

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 Westminister 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/>