

**DEA1 Program Establishment and Development**

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.

RIGL 42-8.1-17.

Retention

Permanent.

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

**DEA2 Fund Development Records**

Documents the Agency's efforts to obtain funding from federal, state, local, or private sources. Includes grant and program proposals, background source materials, final accepted proposals and contracts, award announcement letters, and related correspondence.

RIGL 9-1-13(a).

Retention

(a) Non-awarded documents and materials: Substantive proposals, plans, and correspondence: Permanent.

(b) Non-substantive materials: Retain until administrative use ceases.

(c) Final proposals, grants, contracts, and agreements: Permanent.

**DEA3 Service Provider Contracts Records**

Documents the review, acceptance, and monitoring of contracted service providers. Includes bid documentation, background support materials, contract negotiation records, final contracts, field reports, fiscal reports, and related correspondence.

RIGL 9-1-13(a); RIGL 40-8.2-4.

Retention

Retain 10 years after close of contract.

Note: If contract is in litigation, then retain during litigation and for a period of seven (7) years after the disposition of litigation.

**DEA4 Grant and Contract Claims and Disbursements Records**

Documents the accounting for claims made by DEA to the Federal Government or against other contract or grant accounts for payroll payments to contracted and purchase of service vendors on the behalf of vendors who qualify for funding under the U.S. Department of Health and Human Services programs such as Title 18 and 19 (Medicaid) and Title 4E of the Social Security Act, or other. The series also documents payments from grant, trust or other funding sources for services for the elderly. Includes provider invoices, state claims to Medicaid and Title 1v-e purchase orders, vendor census reports, and related accountability documentation, payment support materials, account reconciliation documentation, and related correspondence.

Note: While accounts may be from federal sources using federal funds, the state enters into state contracts warranting a 10 year retention period based on the statute of limitations for breach of contract RIGL 9-1-13(a). This would also be in keeping with the 10 year statute of limitations for medical assistance fraud from RIGL 40-8.2-4.

RIGL 9-1-13(a); RIGL 40-8.2-4.

Retention

(a) Contract account materials tracked separately by Grant or Account: Retain 10 years after final payment and all pending issues are closed.

(b) All other records: Retain 10 years.

Note: If any records under (a) or (b) are related to a case in litigation, then these records should be retained during litigation and for a period of seven (7) years after the disposition of litigation.

**DEA5 Service Program Administration Records**

Documents the daily routine administration of programs provided by the Department of Elderly Affairs to respond to the growing need of Rhode Island's older and disabled population. Programs and services include RIPAE (Pharmaceutical Assistance for the Elderly, Agencies for the Blind, Assisted Living/Residential Care, Food Stamps, Property Tax Relief, and others. Includes background source materials, contract implementation correspondence, notes, issues, reports, and related correspondence.

RIGL 9-1-13(a); RIGL 40-8.2-4.

Retention

(a) Substantive correspondence, reports and materials: Permanent.

(b) Records and correspondence related to contracts: Retain 10 years after close of contract.

Note: If contract is in litigation, then retain (b) records and correspondence during litigation and for a period of seven (7) years after the disposition of litigation.

(c) All other records: Retain 5 years or until administrative use ceases, whichever period is longer.

**DEA6 Service Program Client Case Files**

Documents the case history of individual clients accepted into service care programs. Includes application, qualification support materials such as proof of age, residency, and income, and related correspondence.

RIGL 38-2-1.

Retention

(a) Unsuccessful or denied applicant records: Retain 3 years.

(b) All other records: Retain 10 years after final separation from programs.

Note: If any records under (a) or (b) are related to a case in litigation, then these records should be retained during litigation and for a period of seven (7) years after the disposition of litigation.

**DEA7 Elderly and Disabled Abuse and Neglect Complaint/Investigation Records**

Documents complaints and investigations received or initiated by the department regarding the abuse and/or neglect of Rhode Island's elderly or disabled residents. Includes intake notes and correspondence, complaint forms, background support materials, interview notes, field assessments and risk profiles, medical reports, incident reports, and final investigation reports.

RIGL 42-66-8.2; 40.1-5-26; 23-6-17; 42-66-10.

Retention

(a) Matters that were abandoned, dismissed, addressed informally or found to be non-jurisdictional: Retain 3 years.

(b) Matters that resulted in a formal decision/appeal/investigation: Retain 10 years from final disposition.

Note: If matter is in litigation, then retain records during litigation and for a period of seven (7) years after the disposition of litigation.

**DEA8 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.