thirty (30) days before re-use.

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.2.3	Dispatch Tape Control Log Records tape number, date/time started, dispatcher number, and comments.	Retain three (3) years.
LG6.2.4	Towed Vehicle Log Records for each vehicle, date and time, vehicle information, officer, locations towed from and to, complaint number, and release information.	Retain one (1) year after all releases recorded.
LG6.2.5	Vehicle Survey Reports Completed report that allows the police department to take possession of an abandoned motor vehicle as per RIGL § 31-42-2. May include attached supporting documentation such as copies of notices to registered owners (s) and lien-holders (s), receipts of registered mail/return receipt requested, undeliverable mail and copies of newspaper notices (RIGL § 31-42-3).	Retain three (3) years after disposition of vehicle and completion of all applicable audits.
LG6.3	Patrol	
LG6.3.1	Assignment Log/Schedule Daily roster for work/shift. May include officers' names, beats, car numbers, equipment, activities or duties assigned to each officer.	Retain three (3) years.
LG6.3.2	Vehicle Inspection Sheets Records car number, mileage, date and time in/out, checklist for vehicle and equipment inspection.	Retain two (2) years.
LG6.3.3	Officer/Cruiser Report Log Records officer's daily activity. May include for each response, times, complaint information, and statistical and other summaries.	Retain three (3) years.

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.3.4	Accident Listings Listing of motor vehicle accidents. May include complaint report number, date, time, verification code, location, operator(s) of vehicle(s), and registration number(s).	Retain until superseded, updated, or of no administrative value.
LG6.3.5	Operation C.A.T. Registrations Completed registration forms for the RI Operation C.A.T.- Combat Auto Theft program.	Retain one (1) year after program discontinued.
LG6.3.6 (New Series added 3/ 2017)	Body Camera and Dash Camera Recordings This series covers the retention for recordings made from body cameras worn by police and dash camera units mounted in police vehicles. Body cameras and dash cameras are used by police departments when responding to complaints, incidents or enforcement encounters, as stipulated by statute, ordinance, or department policy. May include requests for deletion of videos for events specifically stipulated by department policy that should not have been recorded due to privacy concerns. a) Non-evidentiary recordings b) Evidentiary recordings <i>Note: Retain recordings pertaining to legal cases in accordance with GRS2.1 Case Files.</i>	Retain sixty (60) days. Retain until resolution of the investigation, court proceedings (including appeals) or administrative hearing to which they relate. Thereafter recordings will be maintained and destroyed in accordance with the approved retention periods for LG6.1.2 Complaint Report Files.

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.3.6 (Continued)	<p>c) Evidentiary recordings used in internal affairs or use of force investigations.</p> <p><i>Note: Retain recordings pertaining to legal cases in accordance with GRS2.1 Case Files.</i></p> <p>d) Requests for deletion and associated recordings.</p> <p><i>Note: Retain recordings pertaining to legal cases in accordance with GRS2.1 Case Files.</i></p>	<p>Retain seven (7) years. (See LG6.12.8 Internal Affairs Investigations and LG6.12.9 Use of Force Investigations.)</p> <p>Destroy records upon approval of request from department head. Retain requests (approved or denied) three (3) years.</p>
LG6.4	Traffic	
LG6.4.1	<p>Summons Books Book or pad of summonses for violations relating to the operation, control, or maintenance of a motor vehicle. Also called citations, tags, or tickets.</p> <p>(a) Issued summonses (police record copy)</p> <p>(b) Summons book summary sheets (department copy)</p> <p>(c) Summons book receipts (stubs)</p> <p>(d) Used summons books and spoiled/voided summonses</p>	<p>Retain one (1) year after final disposition and audit. <i>In the absence of a final disposition, retain three (3) years. (Retention revised 9/9/2009)</i></p> <p>Retain three years.</p> <p>Retain one (1) year.</p> <p>Retain one (1) year.</p>
LG6.4.2	<p>Transmittal Lists List of summonses issued. Includes summons number, offenders name, officer's number, date, whether paid or hearing required.</p>	Retain one (1) year.

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.4.3	Notices to Appear Notification for officers to appear at hearings.	Retain one (1) year.
LG6.4.4	Parking Citations Citations for non-moving traffic violations.	Retain until successful audit plus one (1) year.
LG6.4.5	Cash Receipts Office copy of receipts for payments of fines.	Retain until successful audit plus one (1) year.
LG6.4.6 (Series added 9/2013)	<p><i>Automated Traffic Violation Monitoring System Records</i> Recordings made by traffic cameras for purposes of enforcement of red light traffic signals. May include logs created for the purposes of indexing events and documenting access to the recordings.</p> <p>a) Traffic camera recordings/images that do not identify a violation</p> <p><i>Note: Certificate of Records Destruction not required.</i></p> <p>b) Traffic camera recordings/images that identify a violation</p> <p>c) Annual report submitted to the Department of Transportation pursuant to RIGL §31-41.2-9</p> <p><i>Note: For retention periods of records of Automated School Zone Speed Enforcements systems and School Bus Violation Detection Monitoring Systems see LG5.6.11 and LG5.6.12 in LG5 Public School Records.</i></p>	<p>Destroy within ninety (90) days of the date the image was recorded, unless ordered by a court of competent jurisdiction (RIGL §31-41.2-8).</p> <p>Destroy within one (1) year after the citation is resolved by administrative payment, trial or other final disposition of the citation unless ordered by a court of competent jurisdiction (RIGL §31-41.2-8).</p> <p>Permanent.</p>

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.5	Animal Control	
LG6.5.1	Animal Complaint Files Animal complaint process and records may be separate from regular complaint report files. Records may include complaint notification and report of action, description of animal and final disposition, notification to owners under municipal ordinances, certification of ownership and release of animal to the animal control officer.	Retain three (3) years.
LG6.5.2	Dog Licenses List of current dog licenses issued by the municipality. Record copy held by municipal clerk.	Retain until updated or superseded.
LG6.5.3	Animal Control Section Check Lists Inspection checklist may include vehicle, equipment, kennel/compound, and activities.	Retain two (2) years.
LG6.5.4	D.E.M./Animal Health Report Logs Logs recording date, animal identification, receiving and disposition information, name and address, and statistical summaries.	Retain five (5) years.
LG6.6	Vehicles and Equipment	
LG6.6.1	Vehicle Records Records relating to each vehicle owned by the police department. May include title, registration, inspection, maintenance, checklists, repair, and incident reports.	Retain one (1) year after disposal of vehicle and completion of successful audit.
LG6.6.2	Police Vehicle Accident Files Records relating to accidents which involved police vehicles. May include copies of complaint report files, photographs, diagrams, witness statements, repair estimates, medical reports, and disposition.	Retain three (3) years unless in litigation. Note: If minor involved, retain three years after minor reaches the age of eighteen (18) years.

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.6.3	Speedometer Calibration Records Test reports for vehicle speedometer calibration.	Retain two (2) years.
LG6.6.4	Radar Reports May include certification of calibration, routine radar check reports, and certification of accuracy for tuning forks.	Retain two years after equipment disposed of.
LG6.6.5	Borrowed Equipment Agreements For equipment borrowed may include person's name and address, description of equipment, date and time checked in and out, and signatures of officer and borrower.	Retain one (1) year.
LG6.7	Detectives/BCI	
LG6.7.1	Detectives Log Daily record logs detectives in/out and reports activity.	Retain three (3) years.
LG6.7.2	Investigations/Assignments Summary Records detectives' names and individual assignments. May include old and new cases, caseload, follow-ups, arrests, cases closed.	Retain three (3) years.
LG6.7.3	Investigation Case Files Detectives copy of cases under investigation. Contains copies from Complaint Report File LG6.1.2.	Retain until case closed or until the information is determined to be no longer of value.
LG6.7.4	Arrest Booking Log Records information on arrested persons which may include date of arrest, name, address, sex, date of birth, offence, complaint report number, arresting officer. May assign arrest booking number and include a section for recording the arrest of persons previously assigned arrest numbers.	Retain three years after last entry.

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.7.5	Arrest Booking Card Information recorded may include name, arrest booking/BCI number, address, date of birth, sex, occupation, physical description, offence, complaint report and arrest booking numbers, and disposition of case. May act as index to arrest files.	Purge with related Arrest File LG6.7.9.
LG6.7.6	Finger Print Cards Finger prints of arrested persons.	Purge with related Arrest File LG6.7.9.
LG6.7.7	Mug Shots Photographs or slides of arrested persons.	Purge with related Arrest File LG6.7.9.
LG6.7.8	Mug Shot Index Acts as index to the photo files. Information may include name, date of birth, race, sex, photo reference and arrest booking number.	Purge with related Arrest File LG6.7.9.
LG6.7.9 (Amended 8/2016)	Arrest Files Cumulative information file for each adult arrested. May include processing reports, cover and face sheet, copies from complaint report files, investigation reports, witness statements, signed Miranda rights, property record, rap sheets, court, process, and disposition documents. Note: Official records of arrests maintained in the IMC or comparable systems may be maintained as electronic records per RIGL § 42-127.1-12 <u>Uniform Electronic Transaction Act</u> . Records created and maintained in electronic or any other formats must be preserved and accessible for the entire retention period as stated in this and other approved record schedules issued by the State Archives and Public Records Administration. Electronic records with a retention period of over ten (10) years require preservation strategies and policies designed to safeguard the integrity and trustworthiness of the records. Note: RIGL § 12-1-12 states that “any fingerprint, photograph, physical measurements, or other record of identification taken by or under the direction of the attorney general, the superintendent of the state	Retain until person is known dead or presumed dead at age eighty-five (85).

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
	<p>police, the member or members of the police department of any city or town or any other officer authorized by this chapter to take them, of a person under arrest, prior to the final conviction of the person for the offense then charged, shall be destroyed by all offices or departments having the custody or possession within sixty (60) days after there has been an acquittal, dismissal, no true bill, no information, or the person has been otherwise exonerated from the offense with which he or she is charged."</p> <p>Note: RIGL § 12-1-12.2. Sealing of arrest records for wrongful arrest due to mistaken identity or any other reason - Notification.</p> <p>(2) "Destruction or sealing of records" means, and includes, any fingerprint, photograph, physical measurements, or other record of identification, heretofore or hereafter taken by, or under the direction of, the attorney general; the superintendent or his or her designees of state police; the member, or members, of the police department of any city or town; the enforcement division of the department of environmental management; the office of the state fire marshal; the capitol police; a law enforcement agency of the federal government; any agency, department, or bureau of the United States government that has as one of its functions the gathering of intelligence data; or any other officer authorized by this chapter to take them, of a person under arrest.</p> <p>(b) Any law-enforcement agency, subsequent to the arrest of any person, that determines that such person was wrongfully or incorrectly arrested as a result of mistaken identity or any other reason, or wrongfully fingerprinted, photographed, or otherwise has generated any record of arrest for investigatory purposes and, as a result of such wrongful arrest, no charges have been filed in any court of this state, shall, within sixty (60) days of such determination that the arrest was wrongful or without probable cause, seal all such arrest records and destroy all identifying information and indices of arrest, including, but not limited to, photographs and fingerprints. DNA samples obtained from such person shall be handled in accordance with the provisions of chapter 1.5 of title 12, "DNA detection of sexual and</p>	

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
	<p>violent offenders" during, and related to, the investigation.</p> <p>(c) Any law-enforcement agency that arrests and reports such arrest to any other law-enforcement agency shall, within sixty (60) days of making the determination that the arrest was wrongful or without probable cause, also notify all other agencies to which it has transmitted such identifying information and including, but not limited to, the state's bureau of criminal identification (BCI), the National Crime Information Identity Center (NCIC), and/or any other state or federal agency that compiles, retains, or collects any arrest or identifying information of arrestees, that the arrest was wrongful and that any and all records transmitted or generated shall be sealed and/or destroyed as provided herein.</p>	

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.7.10	Evidence Journal Cumulative log of evidence taken into custody. Information recorded may include date, item(s), location/bin, names of complainant and arrested person, complaint report number, disposition and date.	Retain three (3) years after final disposition of all entries.
LG6.7.11	Property Record Individual record of property/evidence taken into custody. May include date, names, addresses, signatures, description, serial numbers, condition, whether property or evidence, location/bin, complaint report number, comments, and disposition.	Retain three (3) years after final disposition of property.
LG6.7.12	Evidence Examination Requests Requests for examination of evidence by FBI or RI State Crime Laboratory. May include names of suspect/victim, offense, complaint report number, description of evidence, examinations requested, and disposition.	Record copy kept as part of case file. Purge duplicates when evidence disposed of.
LG6.7.13	Confidential Informant Files Information recorded may include number assigned to informant, informant's and case officer's names, reference to origins of the contact, reports of information supplied by informant, and expenditure/payment records.	Retain seven (7) years after informant no longer active.
LG6.7.14	NCIC Inquiry Log Book Records each inquiry to NCIC or other law enforcement databases. May include date, time, name and date of birth, name of requester, authorization, reason, complaint report number, and operator's name/number.	Retain three (3) years after last entry.
LG6.7.15	Outstanding Warrants Lists or printouts of outstanding arrest warrants. May include name, date of birth, address, offense code, case number, warrant date, status, charging section.	Retain until updated, superseded, or of no administrative value.

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.7.16	Precious Metals Reports Buyer/police/State Treasurer multi-part form reporting the sale of precious metals, gems, and jewelry. Includes buyer and seller information and description of goods.	Retain one (1) year.
LG6.7.17	Stolen Property Lists Received and internally produced lists and print-outs of lost, stolen, found, pledged, or pawned property.	Retain until updated, superseded, or of no administrative value.
LG6.7.18	Sex Offenders Register Form containing name, date of birth, address, household information, violation, BCI number, and signature. May include copy notice of duty to register and other notifications.	Retain until person is known dead or presumed dead at age eighty-five (85). Offense adjudicated by juvenile court - destroy records when person attains age twenty-five (25).
LG6.7.19 (Series added 1/2009)	Drug Asset Seizure and Forfeiture Records These records document transactions of monies relative to drug asset seizure and forfeiture proceeds and the financing of drug-related law enforcement activities pursuant to RIGL § 21-28-5.04. Includes reports submitted to the U.S. Justice Department such as equitable sharing agreements, and annual certification reports and annual reports to state General Treasurer, house and senate Judiciary committees and the local governmental body governing the agency. May include logs, bank statements, copies of deposit slips, copies of property record reports, receipts for assets received, copies of purchase orders, copies of declaration of forfeiture from the state Attorney General's office and correspondence. (a) Accounting and related records documenting receipts and disbursements.	Retain six (6) years after audit.

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.7.19 (Continued)	(b) Reports to State and Federal agencies (not annual).	Retain five (5) years.
	(c) Annual reports.	Permanent.
	<i>Note: RIGL § 21-28-5.04(ii) Funds received by a local law enforcement agency shall be maintained in a separate account by the local agency's city or town treasurer. For retention of these records, consult Municipal Finance Schedule LG2.</i>	
LG6.7.20 (Series added 11/2010)	Expungement Notices File of court orders including first and final notifications from the court to the municipal police department ordering the expungement of particular arrest files and records. Includes information regarding case number, charges, and disposition of case.	Destroy with case/arrest files indicated in expungement order.
LG6.7.21 (New series added 3/2017)	Unserved Affidavit Arrest Warrants Records and files created for the application of arrest warrants and submission through the appropriate court. Records include NCIC data summaries or cover sheets, copy of warrant complaints and affidavits, copy of incident reports for misdemeanors and/or felonies, copy of court criminal complaint forms, and incident narratives. Includes arrest warrants relative to extraditions.	
	a) Misdemeanor affidavit arrest warrants	Purge files after three (3) years if there is no victim in the crime, otherwise see retention below.
	b) All other affidavits arrest warrants	Retain until recalled or cancelled by the issuing court. If unserved or unexecuted, retain until person is known dead or presumed dead at age eighty-five.
	<i>Note: Transfer executed arrest warrants to arrest file. See LG6.7.9 Arrest Files.</i>	

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.8	Juvenile	
LG6.8.1	Juvenile Detention Data Summary Records information on juveniles detained including identification or reference number, age, race, sex, reason for detention, area where held, dates and times of entering and leaving detention, and final disposition.	Retain one (1) year.
LG6.8.2	Juvenile Arrests Log Records information on juveniles arrested. May include date, name and address, date of birth, age, sex, agency referred to, offense, complaint report number, identification and arrest numbers.	Retain three (3) years after last entry.
LG6.8.3 (Retention revised 1/2009)	Juvenile Arrest Files Cumulative information file on each juvenile arrested. May include processing report, cover and face sheet, copies from complaint report files, investigation reports, property records, witness statements, signed Miranda rights, Family Court petitions, court, process, and disposition documents. Note: Records must be kept separate and apart from adult arrest records. <i>Current practice is to seal records at age eighteen (18).</i>	Retain seven (7) years after minor reaches the age of 18. Arrest records of minors charged with the commission of felonies shall be kept as long as the adult arrest files <i>(See LG 6.7.9 Arrest Files – Retain until person is know dead or presumed dead at age 85).</i>
LG6.8.4	Abused/Neglected Child Notification Reports from the Division of Child Protective Services of the Department of Children, Youth, and Families of suspected cases of child abuse or neglect. May include cover letter, investigative worker's observations/recommendations, and investigation summary.	Destroy three (3) years after date of final determination by family court or DCYF that abuse/neglect did <u>not</u> occur.
LG6.9	Prosecution	

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.9.1	Prosecution Case Files Individual case files prepared for purposes of prosecution. Includes copies from complaint report files, detectives' investigation case files, and arrest files.	Copy case disposition information to LG6.1.2 Complaint Report File after legal proceedings complete then destroy.
LG6.9.2	Court Calendar List of court appearances. May include date, judge, defendant's name, case number, offense, whether arraignment, pre-trial, or trial, attorney's name, and disposition.	Retain one (1) year.
LG6.9.3	Court Disposition Reports Listing of reported disposition or case status. May include case number and final disposition or statistical report tracking the number and status of cases for a given period.	Retain three (3) years.
LG6.9.4	Subpoenas Copies, retained by the department, of subpoenas delivered to individuals. Record notes time, place and date of delivery of original document. May be used for court appearances.	Retain seven (7) years.
LG6.10	Licenses and Background Checks	
LG6.10.1	Licensed Premises Files Files on bars, social clubs, and liquor stores within a municipality. May include copies from complaint report files relating to incidents occurring at the premises, arrest/booking reports, court summons, hearing notifications, court decisions relating to alcoholic beverage licenses, suspension orders, memos, and correspondence.	Retain until obsolete or of no administrative value.
LG6.10.2	Licenses Register Register giving name, address, date of license, and expiration for licensed premises and persons. May include bowling alleys, victual...ling houses, peddlers and vendors, junk dealers/gatherers, liquor, taverns, pool and billiards, and shooting galleries.	Permanent

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.10.3	Licensing Files Application information, criminal background checks, or other documentation in connection with a state or local licensing/permit process. Examples include licenses for operating a business, second hand dealers, hawkers and peddlers, wrecking and salvage yards, private investigators, to sell or carry firearms, games of chance, and alcoholic beverages.	If Licensing Authority Firearms and alcoholic beverages - retain ten years after expiration. All others - retain three years after expiration. If <u>not</u> Licensing Authority Retain one year.
LG6.10.4	Criminal Background Check Files Criminal background checks done as a consequence of requests from employers or under state or local government requirements. Examples include school, day care, or nursing home employees.	Retain one (1) year. Destroy fingerprint cards for child care and educational services to very young children personnel upon conclusion of background check.
LG6.10.5	Applications to Purchase Firearms Duplicate copy of application to purchase firearms within the state.	Approved - destroy within 30 days. Denied - retain one year.
LG6.10.6	VIN Inspection Records Form TR5 used for the purpose of verifying vehicle identification numbers of vehicles purchased out of state. The Division of Motor Vehicles retains original completed copy once owner registers vehicle.	Retain municipal police department duplicate copy one (1) year.
LG6.11	Holding Facility	
LG6.11.1	Prisoners Personal Property Records Records personal property of each prisoner.	Retain three (3) years.
LG6.11.2	Meal Records/Food Receipts Records may include order, vendor, receipt, and purchase information.	Retain audit plus one (1) year.

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.11.3	Inspection Records May include schedules/check lists for inspection of security, health, and safety systems such as fire detection and suppression, sanitation, security, and first aid.	Retain three (3) years.
LG6.11.4	Housekeeping/Maintenance Records May include schedules/check lists for cleaning or maintenance.	Retain one (1) year.
<u>Administration</u>		
LG6.12	Policy and Reports	
LG6.12.1	Crime Analysis Bulletins Notification for internal force on crime activity. Reports on crime patterns may be by type of crime, modus operandi, or area, and may include charts, computer printouts, and suspect information.	Retain one (1) year.
LG6.12.2	Reports Internally generated reports including, but not limited to, manpower, operations, analysis, crime comparison, inspection, watch, or other statistical and summary reports. (a) Daily and weekly reports. (b) Monthly and quarterly reports. (c) Periodic reports. (d) Annual reports.	Retain one (1) year. Retain three (3) years. Retain three (3) years. Permanent.
LG6.12.3	Uniform Crime Report (UCR) Monthly count of offenses and stolen and recovered property values sent to the State Police.	Retain five (5) years.
LG6.12.4	Accreditation Files Standards, memoranda, goals and objectives, status and progress reports, copy orders and directives, and other documentation relating to accreditation and review for maintaining accreditation.	Purge files as necessary. Retain until superseded, updated, or of no administrative value.

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.12.5	Directives Official statements of policy, operating procedure, and standards. May include general or special orders, memoranda, rules and regulations.	Permanent - one record copy signed or issued by department or division head.
LG6.12.6	Signature Returns Sign-off sheets acknowledging receipt by individuals of named documents.	Retain three (3) years.
LG6.12.7	Certificates of Record 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. (RIGL § 38-1-10, § 38-3-6, and § 42-8.1-10.)	Permanent.
LG6.12.8	Internal Affairs Investigations Investigations of complaints of alleged officer misconduct. May include reports, correspondence, statements, investigation documentation, findings, and disposition. (a) Complaint unfounded, not sustained. (b) Complaint sustained.	 Retain seven (7) years. Retain seven (7) years.

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.12.9 (Amended 5/2016)	<p>Use of Force Investigations Investigations on the application of physical or deadly force. May include copies from complaint report file, inquiry and findings. Includes prescribed forms filled out for every use-of-force event.</p> <p>a) Investigations</p> <p>b) Forms filed and not resulting in investigations.</p>	<p>Retain seven (7) years unless litigation ensued, then retain in accordance with GRS2.1 – Case Files.</p> <p>Retain four (4) years unless litigation ensued, then retain in accordance with GRS2.1 – Case Files.</p>
LG6.12.10 (Series added 3/2010)	<p>Recruit Files These files primarily include BCI checks, credit checks, interviews with various parties, reports, notes and supporting documentation relative to background investigations performed for police department applicants.</p> <p>Note: Records may be partially duplicated in the personnel file.</p>	Retain three (3) years.
LG6.12.11 (New series added 5/2016)	<p>Firearms and TASER Qualification Records Records that document annual qualification/certification for the use of firearms and TASER by police officers. May include liability releases for TASER instruction and TASER user certification checklists and forms.</p> <p>(a) Annual qualification/certification records of officers.</p> <p>(b) All other records.</p>	<p>Retain three (3) years from date of last testing.</p> <p>Retain three (3) years.</p>

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.13	Community Relations/Programs	
LG6.13.1	Community Service Programs Files relating to programs within the community or schools undertaken by the department which may relate to crime prevention, safety, drugs, and education.	Retain until of no administrative value, then review for historical value.
LG6.13.2	Community Surveys	See GRS5.4 Surveys/Questionnaires
LG6.13.3	Grant Files Records relating to the development of grant proposals to state or federal agencies and the administration of grant awards and programs. Records may include, but are not limited to, grant applications and agreements, studies, notices, technical specification, drawings, plans, bid and contract records, accounting, banking, purchasing, and payroll records, bonds, monitoring and performance reports, expenditure and outlay reports, memoranda, and correspondence. (a) Grant applications and amendments, final performance, disposition and expenditure reports. (b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records. <i>See Notes.</i>	Permanent. Retain ten (10) years from submission of closeout and final expenditure report <u>or</u> submission of annual financial status report for grants renewed annually.

Police Department Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG6.13.3	Grant Files (Continued)	
	(c) Real property and equipment records.	Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.
	(d) Income transaction records (earning of income) <u>after</u> grant support. Where required by the terms of the grant.	Retain ten (10) years from the end of fiscal year in which the income is earned.
	<i>See Notes.</i>	
	(e) Unsuccessful grant applications.	Retain three (3) years.

Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.

Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (RIGL§9-1-17).

See also:

GRS1 Executive, High-Level and Policy Making Records
GRS2 Legal Records
GRS3 Safety and Security Records
GRS4 Facilities Records
GRS5 Daily Operations Records
GRS6 Records Management Records
GRS7 Information Management Records
GRS8 Fiscal Records (if not fiscal authority)
GRS9 Personnel Records (if not delegated authority)

RECORDS RETENTION SCHEDULE

LG7

Building, Zoning and Minimum Housing Records

August 1997
(Reissued March 2008)
(Amended May 2016)
(Amended April 2017)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminister Street
Providence, Rhode Island 02903

Records Retention Schedule LG7

Building, Zoning and Minimum Housing Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of thirty-six (36) separate sets of records, or series, recognized as those records created or maintained by the building, zoning and minimum housing departments. Included in each entry are a record series number, series title and description, and a retention period. For example,

<u>Record Series #</u>	<u>Record Series Title & Description</u>	<u>Retention Period</u>
LG7.1.5	Permit Log Log recording permits issued. May include for each entry: date, permit number, plat and lot, name, address, type of work and cost.	Permanent.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, historical and informational value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
(401) 222-2353

**State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration**

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction.			
Dept. Head or Records Custodian _____			
State Archivist _____			
& Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.

2. Division - means any sub-unit of any department.

3. Date - the date your department prepared the form.

4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.

5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.

Note: Using the precise record series number and title will expedite the approval process.

6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.

Note: For purposes of calculating retention, do not count the year in which the records were created.

If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.

7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.

8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

Building, Zoning and Minimum Housing Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG7.1	Application, Permit, and Inspection	
LG7.1.1	Permit Application Files Master file of documentation relating to the construction, alteration, or addition to a structure. May include applications, permits, certificates such as zoning, compliance, and occupancy, inspection records, variances, notices and orders, determinations, approval reports, plot plans, materials specifications. (RIGL 23-27.3-108.1.7.)	
	(a) Official copy or copy of record.	Retain as long as building or structure remains in existence.
	(b) Duplicate copies.	Retain one (1) year.
LG7.1.2	Permits and Applications Single applications, permits, and permit cards for building, electrical, mechanical, plumbing work, heating, moving, demolition, and curb and sidewalk. (RIGL 23-27.3-108.1.7.)	
	(a) Official copy or copy of record.	Retain as long as building or structure remains in existence.
	(b) Duplicate copies of permits.	Retain one (1) year.
	(c) Expired permits.	Retain two (2) years.
	(d) Temporary permits - not related to building or construction.	Retain until no longer of administrative value.
	(e) Demolition permits.	Retain three (3) years after demolition.
	(f) Permits denied.	Retain three (3) years after final decision.

Building, Zoning and Minimum Housing Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG7.1.3	Master Inspection Files Files containing information relating to inspection activity. Inspections include, but are not limited to foundation, plumbing, mechanical, electrical, frame and masonry, lath/wallboard, violations, complaints, and structural and safety inspections. May include owner's name and address, plat and lot number, type of building, contractor's name, dates and types of permits, permit numbers, copies of permits issued, field inspection cards, date and number of certificate of occupancy, complaint, comments, determinations and/or deficiencies.	Retain as long as building or structure remains in existence.
LG7.1.4	Indexes Indexes that aid access to records on file. May include name, address, plat and lot, permit numbers and dates.	Purge with related series title.
LG7.1.5	Permit Log Log recording permits issued. May include for each entry: date, permit number, plat and lot, name, address, type of work, and cost.	Permanent.
LG7.1.6	Inspection Log Log recording inspections performed. Inspections include, but are not limited to foundation, plumbing, mechanical, electrical, frame and masonry, lath/wallboard, violations, complaints, and structural and safety inspections. May include: date, address, owner's name, plat and lot numbers, inspection number, and type of inspection.	Retain three (3) years after last entry.

Building, Zoning and Minimum Housing Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG7.1.7	Plans and Specifications Maps, plans, blueprints, and specifications submitted with applications for building and construction permits. (RIGL 23-27.3-108.1.7.)	
	(a) R-4, one and two family dwellings.	Retain one (1) year after completion of construction.
	(b) Public buildings.	Retain as long as the building or structure remains in existence.
	(c) Historic buildings.	Permanent.
	(d) All other use groups.	Retain five (5) years after completion of construction.
	(e) Duplicate copies.	Retain until no longer of administrative value.
LG7.1.8	Certificates of Use and Occupancy Certificates issued upon completion of work in accordance with applicable codes and all approved permits. (RIGL 23-27.3-108.1.7.)	
	(a) Official copy or copy of record.	Retain as long as building or structure remains in existence.
	(b) Duplicate copies.	Retain one (1) year.
LG7.1.9	Certificates of Inspection - Schools Building Official's copies of the annual inspection certificates approving school buildings. (RIGL 23-27.3-108.1.7.)	Retain as long as building or structure remains in existence.

Building, Zoning and Minimum Housing Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG7.1.10	Individual Sewage Disposal System (ISDS) Files Includes ISDS construction permit issued by Department of Health, application/approval for percolation test, specifications for location and plan for type of septic system and soil exploration data. May include application for permit, certificate of conformance, application/permit to construct/alter/add/on to a facility and architectural plans/blueprints/specifications of building or site detailing proposed construction, alteration, or addition.	Retain five (5) years.
LG7.1.11	Individual Sewage Disposal System (ISDS) Index Records plat, lot, name of owner or firm, address, ISDS application number, and action (e.g. construction and/or conformance approval date, and/or installation or construction performed by approved contractor).	Purge with related record series. (LG7.1.10)
LG7.2	State and Local Regulation	
LG7.2.1	State Government Notifications Notices, opinions and reports from various departments of state regarding, but not limited to, violations, release of violations, change of use, certificates of closure, ISDS, plan approvals, notices, determinations, field reports, evaluations, and copy applications/permits. <i>Note: Office of record is the state agency that issued record.</i>	Retain until updated, superseded, or of no further administrative value.

Building, Zoning and Minimum Housing Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG7.2.2	State Building Code Commission Building Code Standard Committee - Interpretation and Approval Reports May include notices, memos and correspondence relating to approval and use of items, materials, and methods of construction with code interpretation. May include instruction on installation and use, and lists of approved manufacturers.	Retain until updated, superseded, or of no further administrative value.
LG7.2.3	List of Registered Contractors Alphabetical list of registered contractors. Includes registration number, date, name, address, and expiration.	Retain until updated or superseded.
LG7.2.4	Municipal Ordinances and Regulations Copies of ordinances and regulations issued by municipality. <i>Note: Copy of record held by municipal clerk.</i>	Retain until updated, superseded, or of no further administrative value.
LG7.3	Zoning Board of Review Housing Board of Review	
LG7.3.1	Zoning Certificate Certificates for zoning variance (and/or special exception) including proposed construction, street address and lot number. May include signature of building inspector showing approval that proposed construction and/or use of building or land complies with provisions of federal, state and local ordinances and regulations. (RIGL 23-27.3-108.1.7.)	Retain as long as building or structure remains in existence.
LG7.3.2	Zoning Certificate Log Log indicating name, plat, lot, address, and proposed use and/or construction.	Retain three (3) years after last entry.

Building, Zoning and Minimum Housing Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG7.3.3	Zoning Board Review Files Applications for appeal, variance or special exception including, but not limited to, applications, site plans, blue print studies relative to decision, copies of plat maps, zoning petitions, correspondence, affidavits, lists of abutting landowners, copies of deeds, decisions, proceedings, minutes, and legal notices. (a) Approved. (b) Denied. <i>Note: Municipal departments responsible for implementation and enforcement may hold parts of the official or record copy.</i>	Permanent. Retain until resolution or final decision.
LG7.3.4	Zoning Board Decisions Notifications and resolutions relative to petitions or requests for variances to municipal zoning ordinances.	Permanent.
LG7.3.5	Index to Zoning Board Decisions Includes book number, meeting date, page number, plat/lot number, special exception, and book and page locations of hearing and decision.	Permanent.
LG7.3.6	Minutes Minutes of meetings including agendas and legal notices to newspaper. <i>Note: Municipal Clerk should hold official or record copy</i>	Permanent.

Building, Zoning and Minimum Housing Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG7.4	Complaints and Violations	
LG7.4.1	Complaint Files Record of complaint of alleged violations. Includes name, address and signature of complainant, location of complaint, owner's name and address, nature of complaint, type of violation (minimum housing, zoning violation, health ordinance, building violation), type of building, occupant(s) name(s) and investigator's name.	Retain three (3) years unless in litigation.
LG7.4.2	Violation Files Records relating to building code violations. May include field inspection record, original and copy correspondence, certified mail requests and return receipts, complaints including investigation reports, summonses, photographs, notices and cease and desist orders.	Retain ten (10) years Record copy of all notices of violations must be retained as long as the building exists and may form part of LG7.1.1 or LG7.1.2 (RIGL 23-27.3-108.1.7.)
LG7.4.3	Stop Work Orders/Cease and Desist Orders Documents violation of code ordinance and includes relevant code/ordinance, date, delivery time, and signatures of server and recipient.	Retain three (3) years after final resolution.
LG7.4.4	Summons Summons to appear issued by municipal authority. Includes date, place, time, defendant's name and address, statutes violated, and complainant(s) name(s). <i>Official copy or record copy should be held by municipal solicitor.</i>	Retain until final resolution of case.

Building, Zoning and Minimum Housing Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG7.4.5	Affidavits and Arrest Warrants Initiates action for arrest for failure to comply with minimum housing ordinances or for failure to correct problems which cause serious hazard to health and safety. Records defendant's name and address, date of offense, and affiant's name and address. <i>Official copy or record copy may be held by municipal solicitor.</i>	Retain until final resolution of case.
LG7.4.6	Court Docket Slips Copy of court schedule. Includes date, trial date, defendants name, charges, witness' name, reason for appearance (trial, plead, sentence) and description.	Retain one (1) year.
LG7.4.7	Rent Receivership Revolving Fund Documents activities of program pursuant to Public Laws of R.I. Chapter 52 (1968) and Chapter 146 (1970) and includes rent payment forms, payment vouchers for repair services provided, receipts for vouchers, rental payments, applications and correspondence.	Retain one (1) year after resolution and completion of audit.
LG7.4.8	Minimum Housing Files Records of rental properties containing information relative to violations and complaints. May include certified return receipts, zoning violation notices, municipal court ordinance complaints, summons, decisions, copy permits and photographs.	Purge obsolete records and records of no further administrative value after five (5) years.

Building, Zoning and Minimum Housing Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG7.4.9 (New series added 4/2017)	Rental Registration records The rental registration program registers rental properties in the municipality to ensure compliance with applicable municipal ordinances and the Rhode Island General Law. Records include but are not limited to annual rental registration forms, copies of complaints/incidents provided by the police department (See LG6.1.1 Complaint report files), copies of Designation of Agent for Nonresident Landlord forms (original is filed with the Municipal Clerk per RIGL §34-18-22.3), address lists, and accounts receivable records. <i>Note: Fiscal authority retains accounts receivable six (6) years after audit. See LG2.1.2.</i> <i>See also: LG1.4.12 Designation of non-resident landlord – retain until updated, superseded or obsolete.</i> <i>See also: LG12 – Municipal Courts records</i>	Retain until administrative use ceases but no less than three (3) years.
LG7.5	Administration	
LG7.5.1	Reports Internally generated reports. (a) Daily and weekly reports. (b) Monthly and quarterly reports. (c) Periodic Reports. (d) Annual Reports.	Retain one (1) year. Retain three (3) years. Retain three (3) years. Permanent.

Building, Zoning and Minimum Housing Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG7.5.2	Buildings History Files Ongoing cumulative reference records documenting buildings (often arranged by street). May include references to and citations of land evidence records, orders, resolutions and minutes of City/Town Council, surveys, plat references, copies from maps and field books, copies of petitions, lists of property owners, memos, correspondence, photographs and plans.	Review for historical value. Purge obsolete records and records of no further administrative value after five (5) years.
LG7.5.3	House Numbering Cards Ongoing reference file which includes street name, plat number, lot number, house number for lot, number used, and owner(s) name(s).	Retain until updated or superseded.
LG7.5.4	Zoning Plat Maps Plat maps showing zoning	
	(a) Official copy or copy of record.	Permanent.
	(b) Reference copies.	Retain until updated or superseded.
LG7.5.5	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. (RIGL § 38-1-10, § 38-3-6, and § 42-8.1-10.).	Permanent.

Building, Zoning and Minimum Housing Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
LG7.5.6 (New series added 5/2016)	Boiler Operator Licenses By ordinance, municipalities may require testing of individuals seeking a license to operate any stationary engine or prime mover, stationary steam or hot water boiler, refrigeration plant, air conditioning plant, diesel generator, gas generator or steam turbine. Records include license application, annual renewal records, accounts receivable records, completed exams or tests of applicants, and exam and answer key. May include correspondence (including email) and photographs of applicants for producing the license.	
	(a) Applications and renewals	Retain three (3) years after expiration.
	(b) Completed examinations	Retain completed tests three (3) years.
	(c) Exam records and answer keys	Retain until update, superseded or of no further administrative value, but no less than three (3) years.
	(d) Accounts received and receipts.	Retain six (6) years after audit. See LG2.1.2 – Accounts Receivable Records

Building, Zoning and Minimum Housing Records Retention Schedule

Record Series No.	Record Series Title and Description	Retention
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See Also:

GRS #1	Executive, High-Level and Policy Making Records
GRS #2	Legal Records
GRS #3	Safety and Security Records
GRS #4	Facilities Records
GRS #5	Daily Operations Records
GRS #6	Records Management Records
GRS#7	Information Management Records
GRS#8	Fiscal Records
GRS#9	Personnel Records

All general schedules are available at:

<http://sos.ri.gov/divisions/frequent-filers/records-management>

RECORDS RETENTION SCHEDULE

LG8

Board of Canvassers Records

September 1994
(Reissued June 1999)
(Reissued May 2004)
(Revised March 2010)
(Amended May 2016)
(Amended April 2017)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903

Records Retention Schedule LG8

Board of Canvassers Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of forty-four (44) separate sets of records, or series, recognized as those records generated by boards of canvassers. Included in each entry is a series number, records series title and description, and a retention period. For example,

<u>Series No.</u>	<u>Series Title & Description</u>	<u>Retention Period</u>
LG8.2.1	Declarations Declarations for candidacy for party primaries and independent candidates. Includes name and identifying information of candidates declaring for office.	Retain twenty-six (26) calendar months from date of filing.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating retention, do not count the year in which the records were created. If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

For any lawsuit filed challenging an election, any record series herein must be retained until the final resolution of said lawsuit if longer than retention period stated therein.

LG8.1 Registration

LG8.1.1 Voter Registration Records

(a) Voter Registration Applications

Voter registration cards arranged alphabetically by voter's name. May include supporting records such as hard copies of official mailings, undeliverable official mailings (17-9.1-25(d)), and disaffiliation affidavits. Includes CVRS electronic copy and electronically transmitted voter registration applications from the Department of Motor Vehicles. *May include* scanned images of voter confirmation cards, disaffiliation affidavits or any official mailing from the state board, local board or Office of the Secretary of State (RIGL 17-9.1-26)

Retention: Retain original voter registration card and supporting records until voter's registration is cancelled in the CVRS. Secretary of State Elections Division retains voter registration data for five (5) years from the date of cancellation.

Note: If supporting records are kept separate from the voter registration record, see other approved retention periods in this schedule.

(b) File Copy – Obsolete

(c) Verification Record – Obsolete

(d) Voter Removals – Obsolete

Retention: Retain existing paper records five (5) years from removal.

(e) Cancellation Receipts – Obsolete

Retention: Retain existing paper records five (5) years.

(f) Out of Town Registrations

This step is eliminated per 2007-PL-384

Retention: Retain original voter registration card and supporting records until voter's registration for the prior municipality is cancelled in the CVRS by the new registration.

Note: Existing Out-of-Town registrations prior to changes enumerated in 2007-PL-384 should be retained five (5) years from date of forwarding.

LG8.1.1 Voter Registration Records (continued)

(g) Foreign Absentee Registrations

Municipal voters living outside the country who are registered to vote only in federal elections. May include affidavit verifying same.

Retention: Maintain separate from active municipal voting registrations. Retain as long as voter is active and living outside the United States, then five (5) years.

LG8.1.2 Party Affiliation Cards - Obsolete

Voter party affiliation preference. Includes name, address, party preference, and signature.

Retention: Retain hard copies until superseded.

LG8.1.3 Disaffiliation Affidavits

Voter change of party preference. Verification of name, address, previous party preference, and signature.

Retention: Retain hard copies until superseded.

LG8.1.4 Address Change Forms – Obsolete series (See LG8.1.1)

Note: Retain existing paper records one (1) year.

LG8.1.5 Voter Residency Certificates - Obsolete

Municipal certificate verification of voter residency. May include name and address or other identifying information pertaining to a particular active voter seeking confirmation.

Note: Retain existing paper records one (1) year.

LG8.1.6 Re-Districting Notices (new series)

Electronic and hard copies of re-districting notices sent from the municipality to voters regarding changes in the voting district. Includes un-deliverable notices and electronic mailing lists. These notices are not used in the removal process.

Retention: Retain three (3) years.

LG8.1.7 NCOA Cards and Lists (new series)

Address confirmation mailings based on the change of address information provided by or through the United States Postal Service National Change of Address Program (RIGL § 17-9.1-26 (e)).

Retention: Retain three (3) years.

LG8.1.8 Voter Confirmation Cards and Lists (new series)

Official statewide mailings conducted by the Secretary of State Elections Division (or any other official mailing from the state board or local board) for purposes of updating the voter rolls. May include undeliverable cards that initiate the removal process.

Retention: Retain three (3) years.

LG8.1.9 Disaffiliation Due to Decertification of Party (New series added 4/2017)

When a party is decertified (see RIGL 17-1-2 (9)), a voter's affiliation with that decertified party will be changed to "unaffiliated" by the local board per instructions by the State Board of Elections. Records include but are not limited to: correspondence from the State Board of Elections, copies of notices of disaffiliation sent to voters, and voters' lists.

Retention: Retain three (3) years.

LG8.2 Candidates**LG8.2.1 Declarations**

Declarations for candidacy for party primaries and independent candidates. Includes names and identifying information of candidates declaring for office.

Retention: Retain twenty-six (26) calendar months from date of filing.

LG8.2.2 Endorsements

Filings of endorsement by state committees, district committees, and ward, city and town committees of candidates to be voted for by state at large or by congressional district.

Retention: Retain twenty-six (26) calendar months from date of filing.

LG8.2.3 Nomination Papers

Party and independent nomination papers for candidates to be voted for by state at large, congressional district, ward, city or town elections.

Retention: Retain twenty-six (26) calendar months from date of filing.

LG8.2.4 Nomination Objections

Objections to party and independent nomination papers for state or local offices.

Retention: Retain twenty-six (26) calendar months from date of filing.

LG8.2.5 Candidates Lists

Lists of party candidates for city and town elections filed by town, ward, or city committees. Data includes: name and address of candidate, order in which they will appear on the ballot, office sought, and term of office.

Retention: Retain three (3) years.

LG8.2.6 Candidate Withdrawals

Certificates of withdrawal from primary nominations and independent candidates for state and local offices. Includes candidate statement concerning reason for withdrawal.

Retention: Retain twenty-six (26) calendar months from date of filing.

LG8.2.7 Certificates of Nomination

Certificate of candidate nomination. Includes name and address of candidate, office sought, date of nomination, and board of canvass and registration verification.

Retention: Retain three (3) years.

LG8.2.8 Certificates of Election

Copies of election certificates presented to candidates upon verification of election.

Retention: Retain three (3) years.

LG8.2.9 Petition for Qualifying as a Political Party (New series added 5/2016)

Board of Elections form for obtaining signatures of qualified electors in the municipalities in accordance with the provisions of RIGL §17-1-2 (9). Signatures on this record are verified by the local canvassing board and original petitions are forwarded to the State Board of Elections. Includes copies of petitions and correspondence.

Retention: Retain three (3) years.

LG8.3 Elections**LG8.3.1 Election Document Files**

Various election records arranged by election or primary. Documents may include master tally sheets, lists of polling places, sample ballots, State Board of Elections receipt of returns, election returns, poll workers lists, election officials certificates and oaths, returned ballot certificates, voting machine returns, audit trails, emergency and mail ballot applications and lists, lists of candidates, newspaper notices, notices of recount, copy of certificates of election, election inspectors lists, unofficial tallies, correspondence and notices to/from State Board of Elections, Office of the Secretary of State, Board of Canvassers, and other affidavits, lists, or certificates pertaining to a particular election or primary.

Note: The documents listed above may or may not be filed as separate series. If filed separately, refer to other series and retention periods listed herein.

Retention: Retain three (3) years.

LG8.3.2 Challenge Lists

Name and address of all persons who are determined to be ineligible to vote in the ensuing election, at any time after the registration binders have been locked, sealed, and certified to serve as the official voting list. Such lists shall also include all persons who have been furnished mail ballots.

Retention: Retain until next primary or election.

LG8.3.3 Final Voting Lists

Final canvass certification list of voters deemed eligible to vote preceding an election or primary.

Retention: Retain until next primary or election.

LG8.3.4 Committee Lists

Lists of officers and members of all city, town, and district committees organized for the purpose of nominating and endorsing party candidates, electing ward committees.

Retention: Retain three (3) years.

LG8.3.5 Affidavits

Affidavit confirmation of voters requiring or requesting action or special accommodation during a given election or primary. Affidavits may include the following:

(a) Right to Vote Challenge

Affidavit confirming voter party affiliation during a primary when such affiliation has been challenged by a primary official.

(b) Voter Identity Challenge

Identity certification confirming name, signature, of voter whose registration records have been designated as inactive.

(c) Voter Omission Challenge

Challenge by voter whose name has been stricken from any voting list.

(d) Voter Requiring Assistance

Name, address, signature, assistant, and application number of voter in need of assistance to vote due to blindness, illiteracy, or incapacitation.

(e) Voter Signing with a Mark

Verification of name, address, town, city, of voter unable to sign ballot. Affidavit signed by warden and party supervisors.

(f) Obtaining Signatures

Oath of presence confirmation of persons obtaining signatures for the purpose of endorsing nomination papers.

Retention: Retain three (3) years.

LG8.3.6 Ballot Applications (Poll Lists or Poll Books)

Numbered verification slips completed at the time of voting certifying date of ballot, ballot type (primary, general election, special election), town/city name, statement of voter as to being registered, and voter signature and address.

Retention: Retain three (3) years.

LG8.3.7 Primary/Election Returns

Consists of individual machine numbers, polling place designation, date of election, total votes registered by machine, candidate, referenda, or question as well as signatures of election inspectors, wardens, clerks.

Retention: Retain three (3) years.

LG8.3.8 Recount Petitions

Candidate requests for recount of individual machine or paper ballot tallies. Includes candidate's reason for request.

Retention: Retain twenty-six (26) calendar months from date of request.

LG8.3.9 Mail Ballot/Emergency Mail Ballot Applications and Lists

Applications for mail ballots and emergency mail ballots, copies of application certifications, and certified lists of mail ballots and emergency mail ballots. May be accompanied by affidavits or medical certificates identifying patient, type of medical condition, date of examination, and signature of attending physician. Applications may include:

(a) Applications by members of the Armed Forces in Active Service

Includes name, Rhode Island address, military address, length of time assigned to duty station, and signature of military commander and applicant verifying same.

(b) Applications by Temporarily Disabled or Incapacitated Voters

Includes name, address, town, date of election requested, and signature of voter. Accompanied by medical certification.

(c) Applications by Foreign Absentee

Includes name, Rhode Island address, place of birth, date of birth, present address, and signature of witness of voters living abroad who are restricted to vote only for federal officers.

(d) Applications by Serviceman's Dependent Voter

Qualified voters (spouse, children) of members of the armed forces in active service who are absent from the state. Consists of affidavit verifying voter authenticity and qualification.

Retention: Retain until the first day of September in the second year after the lists were received.

LG8.3.10 Automatic Mail Ballot Record

Applications, affidavits and other related certifications confirming name, address, city, town, of voters requiring automatic mail ballots because of being a shut-in voter or a Peace Corps. volunteer. May include medical certificates verifying voter disability or incapacitation.

Retention: Retain as long as voter is active or status remains unchanged.

LG8.3.11 Ballots

Municipal ballots for voters for candidates, referenda and questions at local elections. Also referred to as “voted ballots.” May include paper ballots, mail ballots, optical scan ballots, voided ballots or irregular ballots.

Retention: Retain twenty-two (22) months from date of election (RIGL § 17-19-39.1).

LG8.4 Administration**LG8.4.1 CVR Reports**

Alphabetical print-out of names added to and deleted from current municipal voting list. Supplied to the Central Voter Registry (CVR). Data includes voter identification number, name, address, date of birth, process date, and reason for removal.

(a) Weekly Reports

Weekly compilation of all new voter registrations, address changes, and removals.

Retention: Retain one (1) year.

(b) Monthly Reports

Compilation of all new voter registrations placed on the active voting list for the previous month.

Retention: Retain one (1) year.

(c) Annual Report of 5-year Removals

Compilation of all voter registrations removed from the active voting list that has met the 5-year requirement due to inactivity or death

Retention: Retain four (4) years.

LG8.4.2 Death Notices

Lists and data of deceased persons forwarded by the office of the municipal registrar of births, marriages, and deaths and/ or the Elections Division via data received by the Department of Health. Used for removals from the voter registration lists. May include monthly reports.

Retention: Secretary of State Elections Division retains data for four (4) years.

Note: Existing paper records should be retained one (1) year.

LG8.4.3 Voting Books

Record of votes cast for candidates, referendum questions, bonds, etc. Includes individual machine tallies and totals of votes cast. May include actual machine ballots. Signed by the warden and clerk.

Retention: Permanent.

LG8.4.4 Election Books/Tally Sheets

Record of elections occurring within each municipality. Includes type of election, name of candidates, offices sought, votes by district, number of mail ballots, election return forms (RIGL § 17-19-11) and local board copy of the tape of the optical scan precinct count unit

Retention: Permanent (RIGL § 17-22-7).

Note: Election books were replaced by tally sheets after the implementation of the CVRS in 2005.

LG8.4.5 Minute Books

Minutes of Board of Canvassers meetings including agendas.

Retention: Permanent.

LG8.4.6 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.
(RIGL § 38-1-10, § 38-3-6, and § 42-8.1-10.)

Retention: Permanent.

LG8.4.7 Voting District Maps

Maps indicating voting district boundaries and numbers.

Retention: Permanent.

LG8.4.8 Voting District Street Books

Alphabetical lists of streets (and house numbers where street encompasses more than one district) giving senatorial, representative, and ward numbers.

Retention: Retain as long as voting district lines remain the same, plus one (1) year.

LG8.4.9 Census Card Index

Alphabetical street index detailing registered voters within each voting district.

Retention: Retain as long as voting district lines remain the same, plus one (1) year.

LG8.4.10 Naturalization Papers and Index

Proof of citizenship papers or index indicating name, address, country and date of birth and naturalization. May include Department of Labor and Commerce jackets of naturalization papers, certificates of naturalization, state and U.S. circuit court naturalization papers.

Retention: Permanent.

LG8.4.11 Oath of Office

Record of sworn oaths by members of Board of Canvassers.

Retention: Retain six (6) years.

LG8.4.12 Poll Workers Lists

Lists submitted by state party committee chairmen of persons to work at polling places as wardens, moderators, clerks, supervisors, checkers, and poll watchers.

Retention: Retain until updated, superseded or of no further administrative value.

LG8.4.13 Election Officers Certificates

Certificates of qualification and instruction of election officials. May include affidavits verifying same and application for attendance at school of instruction for election officials.

Retention: Retain one (1) year.

LG8.4.14 Jury Lists

Lists sent to the Municipal Clerk or Board of Canvassers by the Jury Commissioner. Used for removals from the voter registration lists (RIGL § 9-9-1.).

Retention: Retain five (5) years.

LG8.4.15 Felon Lists

Lists and or data sent to the Municipal Clerk or Board of Canvassers by the Office of the Secretary of State as forwarded by the Department of Corrections pursuant to RIGL § 8-15-8. Used for removals from the voter registration lists (RIGL § 17-6-1.) and reinstatement of voting rights. May include monthly reports. (RIGL § 17-9.2).

Retention: Secretary of State Elections Division retains data for four (4) years.

Note: Retain existing paper records one (1) year.

See Also:

GS 1	General Office, Administrative, Fiscal and Reference Records
GS 2	Payroll Records
GRS 1	Executive, High-Level and Policy Making Records
GRS 2	Legal Records
GRS 3	Safety and Security Records
GRS 4	Facilities Records
GRS 5	Daily Operations Records
GRS 6	Records Management Records
GRS 7	Information Management Records
GRS 8	Fiscal Records
GRS 9	Personnel Records

All general records schedules are available at:

<http://sos.ri.gov/divisions/frequent-filers/records-management>

RECORDS RETENTION SCHEDULE

LG9

Fire Department Records

May 1997
(Reissued May 2004)
(Reissued March 2008)
(Reissued September 2013)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903

Records Retention Schedule LG9

Fire Department Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of forty-two (42) separate sets of records, or series, recognized as those records generated by municipal fire departments. Included in each entry is a series number, records series title and description, and a retention period. For example,

<u>Series No.</u>	<u>Series Title & Description</u>	<u>Retention Period</u>
LG9.2.7	Day Sheets Summary of daily activities. May include personnel, assignments, drills, inspections, testing, fire and rescue responses.	Retain five (5) years.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

**State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration**

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating retention, do not count the year in which the records were created. If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

Fire Department

Record Series No.	Record Series Title and Description	Retention
LG9.1	Fire Prevention	
LG9.1.1	Street Files/Building Information Files Ongoing reference record of fire department activity for individual street addresses or buildings. May include inspection reports and certificates, petitions for variances, investigation records, memos, photographs, plans, copies of reports, or other documentation.	Retain for life of building or until occupancy classification legally changed. Purge obsolete records and records of no further administrative value after three (3) years.
LG9.1.2	Inspection/Compliance Files Ongoing files relating to individual schools, apartment buildings, office buildings, nursing or group homes, and rooming houses relative to fire prevention, inspection, and compliance as defined by the Fire Safety Code. May include certificates of inspection and reports, Department of Education fire drill code reports, surveys, Board of Appeal and Fire Safety decisions, applications for variances.	Retain during functional life of building. Destroy drill reports after three (3) years.
LG9.1.3	Inspections and Certifications Records of inspection, release, and approval by fire department for requirements such as Certificates of Occupancy, residential fire detection (smoke detectors) certification for transfer of title, and other Fire Safety Code regulations or municipal ordinances.	Retain for life of building or until occupancy classification legally changed. Purge obsolete records and records of no further administrative value after three (3) years.
LG9.1.4	Alarm Systems Files Inspection and testing records for individual alarm systems. May include systems testing and certification documentation, inspection records, service contracts and reports, permits, diagrams, site information, emergency contact lists, and correspondence.	Retain systems documentation during functional life of system. Retain other records until obsolete or of no administrative value.

Fire Department

Record Series No.	Record Series Title and Description	Retention
LG9.1.5	Permits/Licenses Issued Applications and copy permits issued by local fire authority. May include permits relating to fireworks, storage and handling of flammable liquids or hazardous substances, model rocket engines, or the selling of fire detection equipment.	Retain three (3) years after expiration.
LG9.1.6	Permits/Licenses Notification Notification from State Fire Marshall or other licensing authority to municipal fire department that permit has been issued. May include copies of applications and permits relating to the possession, manufacturing, dealing, or use of explosives, permits for servicing of portable fire extinguishers, asbestos removal, fumigation. May also include copy license applications for permits issued by other municipal departments which require release by fire department.	Retain one (1) year.
LG9.1.7	Violation/Complaint Files Notification record of violations and complaints relating to the Fire Safety Code. May include time, name, address, location of violation/complaint, complaint summaries, investigation reports, disposition, and departmental follow-ups. Note: Series may form part of: LG9.1.1 Street/Building Information Files, LG9.1.2 Inspection/Compliance Files, <u>or</u> LG9.1.3 Inspections and Certifications.	Retain three (3) years after resolution.
LG9.1.8	Plans Building plans used for inspection and approval process. Details fire detection specifications or other Fire Safety Code compliance requirements.	Retain until Certificate of Occupancy issued and plans are of no further administrative value.

Fire Department

Record Series No.	Record Series Title and Description	Retention
LG9.1.9	Variances Municipal fire department copy of variance applications and decisions handed down by the Fire Safety Code Board of Appeal and Review. Note: Series may form part of: LG9.1.1 Street/Building Information Files, LG9.1.2 Inspection/Compliance Files, <u>or</u> LG9.1.3 Inspections and Certifications.	Retain for life of building or until occupancy classification legally changed.
LG9.1.10	Education Programs Multi-media materials relating to fire prevention education created by the department. May include brochures, films/or video files, program materials, posters, and pamphlets.	Retain until updated or superseded. Retain reference materials until of no further administrative value (See GRS5.11 – Reference Materials).
LG9.2	Fire and Rescue Response	
LG9.2.1	Dispatch Tapes Audio tapes of incoming calls and outgoing dispatch instructions.	Retain thirty (30) days before re-use.
LG9.2.2	Dispatch Cards Record of incoming calls received by the department. Data may include how call was received (phone, radio), complainant name, address and phone number, name of dispatcher, time received, dispatched to scene and recalled, rescue or engine numbers responding.	Retain three (3) years.
LG9.2.3	Dispatch Logs Record of dispatch responses to incoming calls or alarms. Data may include case, incident, alarm, or box numbers, location, time received, origin of call, arrival time, type of response (engine number or rescue), description, and recall or elapsed time of vehicle responding.	Retain three (3) years.

Fire Department

Record Series No.	Record Series Title and Description	Retention
LG9.2.4	Alarm Tapes Machine tape record of alarms received detailing box number, time received, and date of alarm.	Retain one (1) year.
LG9.2.5	Alarm Response Cards Record detailing location and appropriate response for alarms from individual boxes. Information may include location, contact names, number of vehicle(s) to respond, stand by vehicles.	Retain until updated, superseded, or obsolete.
LG9.2.6	Circuit/Radio/Box Test Logs Record of alarm response tests conducted on all circuit, radio, and location alarm boxes to ensure proper alarm signals are being received.	Retain one (1) year.
LG9.2.7	Day Sheets Summary of daily activities. May include personnel, assignments, drills, inspections, testing, fire and rescue responses.	Retain five (5) years.
LG9.2.8	Manpower Accountability Sheets Daily personnel listing of each company detailing drivers, officer in charge, and privates.	Retain one (1) year.
LG9.2.9	Fire Reports Reports on individual fire incidents. Data includes name and address, vehicle(s) and number of personnel responding to scene, date and time of response, lists of injuries or extent of damage. May include supplementary/follow-up reports and casualty reports. (a) First, second, and third degree arson. (b) All others.	Permanent or until legal proceedings complete. Retain ten (10) years.

Fire Department

Record Series No.	Record Series Title and Description	Retention
LG9.2.10	Rescue Reports Reports on individual rescue responses. Information may include incident number, date, time, location, responding personnel, patient identification and history, injury, vitals, treatment information, signed and witnessed patient refusal of service or treatment, and disposition.	Retain ten (10) years. Note: If minor involved, retain three (3) years after minor reaches the age of eighteen (18) years.
LG9.2.11	Fire/Rescue Report Index Index used for retrieving individual fire or rescue reports. Information may include report number, names of callers or patients, victims, and address/location of incident.	Purge with related Fire Report LG9.2.9 or Rescue Report LG9.2.10.
LG9.2.12	Investigation Files Record of fire department investigations of suspicious or incendiary fires. May include reports (fire, rescue, investigators', State Fire Marshall, police, casualty, insurance), photos, memos, diagrams, or other documentation relating to investigation.	Retain until final disposition of case.
LG9.2.13	Photographic and Video Evidence Film or video documentation relating to fire investigations. May include film, prints, video cassettes, negatives, and index detailing dates, address, or owner of property photographed.	Retain until final disposition of case. Review for historical value.
LG9.2.14	Evidence Logs Log recording date, incident number, incident address, and media type (prints, negatives, video). May also act as finding aid to location of media.	Retain one year after final disposition of all entries.

Fire Department

Record Series No.	Record Series Title and Description	Retention
LG9.3	Hazardous Materials	
LG9.3.1	Hazardous Substances Right to Know Files Consists of detailed product/chemical identification listings supplied annually by individual employers that hold, use, or sell products considered hazardous by the US Department of Labor, Division of Occupational Health and Safety. Series may include US Department of Labor forms or material safety data sheets, emergency and hazardous chemical inventory forms, company emergency plans, inspection reports, or other mandated documentation relating to hazardous substances.	Retain annual updates three (3) years. Retain other records as long as the employer does business in the municipality, plus seven (7) years.
LG9.3.2	Storage Tank Files Record detailing the installation/removal of individual storage tanks and the storage of flammable or hazardous materials. May include permits for the maintenance, installation, abandonment, or removal of storage tanks, permits for the storage of hazardous/flammable substances, inspection, plans, complaints, memos, and correspondence.	Retain seven (7) years after removal of tank.
LG9.3.3	Hazardous Materials Incident File Record of hazardous material incidents. May include hazardous incident reports, copy fire/rescue reports, narratives, and memos.	Permanent.
LG9.4	Apparatus and Equipment	
LG9.4.1	Apparatus Inspection Sheets Record of inspection checks including vehicle, mechanical systems, and equipment. (a) Daily and weekly inspections. (b) Monthly inspections.	Retain one (1) year. Retain three (3) years.

Fire Department

Record Series No.	Record Series Title and Description	Retention
LG9.4.2	Fuel Inventory Sheets Record of daily, weekly, or monthly fuel use by station and/or vehicles. Data may include type of fuel used, pump location, meter readings, gallons delivered, stick reading of tank, odometer reading, and total gallons consumed.	Retain until successful audit plus one (1) year.
LG9.4.3	Apparatus Accident Files Department record of accidents sustained to municipal fire/rescue vehicles. May include police reports, witness statements, memoranda, diagrams, photographs or other related documentation.	Retain three (3) years unless in litigation. Note: If minor involved, retain three (3) years after minor reaches the age of eighteen (18) years.
LG9.4.4	Fire Hose Test/Disposition Cards Record history of fire hoses used by the department. Data may include type of hose, date acquired, when and where serviced, tests conducted, and disposition.	Retain until final disposition of hose.
LG9.4.5	Fire Hydrant Identification Cards Record of individual fire hydrants in service. Data may include identifying characteristics of each hydrant including location, date installed, size of lead, make, number of turns to open, size of main.	Retain until hydrant replaced or no longer in service.
LG9.4.6	Work Request and Repair Orders Request and repair record for alarm circuits, vehicles, or equipment. May include dates and times of request and repair, data on materials used or needed, location of circuit, pole number, instructions, description of work, name of person completing work, and hours spent.	Retain three (3) years.

Fire Department

Record Series No.	Record Series Title and Description	Retention
LG9.4.7	Mask Service and Tank Cards Record inventory and service record for individual fire department air pacs. Includes model, serial number, purchase date, type, cubic feet of tank, and service record.	Retain until replaced or no longer in service.
LG9.4.8	Ladder Test Records Record history of ground and aerial ladders used by department. Data may include length of ladder, date purchased, when and where serviced, tests conducted, and disposition.	Retain until final disposition of ladder.
LG9.4.9	Vehicle Records Records relating to each vehicle owned and serviced by the municipality. May include title, registration, inspection, maintenance, checklists, repair, and incident reports.	Destroy one (1) year after disposal of vehicle and completion of successful audit.
LG9.4.10	Traffic Light Records Record of traffic lights which department is responsible for maintaining and servicing. May include intersection/signal diagrams, specifications, schematics, and work and repair orders.	Retain diagrammatic records during functional life of signal. Destroy maintenance records after three (3) years.
LG9.5	Administration	
LG9.5.1	Directives and Orders Official statements of policy, operating procedure, and standards. May include general or special orders.	Permanent - one record copy signed or issued by department or division head.

Fire Department

Record Series No.	Record Series Title and Description	Retention
LG9.5.2	Reports Internally generated reports including, but not limited to, manpower, operation, analysis, fire prevention and response, inspection, or other statistical and summary reports.	
	(a) Daily and weekly reports	Retain one (1) year.
	(b) Monthly and quarterly reports	Retain three (3) years.
	(c) Periodic reports	Retain three (3) years.
	(d) Annual reports	Permanent.
LG9.5.3	Record Books/Journals Summary record of operations and activity within fire department.	Permanent.
LG9.5.4	Committee Minutes Record of meetings, minutes, agendas, and calendars.	Permanent.
LG9.5.5	Certificates of Record 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. (RIGL § 38-1-10, § 38-3-6, and § 42-8.1-10.)	Permanent.

See Also:

GS #1	General Office, Administrative, Fiscal and Reference Records
GS #2	Personnel and Payroll Records
GRS #1	Executive, High-Level and Policy Making Records
GRS #2	Legal Records
GRS #3	Safety and Security Records
GRS #4	Facilities Records
GRS #5	Daily Operations Records
GRS #6	Records Management Records

All general schedules are available at http://www.sec.state.ri.us/Archives/general_schedules/

RECORDS RETENTION SCHEDULE

LG10

Public Works Department Records

Including
Municipal Engineer
Automotive, Highway and Maintenance,
Recycling and Sanitation,
Water, Parks and Recreation

May 1997
(Reissued May 2004)
(Reissued March 2008)
(Amended March 2010)
(Reissued September 2013)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903

Records Retention Schedule LG10

Public Works Department Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of sixty-seven (67) separate sets of records, or series, recognized as those records generated by municipal public works departments. Included in each entry is a series number, records series title and description, and a retention period. For example,

<u>Series No.</u>	<u>Series Title & Description</u>	<u>Retention Period</u>
LG10.1.3	Work Order Logs Summary record of work orders received and completed. May include work order number, job description, date started and completed.	Retain three (3) years

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

**State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration**

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.

2. Division - means any sub-unit of any department.

3. Date - the date your department prepared the form.

4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.

5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.

Note: Using the precise record series number and title will expedite the approval process.

6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.

Note: For purposes of calculating retention, do not count the year in which the records were created.

If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.

7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.

8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.1	Automotive, Highway, and Maintenance	
LG10.1.1	Work/Repair Requests and Complaints Requests for work or repairs initiated by citizen complaint or by internal request. Data may include name and number of complainant or requester, location and type of work to be performed, dates and times of receipt and response. May include vehicle service requests.	Retain three (3) years.
LG10.1.2	Work/Repair Orders Record of work performed and completed. Data may include date(s), time(s), order number, location, description of work, authorization, names of persons performing work, itemized labor, equipment, and material information. May include vehicle repair/service work and gas cut-off orders.	Retain three (3) years.
LG10.1.3	Work Order Logs Summary record of work orders received and completed. May include work order number, job description, date started and completed.	Retain three (3) years.
LG10.1.4	Vehicle Records Records relating to each vehicle owned and/or serviced by Public Works. May include title, registration, inspection, maintenance, checklists, repair, and incident reports.	Retain one (1) year after disposal of vehicle and completion of audit.
LG10.1.5	Vehicle Inspection Sheets Check lists for vehicles, mechanical systems, and equipment. May include equipment number, operator, date, checklists, fuel consumed, and mileage.	Retain two (2) years.

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.1.6	Accident Files Record of accidents sustained by persons or properties. May include police reports, witness statements, reports, memoranda, diagrams, photographs or other related documentation.	Retain three (3) years unless in litigation. Note: If minor involved, retain three (3) years after minor reaches the age of eighteen (18) years.
LG10.1.7	Fuel Slips Slips recording individual fuel intake. Data may include vehicle number, type, driver, meter readings, gallons of fuel, oil, or antifreeze received.	Retain one (1) year after audit.
LG10.1.8	Fuel Summaries Record of daily, weekly, or monthly fuel disbursed. May include type of fuel dispersed, pump locations, meter or stick readings, gallons delivered, and total gallons consumed. May also indicate oil and antifreeze disbursal.	Retain until successful audit plus one (1) year.
LG10.1.9	Traffic Light Files Record of traffic lights department is responsible for maintaining and servicing. May include intersection/signal diagrams, specifications, schematics, and work and repair orders.	Retain diagrammatic records during functional life of signal. Destroy maintenance records after three (3) years.
LG10.1.10	Snow Plow Files Records relating to snow plow routes and activity. May include maps, routes, correspondence, logs, crew lists, or other documentation relevant to snow removal.	Retain until updated, superseded, or obsolete.

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.1.11	Tree Files Records of tree maintenance, planting, and removals. May include correspondence, removal or planting schedules, copies of agreements, reports, proposals, pamphlets, maps, grant information, and records on pesticide use including public hearing notices and copies of applicators' licenses and certifications.	Retain three (3) years.
LG10.2	Recycling and Sanitation	
LG10.2.1	Recycling/Solid Waste Invoices Record of invoices/receipts from Rhode Island Solid Waste Management Corporation, oil waste depositories, or other facilities accepting recyclable materials or solid waste.	Retention three (3) years.
LG10.2.2	Recycling Logs and Transfer Station Records Record of accepted materials (metals, yard waste, oil, antifreeze, e-waste, white goods, mattresses, tires propane tanks) transported to the municipal recycling center. Data may include names of residents using facility, addresses, date, materials delivered, and vehicle registration number. May also include fee schedules, lists of transfer station stickers issued, and records of monies received for trash bags or tags sold or fees collected for the disposal of certain items.	Retain one (1) year. Retain receipts/fiscal records one (1) year after audit. <i>Revised 9/2013</i>
LG10.2.3	Compost Tabulations Record of temperature or triangular tabulations of yard waste compost at the municipal facility.	Retain three (3) years.
LG10.2.4	Container Distribution Record Listing of municipal residents receiving recycling containers. Data may include name, address, phone number, date delivered, and reason for distribution (new, lost, broken).	Retain until updated, superseded, or of no administrative value.

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.2.5	Trash Can Replacement Receipts Record of residential trashcan replacements. Data may include signature verifying receipt/delivery, date delivered, and reason for replacement.	Retain three (3) years.
LG10.2.6	Educational Material Educational and reference materials on recycling for distribution. May be in the form of newsletters, pamphlets, or flyers.	Retain until updated, superseded, or of no administrative value.
LG10.2.7	Sanitation Files Records relating to sanitation truck routes and activity. May include maps, routes, correspondence, newspaper clippings of public notices, tonnage reports, logs, and crew lists.	Retain until updated, superseded, or obsolete.
LG10.2.8	Landfill Records Records relating to municipal landfill operation. May include certificates of insurance, ground water samples/analysis, EPA screening site inspection, DEM preliminary assessments, plans relating to engineering, operating, contingency, sedimentation, erosion control, and closure, Hydrogeological reports, monitoring logs, CERCLIS documentation, and site access agreements.	Permanent.
LG10.3	Engineering	
LG10.3.1	Plans, Maps, and Drawings Plans, drawings, and maps including but not limited to, survey and plat, tax assessment, layout and grade, sanitary sewers, zoning, easements, landfills, subdivisions, traffic control, water, fire lanes, and municipal buildings.	
	(a) Original or record copy.	Permanent.

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.3.1 (Continued)	(b) Reference copies.	Retain until updated, superseded, or of no administrative value.
LG10.3.2	Plans, Maps, and Drawings Registers Log or register of plans, drawings, or maps received or submitted. Data may include drawing number, date submitted, street name, plat number, and location.	Permanent.
LG10.3.3	Field Books Engineering field measurements, sketches, and diagrams including, but not limited to, elevations, distance, bench marks, ridges, easements, drainage, ponding, and core test holes.	Permanent.
LG10.3.4	Bench Mark Books Record of bench mark locations including elevations.	Permanent.
LG10.3.5	Indices Location and cross reference systems devised and maintained for the purpose of retrieving plans, drawings, maps, or other records.	Purge with related plan, drawing, map, or record.
LG10.3.6	Street History Records On-going, cumulative street reference records documenting street actions and activity. Records may include references to and citations of land evidence records, orders, resolutions, and minutes of City/Town Council, adoptions and abandonments, grading, paving, sidewalks, surveys, plat references, copies from maps and field books, copies of petitions, covenants, and public notices, lists of property owners, correspondence, and memos.	Purge obsolete records and records of no further administrative value after five (5) years.

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.3.7	Paving Records Record of street paving work. Data may include street name, job summary, firm, contract number, widths, lengths, and areas, intersection data, work details, inspection dates, diagrams, elevations, grade and curbing.	Purge obsolete records and records of not further administrative value after five (5) years.
LG10.3.8	Sewer and Water Assessment Records Records relating to sewer and water connection assessments for tax purposes. May include location diagrams, inspection, measurements, abatements, and data on previous assessments. (a) If pertinent data is recorded in/transferred to another record <u>or</u> information is held by municipal Tax Assessor. (b) Not recorded or held elsewhere.	Retain one (1) year. Retain as long as property connected to system.
LG10.3.9	Sewer Location and Connection Records Records detailing sewer connections for individual properties and/or municipal sewer system. Includes location, diagram, and address. May include system specifications, requests for location of sewer connections, surveys, sketches, inspection and work reports, and dye test requests and reports.	Retain as long as system is in existence.
LG10.3.10	Grant of Easement Files Grant of easement records for legal permission to conduct work on private property, including, but not limited to, laying constructing, maintaining, operating, repairing and servicing water and sewerage pipes, mains, drains, signs, and utilities. May include descriptions of easement area, diagrams, plans, agreement, memos, correspondence, and property disposition.	

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.3.10 (Continued)	(a) Original or record copy - signed and witnessed.	Permanent.
	(b) Duplicate copies.	Retain until of no administrative value.
Note: Original or record copy may be held by City/Town Solicitor or other municipal official.		
LG10.3.11	Subdivisions and Land Development Project Files Records documenting property subdivisions. May include site plan review and subdivision check lists, inspections, diagrams, plans, drawings, specifications, memos, and analysis.	
	(a) Documents which form part of the original or record copy of the application records.	Permanent.
	(b) Duplicates and denied applications.	Retain until of no administrative value.
LG10.3.12	Bridge Files Cumulative history file for individual bridges. May include memos, correspondence to/from departments of state and contractors, newspaper clippings, reports, plans and specifications, materials lists, excavation permits, bridge deficiency and inspection reports.	Purge obsolete records and records of no further administrative value after five (5) years.
LG10.3.13	State Regulatory Agency Files Records documenting compliance with state requirements such as coastal resources management and freshwater wetlands. May include copy applications for state assent to perform work, requests for preliminary determinations, wetlands determinations, complaints, notices of violations, plans/maps, assents, notices of public hearings, correspondence, and memos.	

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.3.13 (Continued)	(a) Records relating to projects and development on municipally owned property.	Retain three (3) years after work completed.
	(b) Copies of records relating to projects and development on private property within municipal jurisdiction.	Retain one (1) year after work completed.
LG10.4	Water	
LG10.4.1	Water Service and Valve Location Records Records detailing water service connections for individual properties and/or municipal water system. Includes location, diagram, address, type, date connection laid, lengths, make, size, curb stop, main, or gate valve.	Retain as long as system is in existence.
LG10.4.2	System Monitoring Charts Graphs monitoring municipal water distribution system including flow rates, pressure, and elevation.	Retain five (5) years.
LG10.4.3	Water Reading Logs Log of water readings at individual pumping and meter stations. Data may include date, time, reading, number of gallons per minute, readers name, and remarks.	Retain five (5) years.
LG10.4.4	System Repair and Maintenance Records Record of work performed and completed on individual water meters, connections, and mains. May include meter number, manufacturer, readings, job descriptions, name, telephone number, locations, size and service number.	Retain three (3) years.

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.4.5	Water Testing Records Records of water testing and analysis conducted on water system. Records may include, but are not limited to, water testing records, laboratory certificates of analysis, microbiological and other result reports, water supply summary sheets, sample site identification and certification, lead and copper results, sample analysis reports, and Department of Health result and standard reports.	
LG10.4.5 (Continued)	(a) Bacteriological analysis and microbiological examinations.	Retain five (5) years.
	(b) Chemical analysis, organic and inorganic chemical, radiological, and turbidity analysis.	Retain ten (10) years.
	(c) Lead and copper analysis.	Retain twelve (12) years.
	(d) Corrosion control sampling.	Retain twelve (12) years.
	(e) Source water treatment.	Retain twelve (12) years.
	(f) Records of action taken to correct violations of primary drinking water regulations.	Retain three (3) years after last action taken with respect to the particular violation involved.
	(g) Records relating to sanitary surveys of the system.	Retain ten (10) years after completion of the survey.
	(h) Records relating to variances granted.	Retain five (5) years following expiration of variance or exemption.

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.4.6	Water Management Plans Plans mandated by RI general law and regulated by state agencies. Plans may include, but are not limited to, Water Supply Management Plan, Infrastructure Replacement Component, Water Quality Protection Plan, and Wellhead Protection Plan.	Permanent.
LG10.4.7	Water Service Applications and Agreements Applications and agreements for water service and supply. Data may include name, address, plat and lot numbers, district, service, and meter numbers. Signed agreement of terms and service may act as contract.	Retain as long as service is in effect.
LG10.4.8	Meter Reading Books Record of water usage for individual customers. Includes date of reading, reading figures, water consumed, meter number, size, manufacturer, owner, address, and service number. Note: Records relating to water consumption, billings, and sales shall be kept six years with respect to collection of the water quality protection charge.	Retain six (6) years.
LG10.4.9	Meter Reading Drop Off Cards Water use cards filled out by individual customers. Data includes date, meter reading and service number.	Retain one (1) year.
LG10.4.10	Water Quality Protection Charge Exemption Applications Applications for exemption from the water quality protection charge by elderly and commercial agricultural water users.	Retain six (6) years.

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.5	Parks & Recreation	
LG10.5.1	Recreation Program Records Records relating to programs and activities sponsored or developed by the Parks and Recreation Department. Records may include, but are not limited to, sports programs, including soccer, tennis, softball, baseball, ice skating, and basketball, aerobic programs and classes, road races, arts and recreational activities for children with special needs, charitable events, raffles, day camp enrollment, luncheons, and picnics. May include player rosters, sponsor forms, practice notices, schedules, permission slips, drop out forms, worker lists, sponsor lists, brochures, flyers, correspondence and memos.	
	(a) Registration forms - also called approval forms, enrollment forms and permission slips. May include disclaimer, consent, parent or guardian signature, emergency medical and surgical treatment forms, and medical information.	Retain three (3) years after minor reaches the age of eighteen (18) years.
	(b) Travel permits.	Retain three (3) years unless in litigation.
	(c) One copy of program/promotional literature and any related photographs.	Permanent.
	(d) Other program records.	Retain three (3) years after program/activity terminated/completed.
LG10.5.2	Games of Chance Copies of applications and financial reports submitted to the Rhode Island State Police Charitable Gaming Unit.	Retain one (1) year after audit.

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.5.3	Coach/Instructor/Lifeguard Records Records relating to instructor, lifeguard, or coaches' certification and training. May include volunteer coach registrations forms, National Youth Sports Coach Association (NYSC) certifications, rosters, and copies of clinician exams, reference and training videos, newsletters, correspondence, and memos	Retain until updated, superseded, or of no further administrative value.
LG10.5.4	Recreation Facility Records Records relating to maintenance, compliance and monitoring of municipal facilities including beaches, pools, ice skating rinks, arenas, and athletic fields. Records may include but are not limited to Department of Health or DEM inspections for air quality, and sanitation, micro biological and chemical testing and monitoring reports, facility applications, licenses, and inspections.	Retain three (3) years.
LG10.5.5	Harbor Master Log Weekly log detailing harbor master activity. May include number of hours worked, whether administrative or patrol, location, number of warnings and violations issued, remarks and comments.	Permanent.
LG10.5.6	Mooring Permits and Inspections Record of mooring permits issued and mooring inspections conducted by the Harbor Master. May include mooring inspector lists, certification, and certificates of insurance.	Retain three (3) years after expiration.

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.6	Administration	
LG10.6.1	Project/Program Files Cumulative files documenting the development of programs and projects. May include studies, questionnaires, project descriptions, specifications, correspondence, proposals, memoranda, meeting minutes, press releases, maps, plans, bid registers, requests for bid or proposals, subcontractor lists, inspection reports, municipal resolutions, cost estimates, and reports.	
	(a) Completed projects/programs.	Permanent - one record copy.
	(b) Abandoned projects/programs.	Retain three (3) years.
LG10.6.2	Grant Files Records relating to the development of grant proposals to state or federal agencies and the administration of grant awards and programs. Records may include, but are not limited to, grant applications and agreements, studies, notices, technical specification, drawings, plans, bid and contract records, accounting, banking, purchasing, and payroll records, bonds, monitoring and performance reports, expenditure and outlay reports, memoranda, and correspondence.	

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.6.2 (Continued)	(a) Grant applications and amendments, final performance, disposition and expenditure reports.	Permanent.
	(b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records. See Notes.	Retain ten (10) years from submission of close-out and final expenditure report <u>or</u> submission of annual financial status report for grants renewed annually.
	(c) Real property and equipment records.	Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.
	(d) Income transaction records (earning of income) <u>after</u> grant support. Where required by the terms of the grant. See Notes.	Retain ten (10) years from the end of fiscal year in which the income is earned.
	(e) Unsuccessful grant applications.	Retain three (3) years.

Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.

Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (§9-1-17).

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.6.3	Bid Files	See LG2.4.2
LG10.6.4	Contract Files	See LG2.4.3
LG10.6.5	Surplus Property Records Records relating to United States Government, General Services Administration property donated/transferred, or issued to the municipality, department or its divisions. Includes application/agreement forms, property transfer forms, disposal forms, issue sheets, compliance forms, reports, insurance records, correspondence, and memos.	Retain three (3) years after property returned or disposed of.
LG10.6.6	Backcharges Record of charge back accounts/billings to other departments for work performed.	Retain until successful audit plus one (1) year.
LG10.6.7	Includes receipts. Building/Land Use Request Forms Requests for use of municipal buildings or lands 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. Note: Any rental agreement issued by the department or its divisions which acts as a signed agreement on terms and conditions of use should be kept as long as the agreement remains in effect.	Retain three (3) years.

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.6.8	Work Assignment Logs Summary record of personnel and work assignments. May include route number, vehicle number, listing of drivers and crew members, and type of work to be performed. May be listed by division: sanitation, highway, maintenance, snow plow routes, water, and engineering.	Retain three (3) years.
LG10.6.9	Utility Agreements Agreements with electric and/or telephone companies for permission to locate, maintain, and service poles or meter boxes. Includes plans and petitions.	Retain until utility agreement is terminated.
LG10.6.10	Hazardous Materials Right To Know Files Records relating to toxic or hazardous substances used, transported, or stored by the Department of Public Works. Documents include chemical identification lists, material safety data sheets (MSDS), and Right-to-Know training program information.	Retain thirty (30) years.
LG10.6.11	Licenses and Permits Applications and copy licenses or permits issued by the Public Works Department or its divisions <u>or</u> notification copies of licenses or permits issued by other municipal or state authorities. Examples include, but are not limited to, licenses or permits for compost sites, operating transfer stations, dumping at municipal facilities, collecting or hauling of solid waste, excavation, sewer connections, discharge industrial wastewater, building and plumbing, physical alterations, and blasting.	

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.6.11 (Continued)	(a) Permits (issued) to discharge industrial waste water.	Permanent.
	(b) Other permits issued.	Retain three (3) years after expiration or work completed.
	(c) Permit notifications.	Retain one (1) year.
	Note: Any permit issued by the department or its divisions which acts as a signed agreement on terms and conditions of use should be kept as long as the agreement remains in effect.	
LG10.6.12	Permit Logs Master summary register of permits issued such as excavation permits, sewer connections, water service. Information may include name of permit holder, permit number, type, and date issued, location of work, dates of inspection, work completion, and final acceptance.	Permanent.
LG10.6.13	Petition Notification Records Copies of petitions received by Town/City Council relating to public works mandates. May include petitions relating to the installation, opening, or resetting of curb stops, highway and street abandonments and adoptions, layout and grade, easements, and excavation.	Retain one (1) year.
LG10.6.14	Violation Records Records relating to violations within municipal jurisdiction and regulation. May include notices of violation, postal certified return receipts, memos, inspection reports, photographs, correspondence. May also include copies of records relating to prosecution of violator by city/town solicitor.	Retain one (1) year after resolution.

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.6.15	<p>Reports Internally generated reports on Public Works Department and division's activities. May include statistical and summary reports.</p> <p>(a) Daily and weekly reports.</p> <p>(b) Monthly and quarterly reports.</p> <p>(c) Annual reports.</p>	<p>Retain one (1) year.</p> <p>Retain three (3) years.</p> <p>Permanent.</p>
LG10.6.16	<p>Minutes of Meeting Minutes of meetings including agendas and meeting notices.</p>	Permanent.
LG10.6.17	<p>Certificates of Record 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. (RIGL § 38-1-10, § 38-3-6, and § 42-8.1-10.)</p>	Permanent.
LG10.6.18	<p>Mosquito Abatement Records Records that document the municipality's role in mosquito control within the city or town. Mosquito abatement and control records includes informing citizens about personal protection and dangers of mosquito-borne disease and the city or town's role in the abatement process. Records may include but are not limited to educational/press releases, receipts for larvacide, periodic reports/reporting forms/approval forms to and/or from the DEM/Division of Agriculture, correspondence and memoranda, copies of agendas of training sessions (pesticide applicator), and meeting minutes/records of the municipality or district mosquito abatement commission, board or council.</p>	

**Public Works, including Engineer, Automotive, Highway and Maintenance,
Recycling and Sanitation, Water, Parks and Recreation**

Record Series No.	Record Series Title and Description	Retention
LG10.6.18 (Continued)	a) Meeting records of the mosquito abatement commission, board or council.	Permanent. See also LG4.1.
	b) Educational/press releases.	See GRS5.7 - Public Relations Records.
	c) All other records.	Retain three (3) years.

See Also:

GS #1	General Office, Administrative, Fiscal and Reference Records
GS #2	Payroll Records
GRS #1	Executive, High-Level and Policy Making Records
GRS #2	Legal Records
GRS #3	Safety and Security Records
GRS #4	Facilities Records
GRS #5	Daily Operations Records
GRS #6	Records Management Records
GRS#7	Information Management Records
GRS#9	Personnel Records

All general schedules are available at <http://www.sos.ri.gov/archives/recordschedules/>

RECORDS RETENTION SCHEDULE

LG11

Planning Board Planning and Community Development Records

May 1997
(Reissued June 1999)
(Reissued May 2004)
(Reissued March 2008)
(Amended January 2009)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903

Records Retention Schedule LG11
Planning Board, Planning and Community Development Department Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of fifteen (15) separate sets of records, or series, recognized as those records generated by municipal public works departments. Included in each entry is a series number, records series title and description, and a retention period. For example,

<u>Series No.</u>	<u>Series Title & Description</u>	<u>Retention Period</u>
LG11.4	Capital Improvement Records Records relating to proposal requests from individual municipal department for capital improvements. May include project requests and summaries, budget and cost estimates, analysis, worksheets, priority ratings, schedules, recommendations and decisions, memos and correspondence	
	(a) Approved requests.	Permanent.
	(b) Copies and denied requests.	Retain three (3) years.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

**State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration**

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist & Public Records Administrator _____ <div style="text-align: right; margin-top: 10px;">Signed and executed Certificate is a permanent record. (§42-8.1-10)</div>			

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating retention, do not count the year in which the records were created. If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

Record Series No.	Record Series Title and Description	Retention
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1

Planning Board, Planning & Community Development Records

Record Series No.	Record Series Title and Description	Retention
LG11.3	Comprehensive Community Plan Records relating to the development and submission of a Comprehensive Community Plan including land use and regulation, transportation, public facilities, blighted and general areas for redevelopment, renewal, rehabilitation, or conservation, problems of housing and the development of housing programs, environmental protection, natural resource conservation, protection from disaster, economic and social characteristics of the population, preservation of historic sites and buildings, economic development, and capital improvement. May include surveys, studies, plans, reports, background records, and updated or amended Comprehensive Community Plans.	Permanent.
LG11.4	Capital Improvement Program Records Records relating to proposal requests from individual municipal departments for capital improvements. May include project requests and summaries, budget and cost estimates, analysis, worksheets, priority ratings, schedules, Planning Board and copy City/Town Council recommendations and decisions, memos, and correspondence. (a) Approved requests. (b) Copies and denied requests.	Permanent. Retain three (3) years.
	Note: Official or record copy may be held by other municipal department.	
LG11.5	Plans, Maps, and Drawings Plans, drawings, and maps including, but not limited to, projects and proposals for community and economic development, capital improvement, development, subdivisions, zoning, survey and plat, tax assessment, water quality and wetlands analysis, flood insurance, buildings, high-ways, sanitary sewers, and traffic control.	

Planning Board, Planning & Community Development Records

Record Series No.	Record Series Title and Description	Retention
LG11.5 (Continued)	(a) Original or record copy.	Permanent.
	(b) Duplicates and reference copies.	Retain until updated, superseded, or of no administrative value.
Note: Official or record copy may be held by other municipal department.		
LG11.6	Indices Location and cross reference systems devised and maintained for the purpose of retrieving plans, drawings, maps, or other records.	Purge with related plan, drawing, map, or record.
LG11.7	Registers Registers, logs, or master summary record including those used to record receipt of land development/subdivision applications and actions related to them, activities related to planning and/or community development, or to record the receipt of plans, drawings, or maps.	Permanent.
LG11.8	Subject/Development Files Records compiled for reference or development of projects and programs including, but not limited to, streets, emergency preparedness and management, recycling, malls and industrial parks, sewers, transportation, water and harbor management. May include proposals, studies, reports, plans, specifications, newspaper clippings, technical papers, memoranda, and correspondence.	
	(a) Final report and essential supporting documentation for projects/programs implemented.	Permanent.
	(b) Reference records and projects/programs not implemented.	Retain until obsolete or of no administrative value.

Planning Board, Planning & Community Development Records

Record Series No.	Record Series Title and Description	Retention
LG11.9	Grant Program Files Records relating to the development of grant proposals to state or federal agencies and the administration of grant awards and programs. Records may include, but are not limited to, grant applications and agreements, studies, notices, technical specifications, drawings, plans, bid and contract records, accounting, banking, purchasing, and payroll records, bonds, monitoring and performance reports, expenditure and outlay reports, memoranda, and correspondence.	
	(a) Grant applications and amendments, final performance, disposition and expenditure reports.	Permanent.
	(b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records.	Retain ten (10) years from submission of closeout and final expenditure report <u>or</u> submission of annual financial status report for grants renewed annually.
	See Notes.	
	(c) Real property and equipment records.	Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.
	(d) Income transaction records (earning of income) <u>after</u> grant support. Where required by the terms of the grant.	Retain ten (10) years from the end of fiscal year in which the income is earned.
	See Notes.	
	(e) Unsuccessful grant applications.	Retain three (3) years.

Planning Board, Planning & Community Development Records

Record Series No.	Record Series Title and Description	Retention
LG11.9 (Continued)	<p>Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the 10 year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.</p> <p>Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty (20) years (§9-1-17).</p>	
LG11.10	<p>Federal Assistance Application Annual application submitted to the federal Department of Housing and Urban Development.</p>	Permanent.
LG11.11	<p>Community Development Case Files Records relating to loans awarded to promote public improvement, social services and economic development, rehabilitation and revitalization, and affordable housing. Records may include, but are not limited to, loan applications, budgets, project and work descriptions and specifications, evaluations, contracts, progress reports, financial statements, records of loan payments, monitoring reports, and correspondence.</p> <p>(a) Approved applications.</p> <p>(b) Denied applications.</p>	<p>Retain ten (10) years after final payment on loan.</p> <p>Retain six (6) years.</p>
LG11.12	<p>Reports and Studies</p> <p>(a) Daily and weekly reports.</p> <p>(b) Monthly and quarterly reports.</p> <p>(c) Annual and special reports and studies.</p>	<p>Retain one (1) year.</p> <p>Retain three (3) years.</p> <p>Permanent.</p>

Planning Board, Planning & Community Development Records

Record Series No.	Record Series Title and Description	Retention
LG11.13	Historic Preservation Survey Records Records relating to the RI Statewide Survey including Historic Building Data Sheets and photographs for individual buildings surveyed.	Permanent.
LG11.14	Certificates of Record 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. (RIGL § 38-1-10, § 38-3-6, and § 42-8.1-10.)	Permanent.
LG11.15 (new series)	Sub-Grant Files Files of all documentation of sub-grants awarded through a municipal grant program funded from governmental or private sources. May include but is not limited to, original sub-grantee application, grant award and cooperative agreement, financial reports, progress reports, clippings, correspondence, audit reports and eligibility and verification documents. a) Approved Applications. b) Denied Applications Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the ten year period, the records must be retained ten (10) years after completion of the actions and resolution of all issues which arise from it.	 Retain ten (10) years from date of submission of the final expenditure report. Retain three (3) years from date of decision.

Planning Board, Planning & Community Development Records

Record Series No.	Record Series Title and Description	Retention
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See Also:

GS #1	General Office, Administrative, Fiscal and Reference Records
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GS #2	Personnel and Payroll Records
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GRS #1	Executive, High-Level and Policy Making Records
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GRS #2	Legal Records
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GRS #3	Safety and Security Records
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GRS #4	Facilities Records
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GRS #5	Daily Operations Records
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GRS #6	Records Management Records
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All general schedules are available at http://www.sec.state.ri.us/Archives/general_schedules/

RECORDS RETENTION SCHEDULE

LG12

Municipal Court Records

August 1997
(Reissued May 2004)
(Reissued March 2008)
(Reissued May 2016)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903

Records Retention Schedule LG12

Municipal Court Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of fifteen (15) separate sets of records, or series, recognized as those records generated by the municipal court. Included in each entry is a series number, records series title and description, and a retention period. For example,

<u>Series No.</u>	<u>Series Title & Description</u>	<u>Retention Period</u>
LG12.2.4	Transmittal Lists List of summonses issued for local ordinance violations. Includes summons number, offender's name, officer's number, date, whether paid or hearing required.	

Retention: Retain one (1) year.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist _____ & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating retention, do not count the year in which the records were created.
If the retention period of a particular series is qualified by wording such as "Audit plus one year" or "three years after expiration," the date of the completed Audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

LG12.1 Traffic

LG12.1.1 Universal Summons

Summons issued for moving vehicle violations. Violations may include speeding, expired registration, failure to stop at a stop sign, etc.

(a) Paid in Full

Payment of universal summons without court action.

Retention: Retain three (3) years after final disposition.

(b) Court Disposition/Closed Case Files.

Closed files of universal summons heard by court with all fines paid. File may include original summons, receipt of payment, driving abstract, and court disposition.

Retention: Retain three (3) years after final disposition.

(c) Clearance for Reinstatement/Blue Forms

Forms indicating satisfaction/payment of universal summons violations which resulted in loss of drivers license. Forms authorize reinstatement of license.

Retention: Retain five (5) years after final disposition.

(d) Traffic Tribunal Hearing Closed

Universal summons cases heard initially by municipal court and appealed to Traffic Tribunal. Original file returned from Traffic Tribunal with final disposition.

Retention: Retain five (5) years after final disposition.

(e) Universal Summons copies

Universal summons cases to be heard by Traffic Tribunal only per RIGL § 8-8.2-2.

Retention: Retain three (3) years.

LG12.1.2 Transmittal Lists

List of summons issued for moving violations. Includes summons number, offender's name, officer's number, date, whether paid or hearing required.

Retention: Retain one (1) year.

LG12.1.3 Record and Receipts for Distributed Summons Books

Record of summons books distributed by court clerk and receipts signed by chief administrative officer of municipal police department for books received.

Retention: Retain two (2) years.

LG12.1.4 Summary Sheets

Original summary sheets signed by chief administrative officer of municipal police department and deposited with the clerk of the municipal court. Purpose is to record the use and date of each summons in summons book. Includes the date of issuance of all summons for each book, court complaint number and disposition if known, and accounts for the mutilation or destruction of any summonses.[RIGL 31-27-12.3(b)]

Retention: Delivery annually during the month of July to the administrative clerk in the Traffic Tribunal.

LG12.2 Local Ordinance**LG12.2.1 Local Ordinance Violations - Zoning, Fire and Health.**

Summons/tickets issued for local ordinance violations. Does not include minimum housing violations.

(a) Warnings.

Summons issued for local ordinance violation no fine issued, no court action.

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

(b) Paid in Full.

Payment of summons with no court action.

Retention: Retain seven (7) years after final disposition.

(c) Court Disposition/Closed Case Files

Closed files of local ordinance summons heard by court with all fines paid.

Retention: Retain seven (7) years after final disposition.

LG12.2.2 Other Local Ordinance Violations

Includes animal control and parking violations.

a) Warnings

Summons issued for local ordinance violation no fine issued, no court action.

Retention: Retain three (3) years from date of issuance.

(b) Paid in Full

Payment of summons with no court action.

Retention: Retain three (3) years after final disposition.

(c) Court Disposition/Closed Case Files

Closed files of local ordinance summons heard by court with all fines paid.

Retention: Retain three (3) years after final disposition.

LG12.2.2 Other Local Ordinance Violations (Continued)**(d) Clearance for Reinstatement/Blue Forms.**

Forms indicating satisfaction/payment of local ordinance violations (usually parking violations) which resulted in loss of drivers license. Forms authorize reinstatement of license.

Retention: Retain five (5) years after final disposition.

LG12.2.3 Minimum Housing Violations

Summons tickets issued for violations to minimum housing ordinances.

(a) Paid in Full

Payment of summons with no court action.

Retention: Retain seven (7) years after final disposition.

(b) Court Disposition/Closed Case Files

Closed files of summons heard by court with all fines paid.

Retention: Retain ten (10) years after final disposition.

LG12.2.4 Transmittal Lists

List of summonses issued for local ordinance violations. Includes summons number, offender's name, officer's number, date, whether paid or hearing required.

Retention: Retain one (1) year.

LG12.3 Administration**LG12.3.1 Dockets**

List of persons scheduled to appear in court. May include summons number, offender's name, license and registration number, and usually accompanied by a sign in sheet.

Retention: Retain three (3) years

Recommendation: Docket should include names of complainant and respondent, license and registration numbers, offense, court date, judgment and disposition. Alternatively, this information should be kept in a separate Docket Book. In either case, **retain as a permanent record** to satisfy RIGL 42-8.1-17.

LG12.3.2 Video Tapes

Evidence relating to a particular case of non-compliance in violation of town/city ordinance.

Retention: Retain until final disposition of case.

LG12.3.3 Audio Tapes

Audio tapes of court proceedings.

Retention: Retain three (3) years.

LG12.3.4 Cash Drawer Receipts/Deposits

Daily deposit receipts of payments received by municipal court. May include an individual listing of payments and a breakdown of accounts into which fines are deposited.

Retention: Retain until audit plus one (1) year.

LG12.3.5 Warrants Canceled

Copy of warrants issued and then canceled by the municipal court. File may include court and police copy of warrant and letter/fax to police calling for cancellation of warrant.

Retention: Retain five (5) years.

LG12.3.6 Reports

(a) Paid Suspension List

Retention: Retain three years.

(b) Suspensions Sent to Traffic Tribunal to be Satisfied

Retention: Retain five years.

(c) Ticket Status Report

Retention: Retain one year.

(d) Paid Ticket Computer Printout

Retention: Retain until audit plus one (1) year.

(e) Annual Reports

Retention: Permanent.

LG12.3.7 Certificates of Record 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.

(RIGL § 38-1-10, § 38-3-6, and § 42-8.1-10).

Retention: Permanent.

See Also:

GS #1	General Office, Administrative, Fiscal and Reference Records
GS #2	Personnel and Payroll Records
GRS #1	Executive, High-Level and Policy Making Records
GRS #2	Legal Records
GRS #3	Safety and Security Records
GRS #4	Facilities Records
GRS #5	Daily Operations Records
GRS #6	Records Management Records
GRS#7	Information Management Records
GRS#9	Personnel Records

All general schedules are available at:

<http://sos.ri.gov/divisions/frequent-filers/records-management>

RECORDS RETENTION SCHEDULE

LG13

Public Library Records

September 2001
(Reissued May 2004)
(Reissued March 2008)
(Revised and amended May 2016)
(Amended March 2017)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903

Records Retention Schedule LG13

Public Library Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of twenty-seven (27) separate sets of records, or series, recognized as those records generated by public libraries. Included in each entry is a series number, records series title and description, and a retention period. For example,

<u>Series No.</u>	<u>Series Title & Description</u>	<u>Retention Period</u>
LG13.1.3	Interlibrary Loan Records Requests for books through interlibrary loan is complete. system. Includes reverse notices, check-in slips, and hold alerts.	Retain until transaction

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist _____ & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating retention, do not count the year in which the records were created. If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

LG13 Public Libraries

LG13.1 Circulation Records

LG13.1.1 Patron Registration Records (amended 5/2016)

Registration record for library access privileges. Includes patron's name, address and date of birth. May include additional contact information and additional copies of forms of identification and/or identification numbers.

Retention: Retain two (2) years after last activity. Delete records of deceased patrons upon request and verification.

Note: Any agreement issued by the department or its division that acts as a signed agreement on terms and conditions of use should be kept as long as the agreement remains in effect.

LG13.1.2 Interlibrary loan records

Request for materials through interlibrary loan system. May include reserve notices, check-in slips and hold alerts.

Retention: Retain until transaction is complete.

LG13.1.3 Overdue Notices/Fines – obsolete record

Note: Ocean State Libraries generates overdue notices and fines and data is retained for one year on a rolling basis and does not include patron identifiable information.

LG13.1.4 Collection Records

Records that document the collection of fines from overdue and lost materials. May include lost and paid forms and collection agency forms.

Retention: Retain until resolution and completion of municipal audit.

Note: Ocean State Libraries generates overdue notices and fines and data is retained for one year on a rolling basis and does not include patron identifiable information.

LG13.1.5 Missing Materials

Record of materials identified as not on the shelf and not circulating and labeled as missing.

Retention: Retain until resolution or until materials are replaced or records are removed from system.

LG13.2 Technical Services

LG13.2.1 Cataloging Records/Data

Bibliographic record created for new accessions. Includes assignment of barcode and request for cataloging.

Retention: Retain until item is de-accessioned.

LG13.2.2 Shelf List – obsolete record

Note: Shelf list information may be accessed through the Ocean State Library network. Data is retained by the system until changes are made by member libraries.

LG13.2.3 Catalog

OPAC listing of library holdings by author, title and subject headings.

Retention: Retain until updated, superseded or obsolete.

LG13.3 Reference Services

LG13.3.1 Vertical/Subject Files

Reference files maintained by the reference staff to aid in information and referral services.

Retention: Weed as necessary. Retain until updated, superseded, or obsolete.

LG13.4 Administration

LG13.4.1 Incorporation Records

Records that establish the library as a legal body or entity.

Retention: Permanent.

LG13.4.2 Complaint Reports

Complaints reported to the library staff. May include reports made by patrons to library staff concerning programming and materials selection and availability, reports by library staff to director, response to complaint and final decision.

Retention: Retain three (3) years. *Complaints concerning censorship issues (including filtering) should be reviewed for historical value.*

LG13.4.3 Incident and Accident Reports

Retention: *See GRS3.7 Incident Reports and Accident Reports.*

LG13.4.4 Fundraising Records

Records that document the fundraising activities by the library. May include but is not limited to annual reports, programs and brochures, membership lists and letters, press releases, meeting minutes and correspondence.

a) One copy of any program/publication and any related photographs, annual reports, meeting minutes, pertinent correspondence and press releases.

Retention: Permanent

b) All other records.

Retention: Retain until of no further administrative value.

See Also: GRS5.7 Public Relations Records

LG13.4.5 Donation and Endowment Records

Records relating to the establishment and administration of endowments, bequests and donations. May record donations made in the memory of an individual, group or corporate body or as a book/material endowment.

Retention: Retain until of no further administrative value. Review for historical value.

Note: Records that document a significant or noteworthy donation or endowment should be retained permanently.

LG13.4.6 Program and Exhibit Files

Records that document programs, services and exhibits sponsored or co-sponsored by the library. May include but is not limited to press releases, copies of brochures and mailings, reading lists, memos and correspondence, clippings, photographs, invitations, resumes of exhibitors and lists of participants.

Retention: Retain until of no further administrative value but no less than three (3) years. Summarize program, services and exhibit activities in the annual report of the library.

See Also: GRS5.7 Public Relations Records

LG13.4.7 Disaster Preparedness Plans

States the library's plan of action in the event of a natural or other disaster using the template provided by the Office of Library and Information Services (RIGL 29-6-3(e)).

Retention: Retain current plan only.

LG13.4.8 Preservation Plan

States the preservation needs and objectives of the library for the year using the template provided by the Office of Library and Information Services (RIGL 29-6-3 (d)).

Retention: Retain current plan only.

LG13.4.9 Grant Files

Records relating to the agency's development of grant proposals to state or federal agencies or other funding sources, and the administration of grant awards and programs. Records may include, but are not limited to, grant applications and agreements, studies, notices, technical specification, drawings, plans, bid and contract records, accounting, banking, purchasing, and payroll records, bonds, monitoring and performance reports, expenditure and outlay reports, memoranda, and correspondence.

a) Grant applications and amendments, final performance, disposition and expenditure reports.

Retention: Permanent.

b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records

Retention: Retain ten (10) years from submission of closeout and final expenditure report or submission of annual financial status report for grants renewed annually.

c) Real property and equipment records

Retention: Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.

d) Income transaction records (earning of income) after grant support (Where required by the terms of the grant)

Retention: Retain ten (10) years from the end of fiscal year in which the income is earned.

e) Unsuccessful grant applications

Retention: Retain three (3) years.

Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.

Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (RIGL §9-1-17).

LG13.4.10 Reports

Internally generated reports not covered in other record series, including reports and returns to municipal departments and state agencies.

a) Daily and weekly reports

Retention: Retain one (1) year.

Note: Reports required in the audit process must be retained one (1) year after audit is completed.

b) Monthly, quarterly and periodic reports

Retention: Retain three (3) years.

c) Annual, special reports and studies

Retention: Permanent.

LG13.4.11 Certification 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. (RIGL § 38-1-10, § 38-3-6(j), and § 42-8.1-10)

Retention: Permanent.

LG13.4.13 Library Boards and Trustees (amended 5/2016)

Boards formed in partnership for purposes of creating and administering new and existing services to the library community. Includes meeting notices, lists of board of trustee officers, information regarding board functions, manuals, agendas, meeting minutes and annual reports.

(a) Records that show coordination and long range planning of board or its programs and have authority through public law, executive order or municipal ordinance. May include, but are not limited to, policy manuals, meeting minutes and agendas, clippings, and correspondence.

Retention: Permanent.

(b) Records that show implementation and administration of program. Records may include but are not limited to agreements, correspondence, monthly and periodic reports documenting activities, statistical reports, surveys and clippings.

Retention: Retire records when board or program is defunct or retain until no longer of administrative value then review for historical value.

LG13.4.14 Board of Trustee Records (combined with Library Boards)

LG13.4.15 Minutes of Meetings (combined with Library Boards)

LG13.4.16 Membership Agreements (new series added 5/2016)

Library membership agreement with Ocean State Libraries including annual renewals and payment of dues.

Retention: Retain ten (10) years from renewal of membership or three (3) years from last renewal and completion of municipal or agency audit.

LG13.4.17 Sub-recipient grant records (added 3/2017)

Municipal and non-municipal public libraries may apply for and receive sub-grant funding from federal, and state funding sources administered through the Office of Library and Information Services (OLIS). Types of grants, received and managed through OLIS, may include but are not limited to: Public Library Construction Reimbursement Grants, Public Library Grant-in Aid, and LORI (Library of Rhode Island) Grants. Records created by the local public library include but are not limited to: grant applications, reports, plans and forms as required by OLIS or any other state agency where the local public library is a sub-recipient, purchasing records (invoices, purchase orders), payroll records; reimbursements and related fiscal records, waivers, or any other records as required by the terms of the grant.

Retention: Retain ten (10) years after the end of the sub-grant period (closeout date), or ten (10) years after audit (if applicable to OMB A-133 audit requirements) or ten (10) years after the completion of the municipal audit, whichever is later. In the event of litigation, retain seven (7) years after final disposition of litigation or ten (10) years after case opens, whichever is later.

Note: If any claim, negotiation, or other action involving the records has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.

Note: For the retention of grant applications and amendments, final performance, disposition and expenditure reports not related to a sub-grant see LG13.4.9 Grant files.

LG13.5 Special Collections (added 5/2016)

LG13.5.1 Special Collections Descriptive Records

Permanent and historical records including descriptive records such as accession log, accession records, catalogs, finding aids, guides, surveys, and inventories.

Retention: Permanent.

LG13.5.2 Researchers Sign-in Logs

Documents the daily users of the library's special collections.

Retention: Retain four (4) years.

LG13.5.3 Retrieval Records

Form used to retrieve, re-file, control and track production of special collections records from the holdings.

Retention: Retain four (4) years.

Note: Discard duplicate copies after re-file process is completed.

LG13.5.4 Temperature and RH Recordings

Hygrothermograph recordings of temperature and relative humidity condition in special collections vault or storage area.

Retention: Retain one (1) year.

LG13.5.5 Preservation Records

Documents efforts to ensure the preservation of the library's special collections. Includes preservation plans, records relating to preservation actions and document conservation

Retention: Permanent.

LG13.5.6 Exhibit Records

Documents exhibits and displays from special collections holdings. Includes exhibit research and development files, pamphlets, guides and other publications and publicity.

Retention: Permanent.

See also:

GRS1 Executive, High-Level and Policy Making Records

GRS2 Legal Records

GRS3 Safety and Security Records

GRS4 Facilities Records

GRS5 Daily Operations Records

GRS6 Records Management Records

GRS7 Information Management Records

GRS8 Fiscal Records (if not fiscal authority)

GRS9 Personnel Records (if not delegated authority)

Approved September 2001

Reissued May 2004

Reissued March 2008

Revised and amended May 2016

Amended March 2017

RECORDS RETENTION SCHEDULE

LG14

Municipal Human and Senior Services

September 2013

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903

Records Retention Schedule LG14

Municipal Human and Senior Services

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of thirty (30) separate sets of records, or series, recognized as those records generated by the municipal clerk. Included in each entry is a series number, records series title and description, and a retention period. For example,

LG14.2.1 Registration forms

Membership forms of participants filed annually with the senior center. Includes address, date of birth, marital status, and emergency contact information. May include ethnic background data and name of primary physician.

Retention: Retain three (3) years.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

**State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration**

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: *For purposes of calculating retention, do not count the year in which the records were created.* If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

Municipal Human and Senior Services Records Retention Schedule

Records Retention Schedule

Approved September 2013

LG14.1 Social Services

LG14.1.1 Client Case Files (previously approved January 2005)

Documents individual client contact with agency regarding information and referrals to various state, federal and municipal assistance programs and support groups. May include documentation on early intervention activities. Includes but is not limited to copies of applications to various assistance programs; initial intake form; progress notes; copies of qualification support materials such as proof of age, residency, and income and related correspondence.

Retention: Retain ten (10) years after final separation from program.
If any records are related to a case in litigation, retain records seven (7) years after final disposition of the litigation whichever is longer.

LG14.2 Programs

LG14.2.1 Registration forms

Membership forms of participants filed annually with the senior center. Includes address, date of birth, marital status, and emergency contact information. May include ethnic background data and name of primary physician.

Retention: Retain three (3) years.

LG14.2.2 Waivers/Fitness & Physical Activity Readiness Questionnaire

Records that document members informed consent required for participation in exercise programs sponsored by the senior center. Includes consent forms, physical readiness questionnaires, medical clearance forms, policy agreements and hold harmless and release agreements.

Retention: Retain three (3) years.

LG14.2.3 Class and program attendance/sign-up sheets and logs

Records which document member sign-up of activities for purposes of tracking onsite class/program participation/attendance (one-time and serial) as well as real-time use of the facility. This record may be hard copy or incorporated within a database and used for compiling weekly, monthly and annual statistics.

Retention: Retain three (3) years.

LG14.2.4 Activity and event records

Program files that document planning and execution of events, programs, activities and field trips. Files may include but is not limited to correspondence, sign-up sheets, receipts of fees collected, pre-billing documentation from vendors, copies of receiving reports, and vendor confirmations and agreements.

a) Receipts and receiving reports

Retention: Retain one (1) year after audit if copies and/or data are maintained by the Municipal Finance Department. Otherwise retain six (6) years after audit.

Municipal Human and Senior Services Records Retention Schedule

Records Retention Schedule

Approved September 2013

LG14.2.4 Activity and event records (continued)

b) All other records

Retention: Retain three (3) years.

LG14.2.5 Exercise and wellness program records

Files that document planning and execution of exercise and wellness programs organized through the center for the benefit of participants. Includes correspondence/email with instructors, exercise schedules and documentation of collection of fees for instructors.

Retention: Retain three (3) years after audit.

See also LG2.6.11 – Independent Contractors Records.

LG14.3 Volunteers

LG14.3.1 Applications of volunteers

Community service application forms and signed confidentiality agreements of individuals that volunteer at the senior center.

Retention: Retain three (3) years.

LG14.3.2 Evaluation forms of volunteers

Evaluations of and by volunteers for purposes of evaluating programming and performance.

Retention: Retain three (3) years.

LG14.3.3 Volunteer sign-in sheets

Sign-in sheets used for purposes of tracking hours and attendance.

Retention: Retain one (1) year.

LG14.4 Nutrition and Food Service

LG14.4.1 Meals on Wheels donations

Weekly record which documents donations of homebound clients and residents. The delivery of meals is coordinated by the senior center and donations are collected by volunteer drivers on behalf of the Meals on Wheels program.

Retention: Retain one (1) year.

LG14.4.2 Dining room weekly reports

Records that document weekly nutrition counts, meal site data (meals served) and donations received. May include copies of bank deposit slips or verification of deposit.

Retention: Retain three (3) years.

Municipal Human and Senior Services Records Retention Schedule

Records Retention Schedule

Approved September 2013

Note: Copies are also held by the 3rd party vendor contracted to provide this service.

LG14.4.3 Congregate Meals Forms and Data

Participant information reporting form required per Title III-C Congregate Nutrition Program. Data is used to qualify participants for the federal program. Includes data and statistics reported to the Department of Elderly Affairs.

a) Participant forms

Retention: Retain three (3) years or one (1) year after inactivity whichever is longer.
(7CFR §226.10(d))

b) Data and statistics reported to the Department of Elderly Affairs

Retention: Retain ten (10) years.

LG14.4.4 Food safety standards forms

Records that document compliance of food safety policies by volunteers/food handlers as provided by the Rhode Island Department of Health.

Retention: Retain three (3) years or one (1) year after inactivity whichever is longer.

LG14.4.5 Inspections/food service and facilities

Report that documents food establishment inspection as performed by the Department of Health. May include supporting documentation regarding corrections/compliance.

Retention: Retain until next inspection or three (3) years whichever is longer.

LG14.5 Transportation

LG14.5.1 Daily Route Sheet

Manifests or logs that document passengers on municipality-operated transportation vehicles. May include rider address and phone numbers.

Retention: Retain three (3) years in the event of incident or accident. Otherwise retain one (1) year.

See also:
GRS3.7 Incident and Accident Reports
GRS2.1 Legal Records – Case Files
GRS4.6 Vehicle Records

LG14.6 Medical Services

LG14.6.1 Health Records

Records that document clients seeking medical information and services. Documentation may include but is not limited to logs, narratives, copies of lab reports, referral forms, assessment forms, copies of prescription data and screening forms.

Municipal Human and Senior Services Records Retention Schedule

Records Retention Schedule

Approved September 2013

Retention: Retain seven (7) years from inactivity, then shred.

LG14.6.2 Referrals/Diabetes Management

Referrals from physicians of patients seeking diabetes management education counseling.

Retention: Retain seven (7) years from inactivity, then shred.

LG14.6.3 Diabetes Education Class Records

Includes correspondence, sign-in sheets, copies of insurance cards, faxes to physicians, copies of billing records, assessment and survey forms and patient contracts to release records.

Retention: Retain seven (7) years from inactivity, then shred.

LG14.6.4 Billing

Billing to insurance carriers for client diabetes education.

Retention: Retain six (6) years after audit.

LG14.6.5 Diabetes Outpatient Education Aggregate Data Form

Monthly form/report to the Department of Health as required used to maintain diabetes educator certification.

Retention: Retain three (3) years.

LG14.6.6 Attendance lists and evaluations

Attendance lists and evaluations of health and wellness seminars (excluding diabetes education), talks and support groups. May include teaching materials and syllabi.

a) Attendance lists and logs

Retention: Retain three (3) years.

b) Evaluations

Retention: Retain three (3) years.

c) Teaching materials and syllabi

Retention: Retain until updated, superseded or obsolete.

LG14.7 Administration and Finance

LG16.7.1 Agreements and MOUs

Memoranda of understanding or agreements with the Department of Elderly Affairs and/or third-party vendors/organizations that provide educational programs and services (nutrition, health and wellness) for members as part of programming offered by the center. Includes partnership and facility use agreements.

Retention: Retain ten (10) years after termination or expiration.

Municipal Human and Senior Services Records Retention Schedule

Records Retention Schedule

Approved September 2013

LG14.7.2 “Friends” and Fundraising Records

Records that document activities of “Friends” or fundraising group, association, non-profit group or advisory board that exists for the purpose of generating funding for services, activities, and equipment. May include but is not limited to membership lists/forms, clippings, correspondence, solicitation letters to potential members, programming records including publications/brochures, tickets and press releases, accounting records, annual reports, agendas and meeting minutes.

a) Annual reports, meeting minutes and agendas, one copy of publications and brochures and pertinent correspondence

Retention: Permanent.

b) Accounting records

Retention: Retain six (6) years after audit.

c) All other records

Retention: Retain until of no further administrative value.

See also: GRS4.2 Construction and Improvement Records

LG14.7.3 Database and statistical records

“My Senior Center” or comparable database used to track real-time usage of the facility, analyze participation, store membership information, manage daily programs and activities, record case management information and generate statistics.

Retention: See records series as outlined within this and other applicable schedules.

See also: GRS1.5 Annual Reports and LG14.7.8 Grant Records

LG14.7.4 Accreditation Records

Records that document the process of accreditation by the National Council on Aging. Includes copies of records organized according to nine (9) standards as well as self-assessment documents. May include minutes of meetings of the Accreditation committee.

Retention: Retain until next re-accreditation or five (5) years whichever is longer.

LG14.7.5 Newsletters, event calendars and membership packets

Newsletters, membership packets/booklets and event calendars generated by the senior center for purposes of informing membership of policies, activities and other services.

Retention: Retain one (1) copy permanently.

See also: GRS5.7 Public Relations Records

Municipal Human and Senior Services Records Retention Schedule

Records Retention Schedule

Approved September 2013

LG14.7.6 Reports

Internally generated reports not covered in other record series, including reports and returns to municipal departments and state agencies.

a) Daily and weekly reports

Retention: Retain one (1) year.

Note: Reports required in the audit process must be retained one (1) year after audit is completed.

b) Monthly, quarterly and periodic reports

Retention: Retain three (3) years.

c) Annual, special reports and studies

Retention: Permanent.

Note: Official or record copy of annual reports generated by departments of municipal government should be held by the agency that created the report.

LG14.7.7 Grant Program Files

Records relating to the agency's development of grant proposals to the Department of Elderly Affairs or other state or federal agencies or other funding sources, as well as records related to the administration of its own grant programs or programs administered by the agency. Grants may include but are not limited to Title III of the Older Americans Act and Legislative Grants through the Rhode Island General Assembly. Records may include, but are not limited to, grant applications and agreements, studies, notices, technical specifications, drawings, plans, bid and contract records, accounting, banking, purchasing, and payroll records, bonds, monitoring and performance reports, expenditure and outlay reports, memoranda, and correspondence.

a) Grant applications and amendments, final performance, disposition and expenditure reports

Retention: Permanent.

b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records

Retention: Retain ten (10) years from submission of closeout and final expenditure report or submission of annual financial status report for grants renewed annually.

c) Real property and equipment records

Retention: Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.

Municipal Human and Senior Services Records Retention Schedule

Records Retention Schedule

Approved September 2013

LG14.7.7 Grant Program Files (continued)

d) Income transaction records (earning of income) after grant support where required by the terms of the grant

Retention: Retain ten (10) years from the end of fiscal year in which the income is earned.

e) Unsuccessful grant applications

Retention: Retain three (3) years.

Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the 10 year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the 10 year period, whichever is later.

Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (RIGL § 9-1-17).

LG14.7.8 Reports to the Department of Elderly Affairs

Required reporting to the Department of Elderly Affairs for legislative/community services grant awards as well as any other state or federal funding received by the agency from the Department. Includes grant narrative, quarterly program performance reports and budget reports related to the grant. May include other supportive documentation and reports as required by the Department.

Retention: Retain ten (10) years.

See Also: LG14.7.8 Grant Program Files

LG14.7.9 Senior Employment Program

Records that document participation in community service subsidized employment or job-training program for qualified seniors. Includes, but is not limited to, copies of timesheets, job search forms and quarterly in-kind reports that detail job-training costs as well as related correspondence.

a) Records relative to participants in the program

Retention: Retain five (5) years after participant transitions to unsubsidized employment or leaves program.

b) All other records

Retention: Retain three (3) years.

Municipal Human and Senior Services Records Retention Schedule

Records Retention Schedule

Approved September 2013

LG14.7.10 Certification 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.

(RIGL § 38-1-10, § 38-3-6(j), and § 42-8.1-10)

Retention: Permanent.

See also:

GRS1 Executive, High-Level and Policy Making Records

GRS2 Legal Records

GRS3 Safety and Security Records

GRS4 Facilities Records

GRS5 Daily Operations Records

GRS6 Records Management Records

GRS7 Information Management Records

GRS8 Fiscal Records (if not fiscal authority)

GRS9 Personnel Records (if not delegated authority)

All GRS schedules are available at <http://www.sos.ri.gov/archives/recordschedules/>

RECORDS RETENTION SCHEDULE

LG15

Municipal Human Resources/Personnel
Departments, including Pension Boards, School
Departments/Districts, Fire/Ambulance
Departments/Districts, Police Departments, Water
Districts, and Special Purpose Districts

November 2010
(Amended September 2013)
(Amended May 2016)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903

Records Retention Schedule LG15

Municipal Human Resources Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of fifty-five (55) separate sets of records, or series, recognized as those records generated by the municipal clerk. Included in each entry is a series number, records series title and description, and a retention period. For example,

<u>Series No.</u>	<u>Series Title & Description</u>	<u>Retention Period</u>
LG15.1.4	Quarterly Tax and Wage Reports Quarterly reports submitted to the Rhode Island Department of Labor and Training.	Retain data or copies of reports three (3) years.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

**State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration**

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating retention, do not count the year in which the records were created.
If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

**Municipal Human Resources/Personnel Departments, including Pension Boards,
School Departments/Districts, Fire/Ambulance Departments/Districts, Police
Departments, Water Districts, and Special Purpose Districts**
Records Retention Schedule Approved November 2010 and Amended May 2016

LG15.1 Employee Administrative Services

LG15.1.1 Personnel Files – Official Copy

Official documentation of the employment history of municipal employees maintained by the Personnel/Human Resources Office/Division/Department of the municipality. Includes any personnel file that is the official record and not maintained by the municipal Human Resources office such as police and firefighters. Also includes any municipal agency that performs personnel functions independently of the municipal personnel office or any municipal agency that is the delegated authority for human resource/personnel functions. Includes part-time employees.

Files may include but are not limited to: various personnel action forms that document employee vital information (e.g. hire date, salary and position history, separation, pension reports and summaries), accrued hours reports and summaries, attendance records, tax with-holding forms, summary of payroll checks issued, and beneficiary of designation forms, employment applications, employment history including resumes and CV, copies of certificates of courses completed, transcripts, residency waivers, testing records, summary of testing results, credit reports, training records, professional certifications, awards, copies of deduction authorization forms, direct deposit authorization agreements and notices, notices of wage with-holding for loan re-payment, copies of garnishment orders or summary data, insurance applications/waivers, FMLA and COBRA notices, authorizations to contribute to the sick bank, health benefit election forms (options/changes in medical coverage), documentation of work performance/evaluations, disciplinary actions and termination records.

a) Vital information such as hire and separation date, salary and position history, accrued hours reports and summaries, pension contributions/returned contribution summaries/reports

Retention: Retain fifty (50) years after separation.

b) All other records

Retention: Retain ten (10) years after separation.

c) Per diem employees (added 5/2016)

Retention: Retain seven (7) years after separation.

Note: Disciplinary records may be retained for shorter periods as stipulated in the applicable bargaining unit contract and/or agreement.

Note: Retain personnel files of volunteer fire fighters and volunteer EMT personnel ten (10) years after separation. Retain thirty (30) years after separation if volunteer is exposed to toxic or harmful substances (29CFR1910.1020 (d)(1)(ii)) – see LG15.12.6 Occupational Safety Records.

Note: For retention of personnel files that are not the official record held by the delegated or designated authority see GRS9.1.

**Municipal Human Resources/Personnel Departments, including Pension Boards,
School Departments/Districts, Fire/Ambulance Departments/Districts, Police
Departments, Water Districts, and Special Purpose Districts**
Records Retention Schedule Approved November 2010 and Amended May 2016

LG15.1.2 Employment Eligibility Verification Forms

Federal Reporting Form (presently the I-9 form) completed by all employees verifying eligibility to work in the United States.

Retention: Retain three (3) years after the date of hire or one (1) year after the date employment ends whichever is later (8CFR274a.2).

Note: I-9 forms should be kept separate from the employee personnel file.

LG15.1.3 Wage Verification

Signed releases authorizing verification of employment by employee. Contain SSN data and includes copies of requests for employment verification. May include copies of subpoenas; wage summary report; correspondence; doctors' notes; and copies of checks for payment of injury, Division of Worker's Compensation Report of Earnings, Employee's Certificate of Dependency Status, and Employer's First Report of Injury.

Retention: Retain three (3) years.

Note: Copies may be filed in the personnel folder.

LG15.1.4 Quarterly Tax and Wage Reports

Quarterly reports submitted to the Rhode Island Department of Labor and Training.

Retention: Retain data or copies of reports three (3) years.

Note: These records may be processed and held by the Municipal Finance Department.

LG15.1.5 Calculation Worksheets

Worksheets for calculating rate and time of employees including sick time, sick time bonuses, vacation time and compensation time. May include attached memoranda, correspondence or reports.

Retention: Retain three (3) years.

LG15.2 Employee Benefits

LG15.2.1 Employee Benefit Plans

Records documenting various benefit plans and programs offered to employees by the municipality. Includes insurance plans (life, medical), and programs relating to deferred compensation plans and safety and wellness and any other benefit plans offered to municipal employees. Includes plan description and/or summary. May include enrollment forms, add/change forms, and termination of coverage forms.

Retention: Retain six (6) years after termination of enrollment or termination of plan.

**Municipal Human Resources/Personnel Departments, including Pension Boards,
School Departments/Districts, Fire/Ambulance Departments/Districts, Police
Departments, Water Districts, and Special Purpose Districts**
Records Retention Schedule Approved November 2010 and Amended May 2016

LG15.2.1 Employee Benefit Plans (continued)

Note: Retain insurance policies six (6) years after expiration (See LG2.5.1)

Note: Copies of enrollment, add/change and termination of coverage forms may be filed in the personnel files.

LG15.2.2 COBRA Records

COBRA allows employees who are losing their medical coverage to purchase health coverage from their former employers, at full cost, for eighteen months. Includes all forms and records associated with benefit payments and other transactions including vouchers that document bill paying and direct remittance.

Retention: Retain seven (7) years.

LG15.2.3 Family Medical Leave Act Files

This law allows employees to take unpaid leave for medical issues involving immediate family members. The files may include but are not limited to, applications for leave, written statements concerning the medical conditions of the family member in question, communications from doctors and any other associated correspondence.

Retention: Retain three (3) years as per 29 CFR 825.500.

Note: These records are subject to the same confidentiality requirements as other medical records.

LG15.2.4 Savings Bond Authorization Records

Records that document the administration the savings bond program available to municipal employees. 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 or until termination of savings bond deduction, whichever is sooner.

Note: Records may be processed and held by the Municipal Finance Department.

**Municipal Human Resources/Personnel Departments, including Pension Boards,
School Departments/Districts, Fire/Ambulance Departments/Districts, Police
Departments, Water Districts, and Special Purpose Districts**
Records Retention Schedule Approved November 2010 and Amended May 2016

LG15.2.5 Waiver of Insurance Benefits

Lists, forms and worksheets of employees that waive life/health/dental insurance coverage. May include copies of records indicating acceptance of/participating in a cash incentive program for voluntarily opting out of the municipal insurance plan/s.

Retention: Retain three (3) years or until updated or superseded or obsolete, whichever is longer.

Note: Copies may be filed in the personnel folder. Fiscal records indicating payment for cash incentives/buybacks should be held by the municipal finance office.

LG15.2.6 Employee Award Program

Records that document career awards and special employee recognition. May include monthly or periodic lists/reports of employees that receive awards/recognition, copies of requisitions/purchase orders for certificates/gifts, copies of citations and correspondence.

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

LG15.3 Examination and Testing Records

LG15.3.1 Examination Materials

Records used to develop civil service lists. The records may include, but are not limited to, civil service applications, answer sheets, worksheets, appeals of results, and job availability listings.

Retention: Retain three (3) years.

LG15.3.2 Exam Records/Lists (revised 9/2013)

Records which rank candidates for open positions and/or promotions. 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, answer keys, promotional interviews, video and audio recordings and testing results.

Retention: Retain three (3) years.

Note: Summaries of test results may reside in personnel folders.

Note: Certain exam records may be retained for shorter periods as stipulated in the applicable bargaining unit contract and/or agreement.

LG15.3.3 Exam Booklets

Examination booklets used for testing candidates. Files may include, but are not limited to, exam booklets, exam histories, and answer keys.

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

**Municipal Human Resources/Personnel Departments, including Pension Boards,
School Departments/Districts, Fire/Ambulance Departments/Districts, Police
Departments, Water Districts, and Special Purpose Districts**
Records Retention Schedule Approved November 2010 and Amended May 2016

LG15.4 Classification

LG15.4.1 Classification Records

Records that document classification and re-classification of positions in municipal government. Records may include but not limited to classification questionnaires, desk audits, requests for new position or salary adjustments and classification to salary crosswalk documents.

Retention: Retain five (5) years.

LG15.4.2 Job Specifications

Records that document descriptions of job specifications based on the functions of the position, educational levels and experience required for the position.

Retention: Retain (5) years after updated, superseded or obsolete.

LG15.5 EEO/ADA

LG15.5.1 Affirmative Action Plans and EEO Reports

Affirmative Action plans are required by Federal Law (29CFR1602.14). The files may include, but are not limited to, Affirmative Action plans, Affirmative Action policies, Civil Service (CS378-EEO) cards, reports and worksheets. Includes affirmative action plans of municipal police and fire departments and school departments/districts and any other district that does not file their plan with the municipal human resources authority.

a) Plans, policies, annual and semi-annual reports

Retention: Permanent.

b) EEO reports

Retention: Retain three (3) years.

c) All other records

Retention: Retain three (3) years.

LG15.5.2 ADA Accommodation Records

Employee requests for reasonable accommodations made under TITLE VII and the ADA.

Retention: Retain three (3) years from the date of making the record or personnel action involved. In cases of involuntary termination, retain three (3) years from date of termination (29CFR1602.31).

Note: For retention of discrimination case files, see GRS2.1(c).

LG15.6 Training and Education Records

LG15.6.1 Employee Training Records

Files that document incentive/non-incentive/training courses taken by municipal employees during their career. 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.

Retention: Retain until employee separates. Maintain summary information in personnel folder.

LG15.7 Recruitment and Hiring

LG15.7.1 Employment Application Files

Records of the process for filling open positions. Includes copy of vacancy notice, resumes and CV's, cover letters, employment applications and letters of recommendations. May include grade transcripts, testing records, physical examinations, background checks and any records pertaining to the failure or refusal to hire any individual. For unsuccessful applicants, they should be maintained by position applied for.

a) Unsuccessful applications

Retention: Retain three (3) years after hiring of successful applicant for position in questions (or three years after search concluded if position is left unfilled).

b) Unsolicited applications and resumes not in connection with posted job openings

Retention: Retain three (3) years

c) Applications/referrals of individuals recruited from protected classes (see Uniform Guidelines on Employee Selection Procedures and Title VII of the Civil Rights Act of 1964)

Retention: Retain three (3) years or until individual is hired or is no longer seeking employment with the agency, whichever is longer.

(d) Confirmation receipt for new hire reporting (added 5/2016)

State and local agencies are required by federal and state law to register all new hires and rehires with RI New Hire Reporting administered by the Department of Human Services – Office of Child Support Services. Confirmation receipts are forwarded to the agency upon receipt of new hire information filed as stipulated in RIGL §15-24 (Public Law 1997 Chapter 170 §16).

Retention: Retain in employee personnel file. See LG15.1.1 - Personnel Files-Official Copy

**Municipal Human Resources/Personnel Departments, including Pension Boards,
School Departments/Districts, Fire/Ambulance Departments/Districts, Police
Departments, Water Districts, and Special Purpose Districts**
Records Retention Schedule Approved November 2010 and Amended May 2016

LG15.7.2 Vacancy Notices and Lists

Notices and compiled lists of employment vacancies occurring in the municipal workforce. Includes position descriptions, qualifications and application deadlines.

Retention: Retain until resolution of all grievances (if any) and then until of no further administrative value (minimum three (3) years).

LG15.8 Compensation Records and TDI Records

LG15.8.1 Workers Compensation Employee Claim files

Claims management files that document employee claims for Workers' Compensation. The files may include, but are not limited to, regulatory forms (initial reports of claims/First Report of Injury), legal documents (pretrial orders, decrees of the court), medical documentation, attorney work products, depositions, investigative reports, attorney notes, and physical therapy records.

a) 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.

b) First Report of Injury/Incident or Accident Report that do not result in workers compensation claims.

Retention: Retain three (3) years from date of incident/accident.

c) All other records

Retention: Retain thirty (30) years.

Note: Police officers and fire fighters' claims under RIGL 45-19-1 shall follow the retention periods listed above (LG15.8.1).

Note: Workers Compensation records are kept separate from the employee personnel file.

LG15.8.2 Unemployment Compensation Claim Files

Records that document unemployment claims against the municipality. Files may include, but are not limited to, applications for unemployment compensation, rulings and correspondence.

Retention: Retain three (3) years or until all litigation (if any) has been resolved, whichever is later.

**Municipal Human Resources/Personnel Departments, including Pension Boards,
School Departments/Districts, Fire/Ambulance Departments/Districts, Police
Departments, Water Districts, and Special Purpose Districts**
Records Retention Schedule Approved November 2010 and Amended May 2016

LG15.8.3 Temporary Disability Records (TDI)

Records that document employees' application for disability insurance claims with the state's TDI program. Records include requests from the TDI program to the municipality for wage and employment information of claimants as well as correspondence.

Retention: Retain three (3) years after employee applies for benefits under the program.

Note: Department of Labor and Training, Temporary Disability Insurance Program retains claim files ten (10) years after claim is satisfied or abandoned.

LG15.9 Medical Records and Occupational Safety

LG15.9.1 Occupational Safety

Files relating to the safety of employees and workers on municipal property. May include correspondence from/to Department of Labor, Division of Occupation Safety, about violations, compliance orders and agreements

a) Employee exposure records

Retention: Retain thirty (30) years (29CFR1910.1020 (d)(1)(ii) or until all litigation is resolved, whichever is later.

b) Summary log of occupational injury and illness, annual summary and supplemental records

Retention: Retain five (5) years following the end of the year to which they relate (29CFR1904.33, 29CFR1904.44).

Note: These records may also be held by the municipal Public Works Department or Municipal Fire Department/District.

LG15.9.2 OSHA Compliance Orders and Reports

Copies of compliance orders from Department of Labor and Training, Division of Occupational Safety. May include health or safety citations, work orders, follow-up inspection reports, and letters of full compliance. (RIGL § 28-20)

Retention: Retain seven (7) years after final action relating to an inspection or violation.

**Municipal Human Resources/Personnel Departments, including Pension Boards,
School Departments/Districts, Fire/Ambulance Departments/Districts, Police
Departments, Water Districts, and Special Purpose Districts**
Records Retention Schedule Approved November 2010 and Amended May 2016

LG15.9.3 Employee Medical Files

Employee medical status records *made or maintained* by a physician, nurse, or other health care professional and may include the following: medical and employment questionnaires or histories; medical examination results and laboratory tests; medical opinions, diagnoses, progress notes and recommendations; first aid records, disability documentation, employee ADA documentation, descriptions of treatments and prescriptions and medical complaints.

Retention: Retain for duration of employment plus thirty (30) years (29CFR1910.1020 (d)(1)(i)).

Note: Medical files of employees who have worked for less than one (1) year for the employer need not be retained beyond the term of employment if they are provided to the employee upon the termination of employment (29CFR1910.1020 (d)(1)(i)(C)).

Note: Medical files shall be kept separate and maintained as a confidential record (29CFR1630.14).

LG15.10 Retirement

Note: Some series enumerated below may be held by the Municipal Finance Director or Business Manager

LG15.10.1 Retiree Files/Disability Retiree Files

Files of active retirees drawing funds from the approved pension plans of the city/town. Includes pension application form, correspondence, beneficiary designation form, retirement calculation worksheet, detail report of employee monthly contributions to fund, copy of death record, acceptance letter, survivors' benefit records and signed affidavits. May include files on disabled retirees that contain copies of medical records, annual physical exams, records on employment status, and signed affidavits.

Retention: Retain until retiree no longer draws funds from the plan due to death and lack of beneficiary.

Note: Retiree files/records may be kept with or filed in the personnel file.

LG15.10.2 Beneficiary Designation

Forms that indicate beneficiary designations of all active employees in the pension system. Copies may also reside in the personnel file

Retention: Retain current copy. Transfer to Retiree Files (LG15.11.1) or Return of Contributions Files (LG 15.11.3) upon separation or retirement.

Municipal Human Resources/Personnel Departments, including Pension Boards, School Departments/Districts, Fire/Ambulance Departments/Districts, Police Departments, Water Districts, and Special Purpose Districts
Records Retention Schedule Approved November 2010 and Amended May 2016

LG15.10.3 Return of Contribution Files

Files of separated employees that have chosen to receive a full return or lump sum of their contributions. Includes report/summary of individual contributions to plan by month and year. May include notices of termination or withdrawal from plan, notice of termination of employment and contribution rollover documents.

Retention: Transfer to Personnel Files (LG15.1.1).

LG15.10.4 Qualified Domestic Relations Orders

Court orders of alternate payee's right to pension benefits of active employees. File may include copy of divorce decree (final judgment), correspondence, and copies of retirement benefit plan information form.

Retention: Transfer to Retiree Files (LG15.11.1) or Return of Contributions Files (LG15.11.3) upon separation or retirement.

LG15.10.5 Pension Distribution Tax Reports

Federal reporting forms for distributions from pensions, annuities, profit-sharing (1099R), lump-sum reports or any other reporting forms. May include correspondence from plan administrator regarding review and corrections.

Retention: Retain four (4) years after the due date of such tax for the return period to which the records relate, or the date such tax is paid, whichever is later (26CFR31.6001-1(2)).

Note: See also LG2.6.6 Wage and Tax Statements.

LG15.10.6 Municipal Pension Plan

Record of the municipal pension plan, defined benefit plan, defined contribution plans, 401K plan or any other plan that funds employees' retirement benefits. May include amendments to the approved plan.

Retention: Permanent.

Note: Record or official copy of municipal pension plan may be held by the municipal clerk.

LG15.10.7 Transaction Registers

Monthly or quarterly transaction registers from plan administrator. Information includes asset summary, asset detail, assets acquired, assets disposed, transaction detail and transaction summary.

Retention: Retain six (6) years after termination of plan.

**Municipal Human Resources/Personnel Departments, including Pension Boards,
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Departments, Water Districts, and Special Purpose Districts**
Records Retention Schedule Approved November 2010 and Amended May 2016

LG15.10.8 Trade Confirmation Reports

Monthly statement/report from retirement fund accounts (s) showing value of fund(s).
Information includes monthly activity and asset portfolio.

Retention: Retain six (6) years after termination of plan.

LG15.10.9 Pension Participant Payout Reports

Monthly report from fund administrator showing detail pension payout to retirees. May
include participant SSN.

Retention: Retain three (3) years.

LG15.10.10 Actuarial Reports

Annual/bi-annual report submitted by actuary or actuarial company on the activity and
actuarial valuation of the pension fund. Report includes valuation summary for municipal
pension plans and retiree information. May include management's recommendations for
assuring future payments equal to the annual pension cost as required per RIGL § 45-10-15
and fiscal notes.

Retention: Retain one (1) copy permanently.

LG15.10.11 Employment Verification Forms

Employees' Retirement System of Rhode Island forms filed with ERSRI by the municipality
for purposes of salary verification, leave verification, termination, day count verification or
any other form as required by ERSRI relative to verification of benefits.

Retention: Retain one (1) year.

*Note: Official copy is filed with ERSRI and maintained as part of the MERS retiree's documentation.
Copies may also be filed in the employee's personnel file.*

LG5.11 Administration

LG15.11.1 Meeting Minutes

Meeting minutes and records of the municipal pension board.

Retention: Permanent.

Note: See LG4 – Records of Municipal Boards, Commissions, Committees and Councils.

**Municipal Human Resources/Personnel Departments, including Pension Boards,
School Departments/Districts, Fire/Ambulance Departments/Districts, Police
Departments, Water Districts, and Special Purpose Districts**
Records Retention Schedule Approved November 2010 and Amended May 2016

LG15.11.2 Reports

Internally generated reports not covered in other record series, including reports and returns to municipal departments and state agencies.

a) Daily and weekly reports

Retention: Retain one (1) year.

Note: Reports required in audit process must be retained one (1) year after audit is completed.

b) Monthly, quarterly and periodic reports

Retention: Retain three (3) years.

c) Annual and special reports and studies

Retention: Permanent.

Note: Official or record copy of annual reports generated by departments of municipal governments should be held by the agency that created the report.

LG15.11.3 Personnel Lists

Lists of personnel at all locations. May include telephone extensions, email addresses and department codes.

Retention: Retain three (3) years.

LG15.11.4 Rate and Time Records

Copies of records that record time/hours worked, hourly rate or salary, overtime hours, compensation time, leave time, or adjustments to rate or wage. Includes time sheets, time cards and sign-in logs or sheets. Copies may also be held by other municipal departments.

Retention: See GRS8.8.3 (b) Payroll Attendance Reports.

Note: Municipal Finance Departments maintains rate and time records four (4) years. See LG2.6.3.

LG15.11.5 Sick Bank Records

Records that document the activities of a sick bank committee. Includes correspondence/letter of notification to employees relating to the approval or denial of use of sick time from the sick bank/pool. May include minutes of meetings of the sick bank committee where decisions are recorded relative to the use of hours in the sick bank. May also include but is not limited to letters of applicants (requests to use time), copies of attendance records, doctors' notes and records documenting time donated by participating employees (affidavits). Copies of decisions may reside in personnel folders.

a) Meeting minutes

Retention: Retain three (3) years.

**Municipal Human Resources/Personnel Departments, including Pension Boards,
School Departments/Districts, Fire/Ambulance Departments/Districts, Police
Departments, Water Districts, and Special Purpose Districts**
Records Retention Schedule Approved November 2010 and Amended May 2016

LG15.11.5 Sick Bank Records (continued)

b) Employee requests and donation records

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

c) All other records

Retention: Retain three (3) years.

LG15.11.6 Certification 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. (RIGL §38-1-10, §38-3-6, and §42-8.1-10.)

Retention: Permanent.

**Municipal Human Resources/Personnel Departments, including Pension Boards,
School Departments/Districts, Fire/Ambulance Departments/Districts, Police
Departments, Water Districts, and Special Purpose Districts**
Records Retention Schedule Approved November 2010 and Amended May 2016

See also:

GRS1 Executive, High-Level and Policy Making Records
GRS2 Legal Records
GRS3 Safety and Security Records
GRS4 Facilities Records
GRS5 Daily Operations Records
GRS6 Records Management Records
GRS7 Information Management Records
GRS8 Fiscal Records (if not fiscal authority)
GRS9 Personnel Records (if not delegated authority)

All GRS schedules are available at: <http://sos.ri.gov/divisions/frequent-filers/records-management>

From GRS9 – Personnel Records

Drug Testing Records - See GRS9.21
Employee Injury Records – See GRS9.9
Interns and Volunteers - See GRS9.16 – Internship Records
Job Training Program Records (Workforce Investment Act) – See GRS9.13
Position Control Records – See GRS 9.18
Sexual Harassment Allegation Files – See GRS9.7
Unemployment Compensation Claim files – See GRS9.19
Veterans' Records (Employee) - See GRS9.14

From GRS1 – Executive and Policy Making Records

Employee Contracts, Grievance and Labor Negotiations Records - See GRS 1.17

From LG2 – Municipal Finance

Direct Deposit Authorization Agreements - See LG2.6.7
Insurance Records - see LG2.5
Payroll Records – see LG2.6
Rate and Time Records – See LG2.6.3
Requests for Leave Records – see LG2.6.4
Sick Leave Records – See LG2.6.5
Wage and Rate Tables - See LG2.6.9

RECORDS RETENTION SCHEDULE

LG16

Municipal Solicitors, Law Departments, Legal or
Special Counsels of Municipal Councils, Boards,
Commissions or Departments

November 2010
(Amended May 2016)

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminister Street
Providence, Rhode Island 02903

Records Retention Schedule LG16

Municipal Solicitors' Records

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of fourteen (14) separate sets of records, or series, recognized as those records generated by the municipal clerk. Included in each entry is a series number, records series title and description, and a retention period. For example,

<u>Series No.</u>	<u>Series Title & Description</u>	<u>Retention Period</u>
LG16.2	Legal Opinions Official opinions of the legal counsel, solicitor, special counsel or law department per the request of municipal officers and departments, councils, boards and commissions. May include supporting documentation such as copies of resolutions and memorandum or correspondence requesting opinion.	Permanent.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

**State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration**

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: For purposes of calculating retention, do not count the year in which the records were created.
If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

Municipal Solicitors, Law Departments, Legal or Special Counsels of Municipal Councils, Boards, Commissions or Departments

Records Retention Schedule

Approved November 2010, Amended May 2016

LG16.1 Index to Files

Index to general or subject files. May include date and file number and/or case number.

Retention: Retain until updated, superseded or obsolete. Purge with related record series.

LG16.2 Legal Opinions

Official opinions of the legal counsel, solicitor, special counsel or law department per the request of municipal officers and departments, councils, boards and commissions. May include supporting documentation such as copies of resolutions and memorandum or correspondence requesting opinion.

Retention: Permanent.

Note: Official/record copy of legal opinions with supporting documentation may be held by the department requesting opinion or may be held by the municipal clerk.

Note: For retention of legal opinions of the Attorney General's Office and the Ethics Commission, see GRS2.2

LG16.3 Labor/Union Records

Working file of the municipal solicitor. Includes copy of agreement, reference materials relative to pensions/benefits, charts, budget worksheets, seniority lists, reports, exhibits, negotiations session notes and supporting documentation.

Retention: Retain for the life of the contract plus three (3) years.

Note: Official/record copy of union agreements and contracts are permanent records and may be held by another municipal department.

LG16.4 Litigation Records or Legal Case Files

Litigation or legal files involving claims, civil or criminal matters by or against the municipality or its employees. May include copies of summons, tort claims notices, copy of complaint, copies of reports and witness statements and statements of municipal officials or employees. May also include but is not limited to copies of physical evidence inventory sheets, continuation sheets; reports, statements, correspondence, court transcripts, notes and memoranda, claims for payment/reimbursement due, reference materials, motions, copies of minutes, affidavits, arrest warrants and orders.

a) Routine civil cases that do not result in agency policy changes and do not involve discrimination

Retention: Retain seven (7) years after final disposition of case.

b) Landmark case files that result in changes to agency policy and/or procedures and may include discrimination case files

Retention: Permanent.

Municipal Solicitors, Law Departments, Legal or Special Counsels of Municipal Councils, Boards, Commissions or Departments

Records Retention Schedule

Approved November 2010, Amended May 2016

LG16.4 Litigation Records or Legal Case Files (continued)

c) Discrimination case files

Retention: Retain four (4) years after final disposition of case.

d) Criminal cases

Retention: Retain seven (7) years after final disposition of case.

e) Juvenile cases referred from municipal police department or school department to Family Court (added 5/2016)

Retention: Retain until minor reaches the age of 18 or three (3) years after adjudication, whichever is longer.

LG16.5 Workers Compensation Litigation Files

Case file regarding workers' compensation claims against the municipality. Includes but is not limited to copies of notice of hearing, employer's petition to review agreement or decree concerning compensation, answer to petition and memoranda. Includes copies of Employer's First Report of Injury and accident report forms.

Retention: Retain seven (7) years after final disposition of case.

LG16.6 Ordinances/Resolutions/State Legislation – Drafts

Working file of drafts for proposed ordinances, resolutions and legislation (for submission to the General Assembly). May include notes, research materials, copies of drafts submitted to municipal council/General Assembly and correspondence from municipal officials requesting a proposed ordinance, resolution or bill.

Retention: Retain ten (10) years.

Note: Drafts of proposed ordinances and resolutions kept as part of the Council records under LG4.1 Meetings & Hearings are permanent records.

See also: LG4.2.7 State Legislation: Proposed.

LG16.7 Bankruptcy Claim Records

Records of taxpayer bankruptcies as notified by U.S. District Court and pertaining to the municipality's claim for a specific sum owed. Includes copies of federal petitions for bankruptcy, proof of claim and power of attorney forms, supporting documentation and correspondence.

Retention: Retain seven (7) years after final disposition.

See also: LG2 Municipal Finance Schedule LG2 – LG2.3.9 Bankruptcy Records.

Municipal Solicitors, Law Departments, Legal or Special Counsels of Municipal Councils, Boards, Commissions or Departments

Records Retention Schedule

Approved November 2010, Amended May 2016

LG16.8 Claims Files

Records of claims filed for purposes of tax collection. Records may include reports and lists of taxpayers that are delinquent on payment, affidavits and collection status reports.

Retention: Retain seven (7) years after settlement.

Note: Official/ record copy may be held by another municipal department such as the Tax Collector or Finance Director.

See also: Municipal schedules: LG2.3.15 Claims Files and LG1.4.6 Claims.

LG16.9 Council Records

Solicitor's records relating to matters before any municipal council, board, committee or commission. May include notes, copies of ordinances, copy of council packet provided to council members, copies of dockets and agendas, copies of legislation/bills before the council, copies of draft resolutions, and memos to municipal solicitor from other departments relative to a specific resolution or ordinance.

Retention: Retain three (3) years.

Note: Retention periods of records of the all municipal councils, boards, commissions or committees are listed under municipal retention schedule LG4 Town and City Council Records.

LG16.10 Bids

Bid files of the municipal solicitor or law department. Includes copies of bids, bid specifications, certificates of insurance of vendors, and bid acceptance letters.

Retention: Retain three (3) years.

Note: For retention of record/ official copies of bid and contract records, see Municipal Finance Schedule – Purchasing Records: LG2.4.2 Bid Records and LG2.4.3 Contract Records.

LG16.11 Contracts

Copies of contracts or agreements (not union-related).

Retention: Retain for the life of the agreement or contract.

Note: Record/ official copies of agreements and contracts are retained ten (10) years from date of expiration.

LG16.12 Billing and Time Records

Records of invoices for services performed on behalf of the municipality. May include supporting documentation such as correspondence and time records.

Retention: Retain six (6) years after completion of municipal audit.

LG16.13 Certification 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.

(RIGL § 38-1-10, § 38-3-6 (j), and § 42-8.1-10).

Retention: Permanent.

**LG16.14 Qualified Domestic Relations Orders (QDRO) Files
(new series added 5/2016)**

QDRO or comparable legal orders issued by Family Court are reviewed by the municipal solicitor on behalf of the municipality for compliance with ERISA (Employee Retirement Income Security Act) and other applicable federal and state laws relative to retirement or other benefits. May include but is not limited to copies of QDROs, copies of divorce decrees, and correspondence.

Retention: Retain until legal proceedings complete or three years, whichever is longer.

See also: LG15.10.4 – Qualified Domestic Relations Orders.

See also:

GRS1 Executive, High-Level and Policy Making Records

GRS2 Legal Records

GRS3 Safety and Security Records

GRS4 Facilities Records

GRS5 Daily Operations Records

GRS6 Records Management Records

GRS7 Information Management Records

GRS8 Fiscal Records (if not fiscal authority)

GRS9 Personnel Records (if not delegated authority)

All GRS schedules are available at:

<http://sos.ri.gov/divisions/frequent-filers/records-management>

RECORDS RETENTION SCHEDULE

LG17

Municipal Emergency Management Agencies

April 2016

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminister Street
Providence, Rhode Island 02903

Records Retention Schedule LG17

Municipal Emergency Management Agencies

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of nineteen (19) separate sets of records, or series, recognized as those records generated by the municipal clerk. Included in each entry is a series number, records series title and description, and a retention period. For example,

LG17.1.1 (c) Local Concept Plans (PLC)

Includes emergency operations (EOP), continuity of operations (COOP), continuity of government (COG), hazard identification and risk assessment (HIRA), gap analysis, mitigation plans, training plans and metropolitan medical response plan (MMRS)

Retention: Retain until updated or superseded but no less than three years.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

Office of the Secretary of State
Rhode Island State Archives and Public Records Administration
Rhode Island Local Government Records Program
337 Westminster Street
Providence, Rhode Island 02903
401-222-2353

**State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration**

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.

2. Division - means any sub-unit of any department.

3. Date - the date your department prepared the form.

4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.

5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.

Note: Using the precise record series number and title will expedite the approval process.

6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.

Note: *For purposes of calculating retention, do not count the year in which the records were created.* If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.

7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.

8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

LG17.1 Plans and Reports

LG17.1.1 Plans

Plans are maintained by the agency and relate to the core mission of the agency (mitigation, preparedness, response and recovery). Plans document policies, procedures, critical infrastructure, continuity of operations etc. Plans evolve and are updated as necessary.

a) Local Strategic Plans (PLS)

Includes assessments of critical infrastructure

Retention: Permanent. Retain one record copy signed or issued by department or division head.

b) Procedural Plans (PLP)

Includes procedural SOP (standard operating procedures) and procedural overview done as a requirement of the Local Concept Plan (PLC) for the Emergency Operations Plan. May include infrastructure including communications, volunteers, mass casualty and dam profiles. Field operating guides (FOGs), Weather SOP's including shelters, special events and contingency plans.

Retention: Retain until updated, and then review for historical or long-term reference value.

c) Local Concept Plans (PLC)

Includes emergency operations (EOP), continuity of operations (COOP), continuity of government (COG), hazard identification and risk assessment (HIRA), gap analysis, mitigation plans, training plans and metropolitan medical response plan (MMRS)

Retention: Retain until updated or superseded but no less than three years.

d) Local Operations Plan (PLO) & Emergency Support Functions (ESF)

Includes damage assessment, debris management, resource management, hazardous materials (HAZMAT), marine and railroad emergency and medical emergency, emergency action plans (EAPs) for specific infrastructure and agencies within the municipality

Retention: Retain until updated or superseded but no less than three years.

e) State and Federal Plans

Copies of plans created by the federal emergency management agency (Homeland Security/FEMA) and state emergency management agency (RIEMA) including the state emergency operations plan.

Retention: Retain until of no further administrative value

LG17.1.2 SARA Title III Tier II Inventory Reports

Annual filings of hazardous chemical inventory reports made by local employers to the Rhode Island Department of Labor per RIGL §28-21 with copies filed with the Rhode Island State Emergency Response Commission, municipal fire departments and local emergency management officials. May include attached business plans with locus maps, building plans, emergency response actions plans, integrated contingency plans and safety data sheets.

a) SARA Title III Tier II Inventory Reports

Retention: Retain three (3) years.

b) Business plans filed with the agency.

Retention: Retain current plan long as the employer does business in the municipality, plus seven (7) years.

c) All other records

Retention: Retain as long as the employer does business in the municipality, plus seven (7) years.

Note: The Rhode Island Department of Labor retains Tier II inventory reports and data thirty (30) years.

See also: LG9.3 Fire Department Records – Hazardous Materials

LG17.1.3 After Action Reports

Reports of actions taken in conjunction with training/drills and real events that may include but is not limited to a synopsis of the event or training, an overview of the operation, incident analysis, lessons learned, summary of damaged, lost or contaminated equipment and supplies, call for service reports and logs (call-in incidents with locations) and improvement reports. After action reports are required for reimbursements through grant-funded projects or federal assistance.

Retention: Retain reports relative to training and drills until of no further administrative value but no less than three years. Retain reports for real events and declared states of emergency permanently.

Note: Some records may be duplicated in grant files as required by the terms of the grant. See LG17.4.5 and LG17.4.6 for retention of grant records in this document.

LG17.1.4 Maps and Plans

Maps and plans received, created and maintained by the agency in conjunction with activities relating to mitigation, preparedness, response and recovery.

a) Maps created by the agency

Retention: Retain until of no further administrative value but no less than three (3) years then review for historical or long-term reference value.

b) Copies of maps created by Federal, State and other Municipal agencies

Retention: Retain until updated, superseded or until of no further administrative value.

LG17.2 Training Records and Exercises

LG17.2.1 Training Records and Exercises

Emergency management staff participates in and conduct and/or sponsor training activities for various constituencies. Purposes of training activities may include: staff continuing education and certifications, mutual aid, federal mandates, training as specified from federal grants and or programs relating to mitigation, preparedness, response and recovery. Records of training activities may include but are not limited to: training manuals, press releases, curriculum/training descriptions, and testing materials, names of attendees, schedules, syllabi, agendas and documentation, sign-in sheets, and names and qualifications of trainers.

a) Training manuals, curriculum/syllabi, and testing materials.

Retention: Retain until of no further administrative value but no less than three (3) years.

b) Staff certifications.

Retention: Retain until updated, superseded, recertification or separation. Summary information or copies may reside in the personnel folder.

c) Course evaluations relating to a)

Retention: Retain until data is compiled and report is complete but no less than one (1) year. See GRS5.4 – Surveys/Questionnaires

d) Professional organization conference records.

Retention: See GRS5.12 – Professional Organization Membership files

e) Press releases and related records

Retention: See GRS5.7 – Public Relations Records

f) All other records

Retention: Retain three (3) years.

Note: Some records may be duplicated in grant files as required by the terms of the grant. See LG17.4.5 and LG17.4.6 for retention of grant records in this document.

LG17.3 Facilities and Equipment

LG17.3.1 Testing Records

Records and logs that document periodic (monthly, quarterly) testing of equipment and systems such as notification, communication and warning systems (e.g. Reverse 911, Red Cross Emergency Notification System, Port Siren System, Chemical Detection Systems, Emergency Alert Systems, NOAA Weather, Emergency Management State Radio System, Rhode Island Broadcaster Association, Amber Alert) communications equipment (radios, phones, teleconference systems), mobile command systems, generators, social media accounts and Special Needs Registry Records may include but are not limited to: testing logs, vendor records (copies of invoices and purchase orders, vendor inspection reports),

correspondence or email regarding system maintenance, repairs and failures, tests schedules and/or calendars.

Retention: Retain three (3) years.

LG17.3.2 Vehicle and Equipment Records

Records relating to vehicles or equipment owned and/or serviced by the agency. May include title, registration, inspection, maintenance and repair records, checklists, operation manuals and incident/accident reports. May include checklists, fuel consumed, meter readings, mileage logs and sign-out sheets.

a) Inspection sheets, checklists, meter readings, mileage logs and sign-out sheets.

Retention: Retain three (3) years.

b) All other records

Retention: Retain one (1) year after disposal of vehicle and completion of municipal audit.

Note: See GRS4.6 – Vehicle Records

LG17.3.3 Equipment Inventory/Supply Records

Records, which document current supply/stock or provisions, stored as needed for various operations. Supplies for mobile command/emergency operations centers, storage containers, disaster recovery kits, and water trailers are periodically checked for supply levels and replenished as needed. Supplies may include but are not limited to include protective gear, potable water, first aid, communications and computer equipment, video and lighting equipment, and tools. Records may include but are not limited to inventory sheets and copies of purchasing records

Retention: Retain three (3) years.

See also LG2.8.8 Fixed Asset Records

LG17.4 Administration

LG17.4.1 Accreditation Records

The emergency management agency may become accredited under the Emergency Management Accreditation Program (EMAP). This program is a voluntary assessment and accreditation process for emergency management programs. Records generated for the accreditation process serve to assist the agency in the strategic planning and improvement of the agency's goals and focus it to its core mission. Records may include but are not limited to the accreditation application, advisory committee documentation, correspondence, assessment records and decisions.

Retention: Retain until next re-accreditation or five (5) years whichever is longer.

Note: Some records such as plans; policies and procedures may be duplicates of records in grant files created as required by the terms of the grant or in other series enumerated in this and other applicable schedules.

LG17.4.2 Contracts and agreements

Records of contracts or agreements relating to mutual aid, data and resource sharing, service agreements and memorandum of understanding.

Retention: Retain ten (10) years after expiration of contract or agreement
See LG2.4.3 Contracts

See Also: GRS7.11 Information management records (Data/Resource Sharing agreements)

LG17.4.3 Laws and Executive Orders

Copies of records that establish the legal authority of the agency and its programs. May include copies of public laws, regulations, council ordinances and executive orders.

Retention: Retain until of no further administrative value (GRS5.11 – Reference Material) or as needed for accreditation purposes.

Note: Original or record copies of ordinances issued by a municipal council, public laws passed by the general assembly, executive orders by the governor or mayor are retained as permanent records. Regulations promulgated by state agencies are maintained as permanent records by the agency, office or governing body that created the record. Filed copies of state regulations are also maintained by the Archives Division, Office of Administrative Records.

LG17.4.4 Directives and Orders/Policies

Official statements of policy, operating procedure, and standards. May include general or special orders.

Retention: Permanent - one record copy signed or issued by department or division head.

LG17.4.5 Grant Files

Records relating to the agency's development of grant proposals to state or federal agencies or other funding sources, as well as records related to the administration of its own grant programs or programs administered by the agency. Records may include, but are not limited to, grant applications and agreements, studies, notices, technical specification, drawings, plans, bid and contract records, accounting, banking, purchasing, and payroll records, bonds, monitoring and performance reports, expenditure and outlay reports, memoranda, and correspondence.

a) Grant applications and amendments, final performance, disposition and expenditure reports.

Retention: Permanent.

b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records

- Retention: Retain ten (10) years from submission of closeout and final expenditure report or submission of annual financial status report for grants renewed annually.
- c) Real property and equipment records**
- Retention: Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.
- d) Income transaction records (earning of income) after grant support (Where required by the terms of the grant)**
- Retention: Retain ten (10) years from the end of fiscal year in which the income is earned.
- e) Unsuccessful grant applications**
- Retention: Retain three (3) years.

Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.

Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (RIGL §9-1-17).

LG17.4.6 Sub-recipient grant records

Local emergency management agencies receive sub-grant funding as sub-recipients through the state's emergency management agency, RIEMA. Types of federal grants, received and managed through RIEMA, may include but are not limited to: Public Assistance Grants, Hazard Mitigation Assistance Grants, Emergency Management Preparation Grants and the State Homeland Security Grant program. Records created by the local EMA include but are not limited to: reports, plans and forms as required by RIEMA or any other state agency where the local EMA is a sub-recipient as well as purchasing records (invoices, purchase orders, packing slips) and payroll records.

Retention: Retain for ten (10) years after the end of the sub-grant period (closeout date), or ten (10) years after audit (if applicable to OMB A-133 audit requirements) or ten (10) years after the completion of the municipal audit, whichever is later.

Note: If any litigation, claim, negotiation, or other action involving the records has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.

Note: For the retention of grant applications and amendments, final performance, disposition and expenditure reports that is not a sub-grant see: LG17.4.5– Grant files.

LG17.4.7 Independent Auditor's Reports

Audits performed in compliance with OMB Circular A-133 or as specified by the terms of the grant.

Retention: Retain ten (10) years.

Note: For the retention of municipal audit, see: LG2.1.9 - Audit Records and Financial Reports

LG17.4.8 Reports

Internally generated reports *not covered in other record series*, including reports and returns to municipal departments and state and federal agencies. Includes reports created by outside entities or consultants for the agency.

a) Daily and weekly reports

Retention: Retain one (1) year.

Note: Reports required in audit process must be retained one (1) year after audit is completed.

b) Monthly, quarterly and periodic reports

Retention: Retain three (3) years.

c) Annual and special reports and studies

Retention: Permanent.

Note: Official or record copy of annual reports generated by departments of municipal governments should be held by the agency that created the report.

LG17.4.9 Minutes

Record of meetings, including minutes, agendas, and calendars of the municipal Emergency Management Advisory Council.

Retention: Retain the official record permanently. Retain copies until of no further administrative value.

LG17.4.10 Reference Library

State or federal reports and guides, national standards, workbooks and other planning materials not created by or for the municipal agency.

Retention: Retain until updated, superseded or of no further administrative value.
See GRS5.11 – Reference Materials.

LG17.4.11 Certification 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. (RIGL § 38-1-10, § 38-3-6(j), and § 42-8.1-10.).

Retention: Permanent.

See also:

GRS1 Executive, High-Level and Policy Making Records

GRS2 Legal Records

GRS3 Safety and Security Records

GRS4 Facilities Records

GRS5 Daily Operations Records

GRS6 Records Management Records

GRS7 Information Management Records

GS1 & GS2 (Fiscal and Payroll Records - if not fiscal authority)

GRS9 Personnel Records (if not delegated authority)

All general schedules are available at <http://sos.ri.gov/divisions/frequent-filers/records-management>