

***RIGL §42-8.1-17 Duties of Agencies.***

*“It shall be the duty of each agency of the state and political subdivision thereof to: (1) Cause to be made and preserved records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency and designed to furnish the information necessary to protect the legal rights of the government and of the persons directly affected by agency’s activities.”*

**GRS1 Executive, High-Level and Policy-Making Records****GRS1.1 Correspondence and Memoranda**

Records and/or files created by the administrator, executive, or elected official that document executive level communication with agencies, staff, and external entities. Includes incoming and outgoing substantive and non-substantive correspondence and may be arranged by subject. Correspondence of a substantive nature includes records documenting agency policies/decisions and the process of determining those policies. Also includes records documenting how the department/division or office is organized and how it functions and/or performs its duties relative to its mandates (determined either by statute, regulation, ordinance, or agency policy).

**a) Non-substantive correspondence, memoranda, and correspondence requiring no response**

*Retention:* Retain one (1) year.

**b) All other records (substantive correspondence and memoranda)**

*Retention:* Permanent.

*Note: Correspondence may be captured at the programmatic level in agency specific records retention schedule. To determine retention, see appropriate record series enumerated therein.*

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

**GRS1.2 Program Establishment and Development Records (Revised April 2009)**

Records that document the framework of the agency and its programs and that provide a substantive historical record of the agency/programs background, development, and initiatives, including supporting documentation. Includes any records relative to the transfer of functions between departments and/or divisions as well as long-range and strategic plans.

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

*Retention:* Permanent.

**GRS1.3 Policies and Procedures**

Records created by any department, division, agency, commission, board, office, bureau, authority or other agency or quasi-public agency of state or local government that document the formal policies and procedures of the department, division and/or office.

*Note: Remove superseded or time delimited policies and procedures to an inactive file.*

*Retention:* Permanent.

**GRS1.4 Particular Instance Files**

Documents significant projects, initiatives, issues, and concerns of the Director, Chief Executive Officer, Elected Official or Department/Division head. Includes organizational and background materials, notes, memos, determinations, surveys, summaries, reports, clippings and related correspondence.

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

*Retention:* Permanent.

**GRS1.5 Annual Reports (Revised April 2009)**

Documents the preparation and production of the annual report, statistics and other interim and status reports. Includes background documents, materials, reports, work sheets, graphs, and related correspondence.

**a) Departmental annual report and work-papers**

*Retention:* Permanent.

**b) Divisional annual report and work-papers**

*Retention:* Where a divisional report becomes part of the departmental report, retain until the departmental annual report is completed. If the divisional report does not become part of the departmental report, retain divisional annual report and work-papers permanently.

**c) Sectional annual report and work-papers**

*Retention:* Where a sectional report becomes part of the departmental and/or divisional annual report, retain until the divisional or departmental annual report is completed. If the sectional report does not become part of the departmental and/or divisional annual report, retain sectional annual report and work-papers permanently.

*See also: Daily Operations Records - Daily, Monthly and Quarterly Reports - GRS 5.8 & 5.9.*

**GRS1.6 Special Plans, Publications, Studies and Reports (Revised April 2009)**

Plans or reports by state or municipal agencies or in conjunction with municipal, state, federal, independent agencies or consulting groups regarding significant initiatives or projects. May include but is not limited to annual reports, strategic plans, capital improvement plans, studies, technical reports, task force reports, and land use/open space/development reports.

*Retention:* Retain one copy permanently.

*Note: § 29-7-5 Deposits of state publications. – Each state agency shall designate one person as its documents officer and shall notify the Clearinghouse of his or her identity. The documents officer shall, prior to public release of a state publication, deposit with the Clearinghouse a minimum of twenty-five (25) copies certified to the documents officer by the Clearinghouse as required to meet the needs of the depository library system.*

*See also: Daily Operations Records - Daily, Monthly and Quarterly Reports - GRS 5.8 & 5.9.*

**GRS1.7 Meeting Minutes (Revised 9/2013)**

Accounts of the proceedings of any meeting or sub-committee meeting of the agency. Includes recorded minutes of meetings, agendas and supporting documentation. Supporting documentation may include but is not limited to meeting notices, meeting dockets, roll call votes, correspondence, reports, and revised agendas (RIGL § 42-46-7).

**a) Meeting notices, supplemental**

*Retention:* Retain copies one (1) year per RIGL § 42-46-6 (b).

**b) Annual meeting notice submitted to the Office of the Secretary of State per RIGL § 42-46-6 (a)**

*Retention:* Retain one (1) year.

**c) Emergency meeting notices filed per RIGL § 42-46-6 (c)**

*Retention:* Retain one (1) year.

**d) Electronic confirmation message from the Secretary of State indicating the acceptance of meeting minutes and/or notices through the Open Meetings website**

*Retention:* Retain one (1) year.

**e) Recording audio or video tapes and/or digital media (revised 1/2009)**

*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 boards, commissions, committees or councils document significant or landmark issues.*

**f) All other records**

*Retention:* Permanent.

**g) Meeting notes (new sub-series added 9/2013)**

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

*Retention:* Retain until meeting minutes approved.

**h) Records of board members/copies of minutes and supporting documentation. (new sub-series added 9/2013)**

*Retention:* Destroy at discretion. Verify with chair or designated records custodian that a complete record exists before disposal.

**GRS1.8 Open Government E-Filing Records (Open Meetings)**

Forms filed with the Office of the Secretary of State relative to the requirements of RIGL § 42-46-7 (e) Open Meetings Minutes. Includes Public Body Information Form and Filing Coordinator Designation Forms. May include correspondence and lists relative to the duties of the filing coordinator.

**a) Filing Coordinator and Interim Filing Coordinator Designation forms**

*Retention:* Retain until updated or superseded.

**b) Public Body Information forms**

*Retention:* Retain until of no further administrative value.

**c) All other records**

*Retention:* Retain until of no further administrative value.

**GRS1.9 Speeches**

Speeches by the executive or designee. May include notes, drafts with annotations, tape recordings and or transcriptions.

*Retention:* Retain draft and final copy Permanently.

*Note: If speeches are taped, retain tapes six (6) months after transcription. If not transcribed, retain tapes permanently.*

**GRS1.10 Ethics Commission Filings**

Copies of Ethics Commission forms submitted by the agency to the Ethics Commission. May include Recusal/Conflict of Interest forms, Gift Disclosure Statements, and Financial Statements per RIGL § 36-14-6, 36-14-16. May also include commission/board membership confirmation lists sent to agencies.

*Retention:* Retain twenty (20) years.

**GRS1.11 Disclosure of State Government Consultants Filings**

Form filed quarterly with the Office of the Secretary of State for the disclosure of state government consultants hired by the agency as required per RIGL § 42-90-1.

*Retention:* Retain six (6) years.

**GRS1.12 Lobbyist Reports**

Copies of prescribed records filed with the Office of the Secretary of State in compliance with RIGL § 22-10-4.1

*Retention:* Retain six (6) years.

**GRS1.13 Calendars and Appointment Books**

Record that documents the planned activities of the administrator, executive, department head or elected official. Includes electronic calendars.

**a) Elected officials**

*Retention:* Permanent.

**b) Administrative, executive, department or divisional head**

*Retention:* Retain until of no further administrative value.

**GRS1.14 Briefing Records**

Briefing records or briefing books submitted by divisions of departments or offices within municipal and state government to the executive officer/administrator/elected official. May include supporting documentation such as correspondence, notes and reports.

*Retention:* Permanent.

**GRS1.15 Transition Records**

Records relating to the transition activities between incoming and outgoing administrations. Includes the records of the transition team. May include correspondence, reports, briefing books, notes and appointments to transition team.

*Retention:* Permanent.

**GRS1.16 Commission/Board Appointment Records**

Records that document appointments to a board or commission. Includes appointments, certificates of engagement (copies), rosters and related correspondence.

*Retention:* Permanent.

**GRS1.17 Labor Relations Records (Revised 11/2010)**

Records of an agency's relations with employee unions. State agencies and local government entities negotiate contracts with labor unions and interact with union representatives once contracts are approved. This may involve employee efforts at formulating new unions, establishing ties to existing unions, and negotiating new contracts when existing ones have expired. The records may include, but are not limited to, union contracts, reports on issues, discussion papers, background support materials, proposed contracts, minutes of meetings, notes on meetings, results of union elections, certificates of fairness of elections, lists of employees eligible to vote in union elections, salary listings, press releases, grievances mediator's notes and related correspondence/memoranda.

**a) Meeting notices and minutes, legal decisions, negotiations, and record copy of contracts or agreements**

*Retention:* Permanent.

**b) Grievances**

*Retention:* Retain seven (7) years after final resolution.

**c) Grievances pertaining to terminations or grade reductions (new sub-series)**

*Retention:* Retain ten (10) years after case closed.

**d) Results of elections and certificates of fairness of elections (new sub-series)**

*Retention:* Permanent.

**e) Proposed (but not approved) contracts (new sub-series)**

*Retention:* Retain three (3) years.

**GRS1.17 Labor Relations Records (continued)**

**f) List of employees eligible to vote in union elections (new sub-series)**

*Retention:* Retain three (3) years.

**g) All other records**

*Retention:* Retain seven (7) years unless in litigation, in which case records should be retained during litigation and until the time for appeal has expired.

*Note: Records made or received by union stewards are not subject to RIGL § 42-8.1, § 38-2, § 38-3 and are therefore not included in this and other approved records control schedules.*

**GRS1.18 Grant Program 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 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.

**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).*

**GRS1.19 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.)

*Retention:* Permanent.

*See also: Records Management Records - Records Disposal Records - GRS6.8b.*

**GRS1.20 Annual Work Plans (Series added October 2009)**

Documents relating to the proposed work for the upcoming year. Included are annual works plans and work papers.

**a) Annual work plans**

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

**b) Annual plan work papers**

*Retention:* Retain until work plan is completed.

**GRS1.21 Reorganization Records (series added 11/2010)**

Records relating to departmental/divisional reorganization that may include the creation of new departments or divisions of state and municipal government or consolidation of departments/divisions. Reorganizations are authorized by the issuance of executive orders, enacted legislation and municipal ordinance or may result from transitional activities from one administration to another. Records may include but are not limited to: executive correspondence and memoranda, notes, reports, statements of function, studies, organizational charts and agency histories.

*Retention:* Permanent.

*See Also: GRS4.10 Relocation Records*

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