Records Series No.	Record Series Title and Description	Retention
CA1	**Child Welfare Unit**	
CA1.1	**Inquiry/Complaint Form** Form used to document initial response to inquiries or complaints and information about the nature of complaint; the latter may be about the welfare of a child or about the Child Welfare Unit. Form includes, but is not limited to, coding for type of caller (judges, attorneys, children, service providers, social workers); referrals; requests for information or intercession; and complaints. Form is filed by initial date of contact.	Retain seven years.
CA1.2	**DCYF Investigative Report** Duplicate copy of DCYF Child Protective Services (CPS) report. Report received by Child Advocate as required by law as notification of all abuse and neglect complaints about children under DCYF's care. Report may include, but is not limited to, entire investigation file, interviews, child's statement, post-CPS involvement (e.g.,contact with local police department), physician's report of examination, mental health reports/interviews, incident reports, whether a complaint is founded or unfounded, and child protective investigator's recommendations. After report is filed if no further action is needed, cases are arranged chronologically. If there is a need for further action, the OCA may recommend a specific remedy or may initiate a formal review resulting in CA1.4, CA1.6 or CA 1.7.	Retain seven years.
	(a) No further action taken.	Retain three years.
	(b) Recommendation made.	Transfer to CA1.3.
	(c) Formal review initiated.	Transfer to CA1.4, 1.6 or 1.7.
	RIGL§40-11-7	

Records Series No.	Record Series Title and Description	Retention
CA1.3	**Task Force/Special Panel Workpapers** All documentation created as a result of the formation of a special task force or special panel created due to the need to monitor quality of care issues or to comply with legally mandated issues. File may include, but is not limited to, witness testimony and notes, statistics, copies of policies, regulations, recommendations, findings and review of medical and mental health records (see CA1.4).	Retain seven years from issuance of report.
CA1.4	**Child Death Review/Special Task Force Reports** Reports are published in response to a review by a Child Death Panel or special task force. Reports are broad in scope and do not contain confidential information about individual children under DCYF care. Purpose of reports is to document efforts to affect positive change in child welfare system; to educate the public; to make recommendations; and to identify problems.	Permanent
CA1.5	**Voluntary Placement Case File** Includes, but is not limited to, confidential information about individual children whose parents have voluntarily agreed to place children under DCYF care, and status of case. Child Advocate's role is to consult with DCYF if placement is inappropriate (places child at risk). If necessary Family Court intervention may be requested. US Adoption and Safe Families Act PL105-89; RIGL§157-7, 40-11-12.1 and 42-72-15.	Retain thirty years after case is closed.
CA1.6	**Site Review Investigation File** Investigations by Child Advocate conducted annually, or as complaints warrant, of conditions at state-licensed residential placements such as shelters, group homes, and residential facilities. File may include, but is not limited to, resident comments; behavioral management and health policies; condition of physical	Retain for life of site plus seven years.

Records Series No.	Record Series Title and Description	Retention
	plant; social and recreational programming; independent living preparation; and staffing ratios.	
CA1.7	**Children's Bill of Rights Violation File** Investigation file created by the Child Advocate as a result of a complaint (CA1.1) or DCYF Investigation Report (CA1.2). Purpose of investigation is to ensure that the legal and civil rights of children under DCYF care are protected. Includes, but is not limited to, incident report (copies of reports by staff of residential facilities and group homes); Family Court records (may seek declaratory and injunctive relief from a system problem, e.g., a facility policy on strip searches or overcrowding at the Training School).	Retain thirty years from original complaint/ inquiry. **Note:** information needed for monitoring is transferred to CA1.6.
CA1.8	**Office of the Child Advocate Annual Report** Report submitted annually to the governor, other general officers and members of the general assembly summarizing the Office's yearly activities and recommending changes to improve the child welfare system in Rhode Island.	Retain one copy permanently.
CA2	**Education Surrogate (Foster) Parent Program**	
CA2.1	**Special Education Case File** Case files for special needs children for whom the Child Advocate acts as surrogate parent because children are under care of DCYF and parents are unable to make educational decisions for them. File may include, but is not limited to, child's DCYF case plan, Individual Education Plan (I.E.P.), medical/mental health records, DCYF correspondence, court reports and CPS (Child Protective Services) reports. US Individuals with Disabilities Education Act And 20USC1400 and 42USC670 et seq.	Retain seven years.

Records Series No.	Record Series Title and Description	Retention
CA2.2	**Department of Education Contracts** Defines responsibilities of Child Advocate in providing services on behalf of the Department of Education such as training volunteers to review the I.E.P., school placements and accomodations, and children referred to the Education Surrogate Parent program. The Child Advocate implements a case tracking system and procedures to track students moving from residence to residence and surrogate parents' performance at least quarterly. OCA ensures community representation. Includes contract, account information and all Correspondence with RIDE.	Retain seven years.
CA2.3	**Education Surrogate Parent Program Advisory Committee File** Consists of eight members representing the State Advisory Committee for Special Education, the Foster Parent Association, the Parent Support Network of Rhode Island, a community-based organization serving minority populations, a representative of the Association of Rhode Island Administrators of Special Education, a community-based children's advocacy organization, and representatives of the OCA and the RI Department of Education. Committee meets quarterly to advise Program on relevent issues. File is comprised of minutes, agendas and related materials.	Record copy kept by Department of Education. Retain OCA representative's copy permanently.
CA2.4	**Surrogate Parents Program Quarterly Report** Each quarter a report is produced assessing the performance of all Education Surrogate Parents which will lead to creation of an annual budget summary. In addition, report may include federal and state financing data, budget projections, and summary of expenditures. Report is submitted to state budget office. An abbreviated version with reference to federal financial accounts is submitted to RI Department of Education.	Permanent.

Records Series No.	Record Series Title and Description	Retention
CA2.5	**Surrogate Program Volunteer Case Files** Training files of individual volunteers (foster parents) who participate in the Child Advocate's Surrogate Program. File documents that training occurred, child's interest was represented and dates of service. File may include but is not limited to signed statement that volunteer agrees to represent child (original in file, copy to volunteer), training materials and responses to semi-annual inquiries sent by OCA to the volunteer for a report on the status of the child.	Retain seven years from last service.
CA2.6	**Surrogate Program Training File** Standard packet orients volunteers to duties and responsibilities File may include, but is not limited to, copies of relevant laws, procedures and policies. **Note:** OCA must retain one copy permanently to document training expectations at time person volunteers.	Retain one copy permanently.
CA2.7	**Surrogate Program Trainees Listing** Record in both electronic and hardcopy format listing names of trainees in active and inactive sections. Trainees may change active/ inactive status frequently. Hardcopy list may be produced several times per week. The database system consists of a series of related databases from which reports are produced, arranged either by trainees' names or trainee numbers. The system contains the following data elements: advocate number, trainee name, address, work and/or home telephone number, and status of trainee (active or inactive).	Retain hard copy until superseded.
CA2.8	**Medicaid Reimbursement File** May include student's name, date of birth, social security number, disability, advocate, date of billing and units (fifteen minutes) of service provided. Record is used for purpose of managed case care reimbursement from federal government.	
	For Administrative Purposes	Retain ten years.

Records Series No.	Record Series Title and Description	Retention
	For Audit Purposes	Retain three years after audit. **Retain for whichever period is the longer of the two.**
CA3	**Administration**	
	General Office Administrative Records, Fiscal and Personnel Records	See Records Retention Schedules #1 and #2
CA3.1	**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, 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, and other required and pertinent records.	Retain ten 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.	Retain three years from the date of disposition, replacement or transfer of property/equipment.

Records Series No.	Record Series Title and Description	Retention
	(d) Income transaction records (earning of income) after grant support. Where required by the terms of the grant.	Retain ten years from the end of fiscal year in which the income is earned.
	(e) Unsuccessful grant applications.	Retain three years.
	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 **seven (7) years** after completion of the action and resolution of all issues which arise from it.	
CA3.2	**Certificates of Records Destruction** Certification of Records Destruction forms (PRA 003) signed by the authorized agency official and submitted and signed by the State Archivist/Public Records Administrator. Certificates authorize the disposal of records listed in this and other applicable schedules (§§38-1-10, 38-3-6, and 42-8.1-10).	Permanent.