DOT8 Administrative Services Division[1]

DOT8.1 Disadvantaged Business Enterprise (DBE) Sub-Contractor Review and Approval Records

RIDOT requires that prime contractors who are awarded contracts through the Department seek out and consider Disadvantaged Business Enterprises (DBE) to participate in the construction project as a subcontractor and/or supplier of materials and services. DBEs are small businesses owned and managed by socially and economically disadvantaged individuals and are listed on the RI Department of Administration Minority Business Enterprise certification list. This series includes copies of DBE Sub-Contractor Agreements as submitted by the prime contractor and RIDOT's DBE.

a) FAP*

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) No FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.

Note: FAP – Federal Assistance Project.*

DOT8.2 Disadvantaged Business Enterprise (DBE) Goals Documentation

RIDOT establishes the percentage amount of funding a prime contractor must target for DBE designated subcontractors during a transportation construction project. This DBE goal determination is based on a number of factors including the duration of a contract and scope of work to be done. The goal is added to the contract bid requirements. This record series includes those supporting documents related to the establishment of a project's DBE goal and inter-office correspondence issued by RIDOT Business and Community Resources notifying other RIDOT operating units as to the established goal.

a) FAP

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

b) No FAP

Retention: Retain ten (10) years after RIDOT's project acceptance date.

DOT8.3 DBE Supportive Services Program Records

Federal funding is allocated annually to RIDOT by U.S. DOT/Federal Highway Administration to aid in developing DBE supportive services programs designed to increase the number of certified and qualified DBEs active in the highway programs. Supportive services are provided to certified DBEs through a third party consultant in areas such as bid estimating, proposal development and technical assistance. Firms receiving supportive

[1] The General Records Schedule (GRS) specifies minimum retention requirements for records relating to professional services contracts and construction contracts. Department of Transportation retention requirements may exceed these minimum retention periods.

services must be certified as a DBE. Records include, but are not limited to, correspondence with the consultant firm, summaries and reports on work activities, and copies of consultant invoices.

(Original copies of invoices are forwarded to the Department of Administration – Purchasing Division). Records are filed alphabetically by contractor name.

Retention: Retain ten (10) years from the date of acceptance of the final FHWA reimbursement voucher for the project.

DOT8.4 Emerging Business Program Records
RIDOT provides funding and oversight to certain RI financial institutions for the purpose of administering a loan program for Disadvantaged Business Enterprises. This federally funded program is designed to increase the number of DBEs by enabling such companies to have access to low cost loans during a transportation construction contract. The documents in this record series include monthly invoices submitted by the financial institution, back up reports which summarize who has been given loans and loan administration performance reports.

Retention: Retain ten (10) years after financial institution's contract approval date.
8 V.S.A. Section 502, B-92-1

DOT8.5 On-the-Job Training Program – Contractor Annual Plans
Each year RI transportation contractors and sub-contractors submit an annual training plan to RIDOT that outlines the proposed number of on-the-job trainees, projected hours to be worked and type of training to be provided (within construction crafts classifications). Plans are reviewed and approved by the department's Office of Job Training Coordinator and then returned to the contractor. Annual plans are kept on file alphabetically by contractor name.

Retention: Retain five (5) years.

DOT8.6 Fatality Analysis Reporting System (FARS)
This series includes copies of documents sent to the department's Office of Highway Safety (OHS). These documents are used to describe and report fatal traffic crashes in RI to the National Highway Traffic Safety Administration (NHTSA) through the electronic Fatality Analysis Reporting System (FARS), a micro-computer data system. The NHTSA has a cooperative agreement/contract with the states to provide this information in a standard format on a periodic basis. The FARS system contains personally identifiable information. Documents used by OHS to gather the data for the FARS database include: Police Accident Reports, state vehicle registration files, state driver record files, death certificates, coroner/medical examiner reports, State I.D. numbers, toxicology reports, emergency medical service fatality data reports. This series also includes the data coding sheets, monthly summary reports, as well as annual summary reports.

a) Annual summary reports
Retention: Permanent.

b) Monthly summary reports
Retention: Retain three (3) years.

c) Coding sheets
Retention: Retain three (3) years.

d) All other documents
Retention: Retain three (3) years.

DOT8.7 Certificates of Records Destruction
Certification of Records Destruction forms (PRA003) 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 his and other applicable schedules. RIGL §38-1-10, §38-3-6(j), and §42-8.1-10

Retention: Permanent.

The following Department of Transportation – Administrative Services Division record series fall within the scope of the State Archives Division issued General Schedule/General Records Schedule.

DOT8.7 Professional Services Contracts

DOT8.8 Construction Contracts

DOT8.9 RIDOT Annual Disadvantaged Business Enterprise (DBE) Plan

DOT8.10 Highway Safety Project Grant Applications and Award Letters

DOT8.11 Highway Safety Plan (HSP) and Highway Safety Annual Report

DOT8.12 Highway Safety Financial Records