Series No.	Record Series Title and Description	Retention
SA1	**State Archives**	
SA1.1	**Archives and Descriptive Records** Permanent and historical records of the colony and state of Rhode Island including descriptive records such as accession log, accession records, catalogs, finding aids, guides, surveys and inventories.	Permanent.
SA1.2	**Subject Reference Files** Ready-access reference materials on historical topics, arranged alphabetically by subject. May include clippings and publications, research notes, transcriptions, copies of documents and correspondence.	Permanent. Note: Periodically weed files to remove duplicative or non-essential materials.
SA1.3	**Researchers Sign-in Logs** Documents the daily users of the archives.	Retain 4 years.
SA1.4	**Archives Retrieval Records** Three-part form used to retrieve, re-file, control and track production of archival records from the holdings.	Retain 4 years. Note: Discard pink and green copies after re-file process is completed.
SA1.5	**Temperature & RH Recordings** Hygrothermograph recordings of vault temperature and relative humidity conditions.	Retain 1 year.
SA1.6	**Preservation Records** Documents efforts to ensure the preservation of the archives. Includes preservation plans, records relating to preservation actions and document conservation.	Permanent.
SA1.7	**GSU Microfilm Records** Documents filming, supply and sale of RI public records microfilmed by the Genealogical Society of Utah. Records include Memoranda of Understanding, microfilm operator's reports, film transmittal lists, and permissions for organizations to purchase films.	Permanent.

SA1.8	**Exhibit Records** Documents exhibits and displays from the State Archives holdings. Includes exhibit research and development files, pamphlets, guides and other publications and publicity.	Permanent.
SA1.9	**Outreach Records** See SA5.9	
SA2	**Local Government Records Program**	
SA2.1	**Agency History Files (Municipal)** Documents substantive transactions and communications between the program and departments, offices and agencies of municipal government. Includes organizational and background materials, surveys, preservation plans, memos, notes, special projects, issues, concerns and determinations, and related correspondence.	Permanent. Note: Periodically weed files to remove duplicative or non-essential materials.
SA2.2	**Records Retention Schedules Development Files (Municipal)** Documents the process to develop and approve records retention schedules for local government agencies in accordance with RIGL §38-3 and §42-8.1. Includes records inventory worksheets, interview notes, agency background and organizational information, research materials, draft schedules, notes, correspondence, external review comments, Attorney General and Auditor General commentary/approval and final approved schedules.	
	(a) Final Approved Records Retention Schedules and Attorney General and Auditor General commentary/approvals.	Permanent.
	(b) All other records. Note: Before disposal transfer any pertinent documentation to most recent Development Files.	Retain 5 years after schedule has been superceded.

SA2.3	**Certificates of Records Destruction (Copies)** Documents municipal agencies' notification to State Archives and Public Records Administration of intent to dispose of records in accordance with §§38-1-10, 38-3-6, and 42-8.1-10. Note: Original signed and counter-signed Certificate is retained by municipal agency as a permanent record.	Permanent.
SA2.4	**Outreach and Training Records** See SA5.9	
SA3	**Public Records Administration**	
SA3.1	**Agency History Files (State)** Documents substantive transactions and communications between the program and state agencies. Includes organizational and background materials, surveys, preservation plans, memos, notes, special projects, issues, concerns and determinations, and related correspondence. Note: Routine and transitory documents relating to Records Center activity should not be kept in these files.	Permanent. Note: Periodically weed files to remove duplicative or non-essential materials.
SA3.2	**Record Series Research & Development Files ('X' Files)** Documents the administrative and legal research for individual record series based on the function of the series. Includes draft descriptions, legal citations, reference materials, appraisal notes, and related correspondence.	Retain as long as related record series exist. Note: Periodically weed files to remove duplicative or non-essential materials.
SA3.3	**Records Retention Schedules Development Files (State)** Documents the process to develop and approve records retention schedules for individual state agencies in accordance with RIGL §38-3 and §42-8.1. Includes records	

	inventory worksheets, interview notes, agency background and organizational information, research materials, draft schedules, notes, correspondence, Attorney General and Auditor General commentary/ approval, and final approved schedule.	
	(a) Final Approved Records Retention Schedules and Attorney General and Auditor General commentary/approvals.	Permanent.
	(b) All other records. Note: Before disposal transfer any pertinent documentation to Agency History or Record Series Research and Development Files.	Retain 5 years after schedule has been superceded.
SA3.4	**Certificates of Records Destruction (Copies)** Documents state agencies' notification to State Archives and Public Records Administration of intent to dispose of records in accordance with §§38-1-10, 38-3-6, and 42-8.1-10. Note: Original signed and counter-signed Certificate is retained by state agency as a permanent record.	Permanent.
SA3.5	**Special Projects Records** Documents projects undertaken to meet specific requirements or goals. Includes instructions and guidelines, working papers, project summaries, and related correspondence.	
	(a) Project summary documentation.	Permanent.
	(b) All other records. Note: Transfer pertinent materials to the Agency History File before disposing of any records.	Retain 4 years after project close.

SA3.6	**Outreach and Training Records** See SA5.9	
SA4	**State Records Center**	
SA4.1	**Records Center Work Orders Records** Documents the daily ordering of records to and from the Records Center. Includes work order forms, records request forms, daily pull sheets, and related forms, notes and correspondence.	Retain 4 years.
SA4.2	**Records Center Inventory/Circulation Records** Documents records holdings at the Records Center and the accession and circulation history of individual items. Includes inventory database and printouts, box transmittal lists, inventory description changes records, re-file reports, and related correspondence.	
	(a) Inventory accession and circulation records.	Retain until holdings have been permanently removed from the Records Center.
	(b) Data input or description change forms supporting documentation.	Retain until verified as posted correctly to the central inventory at the Records Center.
SA4.3	**Records Center Billing Records** Supporting documentation for Records Center account payable and accounts receivables. Includes copy invoices, order supporting documentation, copy billing statements, copy vouchers, and account information change orders.	Retain 4 years.
SA5	**Administration**	
SA5.1	**Facilities Records** Documents aspects of the Division's building, environment, and Records Center oversight.	Permanent. Note: Periodically

	Includes records relating to lease, valuable papers insurance, physical plant and planning, surveys, security systems, disaster response, records storage and services, and related correspondence.	weed files to remove superceded or non-essential materials.
SA5.2	**Depositors Records** Documents deposits to the State Archives from individuals and entities that are not public agencies. Includes deposit agreements and related correspondence.	Permanent.
SA5.3	**Loan Records** Documents the loan of archival records to institutions for exhibition purposes. Includes exhibit site surveys, loan agreements, insurance, packing and transportation documentation, environmental monitoring, and related correspondence.	Permanent.
SA5.4	**Policies and Procedures** Documents formal policies and procedures of the Division and its programs and those issued by the Secretary of State's Office. Note: Remove superceded or time delimited policies and procedures to an inactive file.	Permanent.
SA5.5	**Director's Correspondence, Memoranda and Reports** Documents executive level communication with Secretary of State's Office, agencies, staff, and externally.	Permanent.
SA5.6	**Statistical Records and Annual Reports** 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.	Permanent.
SA5.7	**Particular Instance Files** Documents projects, initiatives, issues, and concerns of the State Archivist & Public Records Administrator. Includes	Permanent.

	organizational and background materials, notes, memos, determinations, surveys, summaries, reports, and related correspondence.	
SA5.8	**Lectures and Publicity Records** Documents speeches and lectures of staff and publicity connected with Division's programs and events. Includes announcements, notices, press releases, clippings, lecture notes/talking points and transcripts, audio/visual and related materials.	Permanent. Note: Periodically weed files to remove superceded or non-essential materials.
SA5.9	**Outreach and Training Records** Documents outreach and training activities of the Public Records Administration and Local Government Records programs, and for the State Archives. Includes pamphlets, brochures, guides, guidelines, other publications and training materials.	Retain one copy as a permanent record.
SA5.10	**Grant Program/Project Records** Documents the development of grant proposals and the administration of grant awards and programs/projects. Includes grant applications and agreements, studies, notices, contract records, accounting, banking, purchasing, and payroll records, monitoring and performance reports, expenditure and outlay reports, memoranda and correspondence.	
	(a) Grant applications and amendments, products/publications, surveys, final performance, disposition and expenditure reports.	Permanent.
	(b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records.	Retain 10 years from submission of close-out and final expenditure report.
	(c) Unsuccessful grant applications.	Retain 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 7 years after completion of the action and resolution of all issues which arise from it.	
SA6	**RI Historical Records Advisory Board**	
SA6.1	**Minutes and Meetings Files** Documents the meetings and activities of the RI Historical Records Advisory Board (RIHRAB) as constituted by Executive Order and the Code of Federal Regulation. Includes agendas, minutes, supporting materials, and related correspondence.	Permanent.
SA6.2	**Board Appointments Records** Documents appointments by the Governor to the Board. Includes appointments, certificates of engagement (copies), rosters, and related correspondence.	Permanent.
SA6.3	**Applicant Proposal and Grant Records** Documents contacts with institutions, organizations, and agencies seeking grant funding from the National Historical Publications and Records Commission (NHPRC). Includes inquiry and proposal development documentation, grant applications, evaluations, copies of award notifications and grantee reports, and related correspondence. Note: Board does not act as sub-grantor.	
	(a) Grant applications, evaluations and related materials.	Permanent.
	(b) All other records.	Retain 4 years.
SA6.4	**Board NHPRC Grant Records** See SA5.10	
SA6.5	**Council of State Archivists (CoSA) Records** Documents activities of RIHRAB chairman as a COSHRC member and in projects	Permanent.

sponsored by CoSA. Includes agendas, minutes, reports, surveys, and special projects documentation.

Approved March 2010 & amended April 2016

SA7 Administrative Records

SA7.1 Rules and Regulations

Agency statement of general applicability that implements, interprets or prescribes law or policy or describes organization, procedure or practice. Rules are effective twenty days after filing with the Secretary of State – Administrative Records, except for emergency rules which are effective immediately for 120 days and which can be renewed for a further 90 days. R.I.G.L. §42-35.

a) Rules and regulations in force and effect
Retention: Permanent.

b) Superseded, expired, and repealed rules and regulations
Retention: Permanent.

c) Refiled rules and regulations
Retention: Permanent.

d) Rules and regulations database
Retention: Permanent.

SA7.2 Agency Regulatory Agendas

Regulatory agendas filed with the Secretary of State in accordance with §42-35-5.1 by rulemaking agencies on January 15 and June 15 of each year. Regulatory agendas contain a listing of all rules and orders promulgated since the preceding regulatory agenda, a brief description of the subject area of any rule which the agency expects to prepare or promulgate prior to the filing of the next regulatory agenda including the objectives and legal basis for such rules, approximate schedule for completing action on the rules, and the name and telephone number of a knowledgeable agency official concerning the items identified. Agencies are not precluded from considering or acting upon any matter not included in the regulatory agenda, nor required to act upon any matter listed in the agenda (§42-35-5.1 (d)).

Retention: Retain five (5) years.

SA7.3 Posting of Advance Notice of Proposed Rulemaking Lists

A list compiled annually to track which rulemaking entities use the Secretary of State's website as their primary source for proposed rulemaking notices per R.I.G.L. §42-35-2.5.

Retention: Retain five (5) years.

SA7.4 Agency Rules Coordinators Lists
Under §42-35-2.1 entities with rule promulgating authority are required to designate an agency Rules Coordinator whose name and contact information is published in the State Register. As a service to the public, Administrative Records posts a compiled list of agency Rules Coordinators and contact information for publication on its website.

a) Designation of Rules Coordinator Notifications
Retention: Retain ten (10) years.

b) Compiled lists of Rules Coordinators
Retention: Retain until superseded.

SA7.5 Court Orders
Court orders related to rules and regulations filed with the Secretary of State.

Retention: Permanent.

SA7.6 Certificates of Land Transfer
Certificates of Land Transfer executed by the Governor, signed, dated and notarized, including the signed approval page from the State Properties Committee and a deed description in accordance with §37-7-6 and §37-7-7.

Retention: Permanent.

SA7.7 Certified Breathalyzer Operators Lists
Lists filed by the Department of Health with the Secretary of State that include the qualifications and certification of individuals authorized to administer and complete chemical analysis of a person's body fluids or breath in accordance with §31-27-2(g).

Retention: Retain five (5) years.

SA7.8 Assignment of Function within Departments Filings
Documents filed with the Secretary of State by the head of any department, except as otherwise provided by law, assigning the functions vested in his or her department to those subordinate officers and employees as may to him or her seem desirable, including the power to appoint a delegate to serve in the director's place and stead on any of the various boards or commissions to which a director may be appointed per §42-6-8.

Retention: Retain ten (10) years.

SA7.9 Notice of Designation of Controlled Substances (added 4.2016)
Notice of decision filed by the Department of Health with the Department of State of any substance that is designated, rescheduled, or deleted as a controlled substance under federal law in accordance with § 21-28-2.01.

Retention: Retain five (5) years.