

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 docket, 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 (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 (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.

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

**GRS1.13 Calendars and Appointment Books (continued)****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.

**GRS1.17 Labor Relations Records (Revised 11/2010) (continued)****e) Proposed (but not approved) contracts (new sub-series)**

*Retention:* Retain three (3) years.

**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** (added 10.2009)

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** (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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**GRS2            Legal Records****GRS2.1            Case files**

Records created and received by the agency that document its involvement in legal cases. The files may include, but are not limited to, correspondence, copies of subpoenas, court filings, discovery, internal memoranda, court proceedings, transcripts of testimony, and legal inquiries.

**a) Routine cases**

Includes all cases that do not result in agency policy changes and do not involve discrimination.

*Retention:*            Retain seven (7) years after final disposition of litigation or ten (10) years after case opens, whichever is later.

**b) Landmark cases**

Includes cases that result in changes to agency policy and/or procedures.

*Retention:*            Permanent.

**c) Discrimination cases** (cases regarding accusations of discrimination)

May involve complaints to the Human Rights Commission, Equal Employment Opportunity complaints, and appeals to the Personnel Appeal Board.

*Retention:*            Retain four (4) years after final resolution of case.

*Note: Some discrimination cases may result in change to agency policy and thus be reclassified as landmark cases.*

**GRS2.2            Legal Opinions**

Records documenting legal opinions on matters of concern to the agency. May include requests or correspondence requesting opinion, and supporting documentation.

**a) Internal opinions**

Opinions issued by agency legal counsel.

*Retention:*            Permanent.

**b) Attorney General's opinions**

Opinions issued by the Office of the Attorney General (per RIGL § 42-9-6).

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

*Note: Official/ Record copy is maintained permanently by the Attorney General.*

**c) Ethics Commission opinions**

Advisory opinions issued by the Ethics Commission (per RIGL § 36-14-11).

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

*Note: Official/ Record copy is maintained permanently by the Ethics Commission.*

**GRS2.3 Draft Legislation**

Legislation drafted by the agency for introduction in the General Assembly. Includes drafted legislation not subsequently introduced. In addition to these drafts the files may include, but are not limited to, compiled data, reports, correspondence, research notes, briefing records, proposed amendments, memoranda with comments on legislation by individuals within the agency, and reference material from other states and/or local government entities.

**a) Drafts of legislation**

*Retention:* Permanent.

**b) Briefing records**

*Retention:* Permanent.

**c) Correspondence involving agency director**

*Retention:* Permanent.

**d) Comments on legislation by agency director**

*Retention:* Permanent.

**e) All other records**

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

**GRS2.4 Legislation Impact Statements**

Statements issued by the agency on how a particular piece of legislation will affect its functions and operations, along with supporting documents. In addition to statements, these files may include, but are not limited to, compiled data, reports, correspondence, research notes, drafts, and reference material from other states and/or local government entities.

*Retention:* Permanent.

**GRS2.5 Rulemaking Files**

File created per RIGL §42-35-2.2 for each rule proposed or adopted after January 2, 2002. Records include regulatory agendas, petitions, requests, submissions, and comments, transcripts of oral presentations, concise explanatory statement required by RIGL §42-35-2.3, studies and reports, copies of all publications in the state register, copies of agency orders and declaratory rulings, meeting notices including copy to newspaper and/or copy to Secretary of State web site, copy of proposed rule, and copy of adopted rule with filing form stamped by the Office of the Secretary of State, and when required, regulatory flexibility analysis (RIGL §42-35-3.3). May include all records from contested cases including pleadings, motions and intermediate rulings, evidence received or considered, statement of matters officially noticed, questions and offers of proof and ruling, proposed findings and exceptions, any decision, opinion or report by the officer presiding at the hearing, all staff memoranda or data submitted to the hearing officer, and copies of oral proceedings transcribed on request of any party (RIGL §42-35-9).

**GRS2.5 Rulemaking Files** (continued)

*Retention:* Permanent.

*Note: This record series includes rules/regulations development files created prior to January 2, 2002.*

**GRS2.6 Regulatory Agendas** (added 11.2010)

Agency copy of 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 three (3) years

**GRS2.7 Notary Journals** (added 9.2013)

As part of standard operating procedure, a notary journal is used to record notarial transactions. This journal of notarial acts records the date and time of the notarial act proceeding or transaction, the type of notarial act, a description of the document, signatures of each principle and witness, printed name and address of each principle and witness, description of the evidence of identity of each person, fee charged, address where the notarization was performed and the recordation of any circumstances for not completing the notarial act.

(RIGL § 42-30-14, RIGL §42-30-5)

**a) Shared journals**

*Retention:* Cut off at the end of calendar year and retain forty-five (45) years or retain forty-five (45) years after last entry.

**b) Individual journals**

*Retention:* Retain seven (7) years after expiration of commission.

*Note: Retain journals containing real estate or probate transactions forty-five (45) years.*

**GRS2.8 Legal Advertisements** (added 5.2016)

State agencies and local government entities send notices about legal matters to news media for publication. The matters covered by these notices may include, but are not limited to, meeting notices, changes in operating hours of offices, invitations to submit bids or proposals and considerations of whether or not to grant or revoke certain licenses. Content may include, but is not limited to, date and time of meeting or event, location, and topics to be discussed or considered. Records in the series may include, but are not limited to, the actual notices, documentation of which news media outlets received the notices, indications of where notices were posted, and lists of names of officials that received the notices.

*Retention:* Retain three (3) years.

*Note: In some instances, legal advertisements may fall within the parameters of other series, whether they are series on the General Records Retention Schedules or agency-specific schedules. In these instances, if the retention period is longer than three years, the notices will be retained for the period specified for those series.*

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**GRS3 Safety & Security Records**

*Note: For records relating to the security of information and information systems see GRS7-IM X.X.*

**GRS3.1 Facility Entrance Authorization Records**

Records documenting the issuance of keys, identification cards, passwords and alarms codes that allow employees entrance to facility (including computer facilities) and operation of alarms. Includes database and files that aid in the administration of established security procedures. Database may include but is not limited to employee name, key or code number, arrival time and code clearance status. Files on each entry into the system may include but are not limited to employee name, job title, office, automobile information and security access level. May include agreements, lists, and memos relative to employer verification of employee status.

*Retention:* Retain until updated, superseded or of no further administrative value. Periodically purge terminated employees from system or files.

**GRS3.2 Visitor Control Files/Logs**

Records that document names of visitors, outside contractors, and service personnel to building or facility.

*Retention:* Retain one (1) year.

*Note: Where record series appears on agency specific schedules, retain for whichever retention period is the longer of the two.*

**GRS3.3 Security Logs**

Logs documenting procedural checks of building and grounds. Includes name or initials of employee conducting checks, date, and time of check. May include comments.

*Retention:* Retain one (1) year.

**GRS3.4 Guard Assignment Lists/Logs**

Documents guard details at buildings and properties. Includes date of assignment, name of guard and name of building or facility.

*Retention:* Retain four (4) years.

**GRS3.5 Key Logs**

Documents the issuance of keys or key cards to visitors, vendor and construction staff to restricted areas. Includes name of visitor, time in and out, room designation and date of visit.

*Retention:* Retain three (3) years.

**GRS3.6 Video Monitoring Tapes/Digital Recordings**

Recording media used for the surveillance of property/building/rooms for security purposes. May include video tapes, digital media.

*Retention:* Retain thirty (30) days before reuse.

*See also:* *Legal Records - Case Files - GRS2.1.*

**GRS3.7 Incident Reports and Accident Reports**

Incidents or accidents to patrons, visitors or other non-employees sustained on state or municipal property and reported to/by state or municipal personnel. May include police/fire/paramedic notification. May also include copies of visitor control logs, key logs or any other security logs relative to incident or accident.

*Retention:* Retain three (3) years. If minor involved, retain three (3) years after minor reaches the age of eighteen (18) years.

*Note:* *If incident or accident results in litigation, see Legal Records - Case Files - GRS2.1.*

**GRS3.8 Inspection and Certification Records**

Records of various inspections required under the Fire Safety Code, State Building Code or municipal ordinance. Includes inspection records and certificates of inspection/compliance. May include inspections for fire extinguishers, fire alarm, sprinkler, smoke detectors, boilers and elevators.

*Retention:* Retain three (3) years.

**GRS3.9 Building Protection Systems Records**

Records of service/maintenance for fire extinguishers, fire alarm systems, sprinklers, fire suppression systems, emergency lighting and exit signs. May include copies of bids and contracts for service, inspection records, and certificates of inspection/compliance.

*Retention:* Retain three (3) years.

**GRS3.10 Alarm Reports**

Monthly record/printout from monitoring agency documenting security system activity. Includes alarm user codes and times of activation and de-activation of alarm system.

*Retention:* Retain one (1) year.

**GRS3.11 Fire Emergency and Evacuation Records**

Records relating to fire prevention, fire drills and fire emergencies. May include fire prevention materials, building evacuation plans and diagrams, drill procedures, schedules and reports.

**a) Plans and procedures**

*Retention:* Retain until annual update is completed.

**GRS3.11 Fire Emergency and Evacuation Records (continued)****b) All other records**

*Retention:* Retain three (3) years.

**GRS3.12 Disaster Plans**

Disaster preparedness plans for the recovery of records, media and equipment necessary for the continued functioning of the office in the event of a fire or other disaster. May include, but is not limited to employee lists, supply lists, lists of vendors supplying recovery services or supplies, exit routes and floor plans of building.

*Retention:* Retain until annual update is completed.

*See also: Records Management Records - Security of Records - GRS6.10.*

**GRS3.13 Underground Storage Facilities Records**

Records for underground storage facilities used for petroleum products and hazardous materials storage in compliance with RIGL Chapter 46-12. Includes certificate of registration, repair records, and supporting documents.

**a) Site investigation records conducted at permanent closure**

*Retention:* Retain three (3) years after closure (40CFR280.74).

**b) All other records**

*Retention:* Retain records for the life of the tank (40CFR280.33).

**GRS3.14 Asbestos Inspection and Abatement Records**

Records relative to asbestos inspections and removal at specific locations for compliance with EPA Asbestos Hazard Emergency Response Act (AHERA 40 CFR part 763 of Title II of the Toxic Substance Control Act). May include asbestos hazard assessments, inventories of samples, inspection reports, air quality surveys, instructions for bidding, invitations to bid, bid record sheet, lists of licensed contractors, contracts, agreements, correspondence, abatement plans and management plans.

**a) Contracts, agreements and related documents**

*Retention:* Retain for a period of ten (10) years after completion of work.

**b) Documentation of all spot repairs**

*Retention:* Retain as long as building or structure remains in existence.

**c) All other records**

*Retention:* Retain three (3) years after the next re-inspection.

**GRS3.15 Hazardous Materials Right to Know Files**

Records relating to toxic or hazardous substances used, transported, or stored by agency. Documents include chemical identification lists, material safety data sheets (MSDS), and Right-to-Know training program information.

*Retention:* Retain thirty (30) years (RIGL § 28-21-6).

**GRS3.16 Emergency/Disaster Response and Remediation Records**  
(added 5.2016)

Records that document agency's response to man-made or natural disasters that effect or cause damage to agency property and informational infrastructure. Records may include but are not limited to: assessment reports, repair, stabilization and restoration plans, remediation reports including cleaning and fumigation activities, procurement records including but not limited to supplies, protective gear and services, payroll records documenting costs including but not limited to salary, reimbursements, overtime, mileage, records documenting costs for moving and/or temporary storage of fixtures/furnishing and/or records, summary and final reports of worked performed, correspondence with local, state and federal authorities, documentation on coordination with other agencies including relief agencies, press releases, photographic and/or audio-visual documentation, incident, accident and field reports.

**a) Records relating to the remediation and/or restoration of the building structure**

*Retention:* Retain as long as the building exists.

*Note: Retain remediation and/or restoration records of historic buildings permanently.*

**b) Records relating to the remediation and/or restoration of records of permanent or historical value**

*Retention:* Permanent.

*See also: GRS7.10 Disaster-Crisis Documentation.*

**c) Records relating to the remediation and/or restoration of records of non-permanent value**

*Retention:* Retain ten (10) years.

*Note: The imaging and / or microfilming of records must meet standards as required in the Public Records Administration promulgated Rules and Regulations for Microfilm Standards and Rules and Regulations for the Making and Management of Imaged Public Records.*

**d) Records relating to remediation of contamination due to chemical spills, sewage, or other hazardous materials**

*Retention:* Retain thirty (30) years.

*See also: GRS9.9 Employee Injury and Health Impairment Records.*

**e) Records relating to payroll and procurement**

*Retention:* See General Schedule/General Records Schedule.

*Note: For the retention of fiscal records of local government agencies, see LG2 Financial Records.*

**f) Summary and final reports, after action reports, press releases, substantive correspondence, photographic and/or audio-visual documentation relating to disaster and emergency response**

*Retention:* Permanent.

**g) All other records**

*Retention:* Retain three (3) years.

**GRS4 Facilities Records****GRS4.1 Plans and Blueprints**

Records of the buildings and properties of the agency including renovations and additions. Includes leased and historic buildings. May include, but is not limited to, floor plans, blueprints, materials specifications, maps, layout and grade, plumbing and electrical diagrams, inventories, and schedules of interior finishes.

**a) Official or original copy of plans and blueprints of state or municipal-owned buildings**

*Retention:* Permanent.

**b) Copies of plans and blueprints**

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

**GRS4.2 Construction and Improvement Records**

Records of construction, renovations, building projects and capital improvements and repairs. May include inspections, proposals, specifications, drafts, notes of meetings with architects/contractors, architects' reports, invitations to bid, contracts, reports and correspondence. May include renovations for disability access requirements per federal/state law or regulation.

**a) Historic buildings**

*Retention:* Permanent.

**b) All other buildings**

*Retention:* Retain ten (10) years after building or structure remains in existence or until no longer owned by the state or municipality.

**GRS4.3 Work Orders**

Record of work performed and completed. Data may include date(s), time(s), order number, location, description of work, authorization, names of persons performing work, itemized labor, equipment, and material information.

*Retention:* Retain three (3) years.

**GRS4.4 Building/Land Use Request Records**

Requests for use of state or municipal buildings or lands for public or private events. Data may include name and address of contact person, phone number, date and type of event, hours requested, name of custodian on duty, and terms and conditions of use. May include copies of contracts or agreements.

*Retention:* Retain three (3) years.

*Note: Any rental agreement issued by the department or its divisions which acts as a signed agreement on terms and conditions of use should be kept as long as the agreement remains in effect.*

*See also: Fiscal Records - Contracts and Agreements – GRS8.10.3*

**GRS4.5 Cleaning and Maintenance Supply Lists**

Comprehensive list of all solutions, compounds and other products used in and around the building/property for cleaning and maintenance.

*Retention:* Retain until updated or superseded.

**GRS4.6 Vehicle Records**

Records relating to each vehicle owned and/or serviced by the department. May include title, registration, inspection, meter reading, maintenance, checklists, repair, and incident reports. May include equipment number, operator, date, checklists, fuel consumed, and mileage.

**a) Inspection sheets, checklists and meter reading reports**

*Retention:* Retain three (3) years.

**b) All other records**

*Retention:* Retain one (1) year after disposal of vehicle and completion of audit.

**GRS4.7 National and State Registers of Historic Places Records**

Records that document the process of application for a building's designation as an historic property. May include but is not limited to annual easement monitoring response form, correspondence, federal or state nomination forms, property descriptions, floor plans and interior/exterior photographs of property.

*Retention:* Permanent.

*Note: Records may partially duplicate those held by the RI Historical Preservation and Heritage Commission.*

**GRS4.8 Building Project Manuals**

Records that provide information on the structure of buildings and renovations to buildings. Includes specifications and may include copies of plans and drawings. May be used in bidding process for submission of proposals.

**a) Historic buildings**

*Retention:* Permanent.

**b) All other buildings**

*Retention:* Retain ten (10) years after the building or structure remains in existence or until no longer owned by the state or municipality.

**GRS4.9 Solid Waste Receipts Files**

Records of invoices/receipts from facilities accepting recyclable materials or solid waste.

*Retention:* Retain three (3) years.

**GRS4.10 Relocation Records** (added 11.2010)

Records relating to the physical relocation activities of agencies to new facilities. Records may include but are not limited to: correspondence and memoranda, notes reports, needs assessments, facility/space planning records (copies of blueprints, plans, floor plans, office/cubicle configuration diagrams), copies of procurement records and vendor/supply information.

*Retention:* Retain until of no further administrative value. Records relating to procurement must follow the retention periods enumerated in GRS8.10.

*Note:* For retention of records relating to the creation and or consolidation of agency departments, divisions and offices, see GRS1.21 Reorganization Records.

*See Also:* GRS4.1 Plans and Blueprints  
GRS4.8 Building Project Manuals

**GRS5 Daily Operations Records****GRS5.1 General Correspondence and Memoranda**

Routine written communications created or received in the normal course of agency business. May include, but is not limited to, referral letters, requests for information pertaining to the agency, requests for publications that the agency provides to the public, requests for the services provided by the agency, requests for records under the Access to Public Records Act (RIGL § 38-2), any other correspondence that does not affect agency policy or procedures, and routine internal memos (unless specific to agency policy or procedures). Records may be arranged chronologically, by subject, or in some other order that is meaningful to the agency. This series does not include correspondence that involves personnel decisions, allegations of misconduct, the agency's facilities, complaints, or the agency's budget.

*Retention:* Retain one (1) year.

*Note:* When a written communication initiates a substantive transaction that requires creating a separate file, it becomes part of another appropriate series, rather than the General Correspondence series.

*See also:* Executive Records - Correspondence and Memoranda - GRS1.1.

**GRS5.2 Phone Logs**

Includes all records of incoming and outgoing calls to and from agency personnel.

*Retention:* Retain one (1) year.

**GRS5.3 Mail Logs**

Includes all records of incoming and outgoing mail to and from agency personnel.

*Retention:* Retain one (1) year.

**GRS5.4 Surveys/Questionnaires**

Surveys/questionnaires conducted by an agency or municipality in response to issues identified as significant to operations or policy, or to gather information. Includes forms distributed by the agency or municipality that were filled out and returned and the data compilations from the survey/questionnaire.

**a) Completed survey/questionnaire forms**

*Retention:* Retain one (1) year.

**b) Compiled data**

Includes compilations of data that were created from surveys/questionnaires conducted or distributed by the agency or municipality.

*Retention:* Retain until report is compiled and issued. Before disposal of Compiled Data, consult State Archives to review for historical value.

**GRS5.4 Surveys/Questionnaires (continued)****c) Reports and recommendations**

Reports, summaries, and recommendations issued, instituted, or arising from surveys/questionnaires.

*Retention:* Permanent.

**d) Surveys unrelated to agency mission or programs**

May include compiled data and reports.

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

*See also: Executive Records - Special Plans, Publications, Studies and Report - GRS1.6.*

**GRS5.5 Contact Lists and Directories**

Includes mailing lists, directories, and rosters compiled by the agency for contact purposes.

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

**GRS5.6 Scrapbooks/Photo Albums/Clippings**

Includes records of activities and events, official in nature, and relating to the agency, usually compiled by staff members, which may contain photographs, announcements, clippings, advertisements, and other items reporting the event, activity, or program.

*Retention:* Permanent.

*Note: Newspaper clippings should be photocopied and originals discarded.*

**GRS5.7 Public Relations Records**

Includes records relating to public relations activities of the agency including, but not limited to, press releases, newsletters, brochures, audiovisual materials, and supporting documentation.

**a) Publicity and press releases**

Includes newsletters, press releases, brochures, and other items designed to inform the public of the agency's mission, programs, projects, events, or activities.

*Retention:* Retain one copy of each permanently.

**b) Supporting documentation**

Includes supporting documentation, such as drafts and research notes, used in the preparation of newsletters, press releases, brochures, and other items created for public relations purposes.

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

**GRS5.7 Public Relations Records (continued)****c) Audio/visual records**

Includes audio, video, and photographic items in analog or digital format.

Retention: Permanent.

*See also: Information Management Records - Website Documentation - Web page content - GRS7-X.Xc.*

**GRS5.8 Daily and Weekly Reports**

Internally generated reports on routine agency activities created on a daily and/or weekly basis. These reports and returns may be used for internal purposes or be shared with other municipal departments and state agencies. This does not include reports that are part of another series (such as reports on receipts and expenditures, which fall under the Fiscal section of this schedule, or vehicle use reports, which fall under GRS4.6).

Retention: Retain one (1) year.

**GRS5.9 Monthly, Quarterly, and Periodic Reports**

Internally generated reports on agency activities created for any time period of time greater than weekly, but less than yearly/annual. These reports may be used for internal purposes or may be shared with other municipal departments or state agencies. This does not include reports that are part of another series.

Retention: Retain three (3) years.

*Note: For Annual Reports, see Executive Records - Statistical Records and Annual Reports - GRS1.5.*

**GRS5.10 Complaints**

Complaints against agency about problems involving delivery of services, job performance of employees, personal interactions with the agency and/or any other difficulties. May include, but are not limited to, letters of complaint, notes from telephone conversations, and agency responses.

Retention: Retain three (3) years.

*Note: When this record series appears on agency specific schedule, retain for whichever period is the longer of the two.*

**GRS5.11 Reference Material**

Documents used by staff as sources for reference. May include, but is not limited to, reference books, brochures, published reports, manuals, periodicals, material from websites, and clippings.

Retention: Retain until of no further administrative value.

**GRS5.12 Professional Organization Membership Files** (added 4.2009)

Employees of state agencies and local government agencies sometimes join professional organizations and attend meetings and conferences of these organizations. These records document this professional involvement. They may include, but are not limited to, publications of the organization, handouts distributed at conferences and notes taken at conferences.

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

*Note:* No notification required for destruction

**GRS5.13 Outreach and Training Records** (added 10.2009)

Agencies, as part of their programs, sometimes offer training in certain aspects of their areas of responsibility and expertise. Training and outreach activities include lectures, workshops, and presentations. Documentation of these activities may include, but are not limited to, pamphlets, brochures, guides, guidelines, lecture notes/talking points, evaluation forms and compiled data, electronic presentations and web-based workshops (PowerPoint, webinar etc.).

**a) Evaluation Forms and Compiled Data**

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

**b) Electronic Presentations**

*Retention:* Retain each substantive version permanently.

**c) All Other Records**

*Retention:* Retain one copy as a permanent record.

*See also:* GRS5.7 Public Relations Records

**GRS5.14 Staff Meeting Minutes** (added 11.2010)

Periodically, agency staff come together to discuss internal office matters. These records document those meetings. The files include not only meeting minutes, but also any other records used for reference at the meetings and other documents generated as a result of the meetings.

*Retention:* Retain three (3) years.

*Note:* For meeting of entire agency or committees within an agency that are more substantive in nature and involve policymaking, see GRS1.7 Meeting Minutes.

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*The Records Management section consists of record series that document agency policies, process, procedures and activities related to the management of their records.*

## **GRS6            Records Management Records**

### **GRS6.1            Records Management Program Development Records**

Documents relate to the establishment of task forces or committees, the records management policy formation process, and research files, as well as files on the implementation of the program. May include, but is not limited to records concerning the initiation of projects for developing agency records management programs in accordance with RIGL 38-3-7(2) and 42-8.1-17(3), correspondence files, minutes of meetings of committees and task forces and related correspondence, updates, drafts, interim and final reports.

*Retention:*            Permanent.

*See also: Executive Records - Program Establishment and Development Records - GRS1.2.*

### **GRS6.2            Records Management Committee Records**

Records of meetings concerning matters related to the management of agency records. May include, but is not limited to documents prepared and documents tabled for discussion, minutes, notes, and other supporting documentation.

*Retention:*            Permanent.

*See also: Executive Records - Meeting Minutes - GRS1.7.*

### **GRS6.3            Records Management Program Policies and Procedures**

Documentation comprising the agency's official policies and procedures for managing its records in all media.

*Retention:*            Permanent.

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

*See also: Executive Records - Policies and Procedures - GRS1.3.*

### **GRS6.4            Security of Records Documentation**

Records documenting security policies, processes, procedures and measures to protect records from damage, destruction, loss or illegal removal in accordance with RIGL 42-8.1-17(4).

*Retention:*            Permanent.

*See also: Safety & Security Records - GRS3.*

**GRS6.5 Designation of Authority Records**

Records documenting the designation of personnel as responsible and accountable for an agency's records management program in accordance with RIGL 42-8.1 –17(5) (Agency Records Officer). It also includes documentation investing an individual with signing authority for the approval of records retention schedules and for Certificates of Records Destruction.

*Retention:* Retain until superseded.

*Note: Record copy is maintained permanently by the State Archives Division.*

**GRS6.6 Classification Documentation**

Records that document agency's records classifications systems as well as nomenclatures, glossaries, thesaurus, rules, and any other filing schemes. These documents codify the agency's record series (see *Introduction* for definition of "record series") and guide agency staff in proper document filing practices.

*Retention:* Retain as long as the related records exist.

*Note: Classification documentation should be sent to the State Archives if the related records are transferred to its custody.*

**GRS6.7 Records Retention Schedule Development Records**

Records retention/control schedules give agencies authority to dispose of records in accordance with specific legal, statutory, regulatory, fiscal, and business requirements. Records retention schedules cover records in all media an agency creates, receives, and maintains in pursuit of its specific mandate, and specifies when and, where appropriate, on what basis or authority, an agency may dispose of its records. This series contains records related to the development of records retention schedules in accordance with RIGL 38-3-6 and 42-8.1-10. Records may include, but are not limited to inventory worksheets, reference materials, notes, schedules (drafts and versions), and correspondence.

**a) Final approved records retention schedules**

Schedules that have been approved by the State Archivist/Public Records Administrator, the Attorney General, and the Auditor General.

*Retention:* Retain until superseded.

*Note: Record copy is maintained permanently by the State Archives Division.*

**b) Approved amendments to schedules**

Schedules that have been amended to reflect a limited number of modifications, such as the addition of new record series or changes in the retention periods of existing series. Amendments approved by the State Archivist/Public Records Administrator, the Attorney General, and the Auditor General.

*Retention:* Retain until superseded.

**GRS6.7 Records Retention Schedule Development Records (continued)**

*Note: Record copy is maintained permanently by the State Archives Division.*

**c) All other records**

*Retention:* Retain three (3) years after final schedule or amended schedule is approved.

*Note: The State Archives Division retains Records Retention Schedules Development Files.*

**GRS6.8 Records Disposal Documents**

Records documenting the disposal of records. The disposal of agency records can occur in one of several ways: (1) the temporary transfer of custody (loans), (2) permanent alienation of ownership through transfer of function to another government agency, (3) the transfer of custody of records having permanent value to the State Archives, or (4) through authorized destruction. This series may include implementation of records retention policies. It includes records attesting to the destruction of records, the transfer of custody or proprietorship of records from one government jurisdiction or agency to another, including the transfer of ownership of records to the State Archives.

**a) Letters of agreement on temporary loans**

*Retention:* Permanent.

**b) Certificates of Records Destruction**

*Retention:* Permanent.

*See also: Executive Records - Certificates of Records Destruction - GRS1.19.*

**c) Custodial transfer documents**

*Retention:* Permanent.

**GRS6.9 Records Control Documentation**

This series consists of documentation that agencies create and use internally in order to search, locate, and retrieve their records. This series may include paper and electronic indexes and databases, inventories, lists, and registers and other finding aids developed to enable the retrieval of agency records.

**a) Records control documentation for non-permanent records**

*Retention:* Retain until superseded or upon authorized destruction of records.

**b) Records control documentation for permanent records**

*Retention:* Consult State Archives before disposal.

**GRS6.10 Access to Public Records Documents (revised December 2009)**

Rhode Island statute RIGL 38-2 governs access to public records. The records in this series document requests for access to government records. Documents may include, but are not limited to correspondence, request forms, and usage logs.

*Retention:* Retain three (3) years after resolution.

*See also: Executive Records - Correspondence and Memoranda - GRS1.1,  
Legal Records - Legal Opinions - GRS2.2, and  
Daily Operations Records - General Correspondence and Memoranda - GRS5.1.*

**GRS7 Information Management Records****GRS7.1 Systems Design and Development Records**

Records documenting the design and development of new records and information management systems and subsystems as well as major upgrades and significant reengineering of functionality of existing enterprise or agency information systems supporting mandate related activities and transactions. Documentation may include consultants' reports, feasibility studies, cost-benefit analyses, project management plans, system development plans, correspondence, presentations, committee meeting notes, user studies and applications development, business process analyses, business process reengineering, workflow analysis, and functional requirements specifications development, enterprise architectures, conceptual and physical design and modeling records, flowcharts, and diagrams.

*Retention:* Retain for life of system. Consult the State Archives Division before destroying.

*Note: Retention period for this documentation may range from the point at which the system is upgraded or replaced, to the life of the system, or to permanent retention. Determining factors may include the historical or informational value of the system's data, the functional importance of the system, and the uniqueness of the system's implemented technology.*

*Note: See also GRS7.15 Data Administration Records, GRS7.16 System Content, and agency specific records retention schedule.*

*Note: For retention of documentation related to the management of software and software documentation, see GRS7.5 Assets Inventory Control Records – Applications Software.*

*Note: For retention of documentation related to system security, see GRS7.8 System Security Records.*

*Note: For retention of documentation related to long-term data preservation policy and strategy planning see GRS7.9 Data Preservation Policy and Strategy Records.*

*Note: See also GRS7.17 Website, Intranet, and Extranet Records – a) and b) System Documentation.*

**GRS7.2 System Purchasing/Resource Acquisition Records**

Documents the process of acquiring systems hardware, software, and network infrastructure material. Includes documentation related to product material, solicited advice, and the acquisition and purchase agreement process.

**a) Request for Proposals (RFPs)**

Documents related to RFP preparation, Letters of Interest, committee reports and evaluations of tenders.

*Retention:* See GRS8 Fiscal Records.

**b) Vendor Materials**

Collected literature and information about prospective vendors and vendor products and services. May also include correspondence, records of meetings with vendors, vendor literature, and vendor presentations materials and handouts.

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

**c) Post-Offer Negotiations and Due Diligence Checks**

Documents pertaining to final negotiations of contract and verification of background, qualifications, and capability of selected vendor or company.

*Retention:* See GRS8 Fiscal Records.

**d) Signed Agreements/Contracts**

*Retention:* See GRS8 Fiscal Records.

**e) Software Documentation – License Agreements**

Documentation includes records of agency's purchase of licenses to implement and use system and application software programs, and may also include software to make government applications and information accessible to handicapped individuals. Includes source code documentation.

*Retention:* Retain until licence expires.

**f) Application Service Provider (ASPs) Records**

ASPs are companies that deliver and manage applications and computer services to subscribers or clients remotely via the Internet or a private network. Records document agreements, including service level agreements for the purchase of shared application services over the Internet.

*Retention:* See GRS8 Fiscal Records.

**GRS7.3 Systems Implementation Records**

Documents the planning, execution, and implementation of system and network components in a live environment, including material related to pilot projects, beta testing, and any other documentation accumulated and consulted for decisional purposes. Documentation may include, but is not limited to, implementation plans and schedules, training plans, manuals, and workshop materials, network implementation plans and installation records, information management policy implementation, system and application installation records, quality assurance and hardware and software testing records, as well as implementation progress status reports, evaluation reports, and use acceptance documents.

*Retention:* Retain one (1) year after system upgrades or replacement system tested, systems administrator and users have signed off, and integrity of records and data output verified.

*Note: For retention of documentation related to software management, see GRS7.5 Assets Inventory Control Records – Applications Software.*

*Note: For retention of documentation related to system security, see GRS7.8 System Security Records.*

#### **GRS7.4 Assets Inventory Control Records – Hardware and Network Fiber**

Documents pertaining to agency inventory of hardware, operating systems, and networking equipment and circuitry installed for creating, organizing, maintaining, storing, transmitting and preserving agency records and data. Series includes records that document inventory of agency computer hardware assets, including processing and storage devices, laptops, printers, scanners, PDAs and other wireless devices, as well as network/communication infrastructure configuration and circuit layouts, network fiber, communication switches, including system topology, and equipment barcodes. Records may include inventories and replacement or conversion plans for all devices/equipment for inputting, capturing, processing, storing, outputting, and transmitting records and data, including tape, CD and floppy libraries, as well as wireless protocol-based devices that function to record, copy, send, receive and store government business-related data and information in all media, including PDAs (personal digital assistants).

##### **a) Systems with data of continuing value (including legacy data)**

*Retention:* Retain documentation until equipment and/or operating system has been replaced, new device(s) installed and tested, data has been transferred to new storage media, and data accuracy and/or document integrity has been successfully validated and verified.

##### **b) Systems whose data is to be destroyed**

*Retention:* Retain documentation until new equipment or operating system has been successfully installed and tested.

*Note: For hardware manuals and operating instructions see GRS7.7 a) System Operations Records – Policies and Procedures.*

#### **GRS7.5 Assets Inventory Control Records – Applications Software**

Series includes records concerning management of agency's software assets. Includes software and accompanying documentation.

##### **a) Applications Software – Non-permanent Data**

Relates to applications software necessary to create, use or maintain electronic files or databases.

*Retention:* Retain software until all records destroyed under an approved records retention schedule, or one (1) year after system upgrades per GRS7.3 Systems Implementation Records.

##### **b) Applications Software – Permanent Data**

Includes software necessary to use, read, and maintain any information, master file or database scheduled as permanent.

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*Retention:* Permanent.

**c) Software Configuration Management Plans (SCMP)**

Encompasses records that document the state of a system's software at discrete points in time for such purposes as systematically tracking software inventory, distribution, and history of changes. Includes documents concerning control of software configuration changes, maintenance of configuration integrity and traceability throughout the system life cycle. Documentation may relate to software development project life cycle management, post-implementation management of maintenance, and incremental and major changes of agency software. May include, but is not limited to, configuration policy and procedure forms, documentation, and data related to requirements identification, build procedures, software identification, software libraries, and master software storage, software release management, application rights management, software storage locations, change control, including logs of automated software change, methods for version changes, change requests, status accounting, review and audit logs related to version control, defect management, upgrades, interfaces, reporting procedures, Customized off the Shelf (COTS) products, and support software (e.g. test files), and configuration audit documentation.

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

**d) Software Support Documentation – Permanent Records/Data**

Documentation may include, but is not limited to, instructional booklets and product information, technical specifications and product interoperability, as well as textual training manuals and digital tutorials on features and uses of system and applications software used to create records with permanent value.

*Retention:* Permanent.

**e) Software Support Documentation – Systems Containing No Permanent Records/Data**

Documentation may include, but is not limited to, instructional booklets and product information, technical specifications and product interoperability as well as textual training manuals and digital tutorials on features and uses of system and applications software.

*Retention:* Retain software documentation one (1) year after new software installed and software and interfaces appropriately tested for continuing functional reliability and record/data migration or conversion has been successfully validated, verified and/or audited for system trustworthiness, and data and document integrity.

**f) Customized/Bespoke Software**

Application software exclusively designed or significantly modified to support specific agency business requirement.

*Retention:* Retain documentation until software is replaced. Consult the State Archives Division before destroying.

*Note: See also GRS1.2 Program Establishment and Development Records, and agency specific schedule.*

**g) Program Source Code**

Includes program source code, which is written to generate machine language instructions used to operate applications in an automated information system.

*Retention:* Retain three (3) system update cycles after code is modified or superseded, and data reproduced in new system.

**GRS7.6 Systems Maintenance Records**

Documents policies, procedures, and routines for ensuring that optimum functionality of existing system is available to user community on a continuous basis without changing inputs, outputs or calculations. Also includes records related to measures taken for the continuing availability of agency records and data for business, including documentation of scheduled and unscheduled maintenance of the system hardware, software, and network fiber.

**a) Hardware Maintenance Records**

Records documenting routine service, including repair, inspection, and testing of computer hardware (mainframes, mini and microcomputers). Records may also include service orders, service histories, maintenance agreements, and certificates of performance compliance and accreditation of equipment.

*Retention:* Retain one (1) year, or upon satisfaction of audit requirements, whichever is longer.

*Note: For retention of maintenance contracts, see GRS8 Fiscal Records.*

*Note: For retention of documentation on system security, see GRS7.8 System Security Records.*

*Note: For documentation on system security responses to major system crashes and disruptions see GRS7.10 Disaster – Crisis Documentation.*

**b) Y2K Files**

Records concerning the identification and correction of potential and actual Year 2000 related issues. May relate to assessment, implementations, renovations, repairs, planning, software issues, and testing. Documentation may include, but is not limited to, Y2K testing reports, testing plans, testing work papers, quality assurance reports, conversion reports, progress and status reports, audit trail records, consultant reports, disaster manuals, training materials, project files, project updates and schedules, contingency plans, data remediation records, vendor certifications, hardware and software documentation, surveys, presentations, correspondence, meeting minutes, analyses, and reference files.

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

**GRS7.7 System Operations Records**

Documents information systems' programs, policies and procedures, and activities related to support of user community's daily or scheduled routines and workflow. Also includes data resulting from activities related to policies and procedures. Included are the monitoring and measurement of system performance, the management of automated routines for identifying and handling errors, unscheduled interruptions and exceptions, compilations and evaluations, timing and statistics, defining and setting parameters, and querying the operating system environment.

**a) Policies and Procedures**

Records that document policies and procedures with respect to data entry, workload and demand management, start-up and shut down, backup, storage capacity management, testing plans, error handling, processing priorities, change management, system directories, and report generation. Also included are hardware operating manuals.

*Retention:* Retain until superseded, or until audit requirements met, whichever is later.

*Note:* See also GRS1.3 Policies and Procedures.

**b) Input Records/Batch Program Files**

Records created exclusively as a source of input to master data file or database. Includes paper or electronic source documents, as well as batch files accumulated for processing at scheduled times rather than processed intermittently as data becomes available, and completed forms used to transmit documents for mass computer input.

*Retention:* Retain until data or documents captured and verification completed.

*Note: This subseries is not intended to cover digitally scanned hard copy documents. For digitally scanned documents, see appropriate record series in the General Records Schedule, the agency specific schedule, or contact the State Archives Division. See also Rules and Regulations for the Making and Management of Imaged Public Records promulgated by the Public Records Administration.*

*Note:* See also GRS7.7 c) Computer System Transaction Files.

**c) Computer System Transaction Files**

Short-term computer-recorded information and documents about specific business transactions ultimately used to create and/or update content of longer lived target (master) files. Records include but are not limited to work files, valid transaction files, and intermediate input/output files. The electronic file may be online, disk, or on computer magnetic tape.

*Retention:* Retain until completion of third update or backup cycle of transaction target file for systems that are updated cyclically.

*Note:* Agencies should be aware of audit record requirements for particular types of transactions (e.g. financial, system, and operations data).

**d) Computer System Master Files**

Files that are relatively enduring machine-readable records. Files contain an organized, consistent, and up-to-date historical record of complete and accurate accumulation of data documenting instances of particular types of agency actions or transactions over a period of time.

*Retention:* Follow retention period for the particular type of data as authorized in this General Records Schedule or in the applicable agency specific schedule.

*Note:* See the Introduction to this document for an explanation of the difference between the General Records Schedule and agency specific schedules.

**e) Computer Run Job Scheduling Records**

Schedules or similar records that document computer jobs to be run, run requests, and other reports by computer operators or programmers on work performed.

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

**f) Computer System Test Records/System Performance Review Records**

Report records created solely in the course of scheduled and periodic monitoring and testing of system quality and performance. This includes print-related documentation.

*Retention:* Retain until problem evaluated, test results approved, issues resolved, and information no longer needed for reference.

**g) System Backup Files (Contingency Files)**

Includes system, application, and data files and records that are faithfully and regularly copied from primary storage sites to replicate servers, tape drives and placed or mirrored in remote location to allow restoration of system to normal function and recovery of data when primary site of information/records storage experiences system failure and master files have been lost, degraded, or rendered inaccessible.

*Retention:* Retain Incremental backup tapes until superseded by a full backup, or when no longer needed for system restoration, whichever is later.  
Retain Full backup tapes until a second subsequent backup tape is verified as successful, or when no longer needed for system restoration, whichever is later.

*Note:* Back-up records should be maintained in a secure offsite facility separate from the master files or database.

**h) System Backup Logs**

Hard copy or electronic reports of successful backup of system data.

*Retention:* Retain one (1) year.

**i) Summary and Extracted Data Files**

Encompasses files that contain selected summary data aggregated, derived, or extracted from system and then transmitted, copied, printed, or merged in response to specific needs or requests inside or outside the agency. Examples include data used to produce hard copy publications, tabulations, ledgers, registers, and reports.

*Retention:* Retain until distribution complete.

*Note: Some selected and derived data may have longer-term or permanent value in the context of user, client, or recipient file or document. See agency specific schedule or contact the State Archives Division.*

**j) Work/Intermediate Files**

Files temporarily retained to facilitate the processing of specific job/runs or to create, update, modify, transfer, export, import, manipulate, or sort data within an automated system. May include “macro” or “startup” files or other electronic records created to preserve a combination of data elements and/or method of displaying these data elements, when all transactions are captured in a master file, valid transaction file, or database.

*Retention:* Retain file until transaction is completed, or until no longer required to document a valid transaction, to display data, to serve as audit trail, or to recreate or restore a business record.

**k) System Audit Trail Files**

Consists of data documenting the monitoring of system use and activities to ensure the integrity and reliability of data, and to determine system user needs. Data may include log-on and log-off records, capture, edit, and deletion dates, and related audit fields generated during the creation of master files or databases during a processing cycle.

*Retention:* Retain three (3) years.

**l) Technical Reformat Files**

Electronic files consisting of records or data copied from a complete or master file and specifically reformatted to enable transmission of understandable information or documents to a different platform or system.

*Retention:* Retain reformatted file until no longer needed for administrative, legal, audit, or operational purposes.

**m) Computer Usage Logs**

Records/data that monitor and report levels and patterns of individual and organizational usage of system hardware, software application, and internet resources, including but not limited to log in files, system usage files, application usage files, data entry logs, and records of individual computer usage. May also include levels of storage and network/bandwidth traffic and other documentation related to activities for monitoring and ensuring optimal efficiency of system resource use.

*Retention:* Retain until of no further administrative value, or after relevant audit requirement met, whichever is later.

**n) IT Service Status Reports (System Metrics)**

Routine IT support service reports documenting measurement of system hardware, software, and service performance and workload. May include processing statistics – number of jobs run, number of jobs run successfully, throughput times, online availability and system down time, print utilization, as well as system updates and changes, personnel training, usage statistics, run time averages, number of incidents (errors, exceptions, and interruptions) and Call Center/Help Desk performance.

*Retention:* Retain one (1) year after resolution of issues.

**o) Requests for Technical Support Services**

Documents pertaining to routine requests to IT support services to restore non-critical services and functions at individual or group workstations. Included are service request forms, electronic Help Desk tickets, request logs, charge-backs for services rendered, and other computer service request forms.

*Retention:* Retain one (1) year after resolution.

**p) Tape Library Control Records**

Includes automated records and manual files used to control the location, maintenance, and disposition of magnetic media in a tape library, including lists of holdings and control logs.

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

**q) File Destruction Reports (Scratch Reports)**

Reports regarding the destruction of tape library electronic files.

*Retention:* Retain until updated, superseded, or of no further administrative value, or after management approval, if required.

**GRS7.8 System Security Records**

Records related to measures to ensure that unauthorized persons do not access system information, that unauthorized persons do not alter information, or cannot alter it in a way that is not detectable by authorized users, and that users are the persons they claim to be. Measures may include risk avoidance, deterrence, prevention, detection, and recovery.

*Note: See GRS3.1 Facility Entrance Authorization Records and GRS3.2 Visitor Control Files/Logs for retention of documentation related to access to facilities housing computer equipment.*

**a) Security Policy Records**

Documents security policies, processes and procedures for protecting information and record keeping systems against unauthorized access and disruption of system environments. Included are policies on hardware and software protection, system and application access permissions, usage logs, audit trails, and redundancy measures as well as documents on appropriateness of resource usage.

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

*See also: GRS1.3 Policies and Procedures.*

#### **b) Risk Management Records**

Documentation pertaining to the identification, assessment, prevention, and preparation of responses to various sources of threat to information systems containing government owned records and data. Records may include reports and briefing documents on system characterization, threat and vulnerability identification, control analysis, likelihood determination, impact analysis, risk determination, control recommendations, and results documentation. May also include disaster plans, business resumption plans, and contingency plans for salvaging data, maintaining continuity of operations, and restoring system services.

*Retention:* Retain until documentation superseded.

*Note: See also: GRS1.3 Policies and Procedures.  
GRS3.12 Disaster Plans – Disaster/Recovery Planning.  
GRS6.4 Security of Records Documentation.  
GRS7.9 Data Preservation Policy and Strategy Records.  
GRS7.10 Disaster – Crisis Documentation.*

#### **c) Security Review and Audit Records**

Includes records that document internal or external reviews and audits of system security, policies and procedures created to control access to computer resources, including records documenting periodic audits or review and re-certification of sensitive applications. Documentation may include, but is not limited to, audit plans and procedures, audit steps performed and evidence gathered, reports and correspondence concerning findings, conclusions, and recommendations with respect to agency risk assessments, firewalls, intrusion detection, irregularities and illegal acts, breaches of security policies and procedures, penetration testing and vulnerability, and management controls of encryption methods.

*Retention:* Retain until review/audit completed and issues addressed, or until of no further administrative value, whichever is later.

#### **d) System User Master Lists and Rights Management**

Records document the establishment, maintenance, and management of individuals' right of access to view, use, or modify various information system and applications programs and data. These rights may be established in accordance with state records access law, IT security requirements, or business policy. Master file may consist of on-line electronic user account files containing names, user ID codes, access rights and privileges, and passwords (to data, applications, communications and other system devices).

*Retention:* Retain until updated or superseded. Files may be modified and/or purged as needed in accordance with written agency access controls policy and procedures.

**GRS7.9 Data Preservation Policy and Strategy Records**

Includes records that document agency policies, strategies, and methods to ensure continuing integrity and access to content, structure and creation context of digitally stored records and data with long-term or permanent value. May include, but is not limited to, preservation plans for copying, conversion, migration, and refreshing of data, conversion of current data and legacy data to new formats, or copying of converted records onto existing formats. May also include re-engineering, reverse engineering, including application replacement plans, as well as emulation or migration plans.

*Retention:* Retain until updated or superseded.

*Note:* See GRS7.8 System Security Records for documentation relating to measures to protect systems against loss of information as a result of unauthorized or illegal, intentional or unintentional, access to, deletion, or destruction of data.

**GRS7.10 Disaster – Crisis Documentation**

Records documenting actions, events, and decisions relating to actual disasters or crises that result in serious damage to information resource infrastructure, major disruption of system operations, and actual or threatened loss of significant government records and data.

*Retention:* Permanent.

**GRS7.11 Data/Resource Sharing Agreements**

Documents related to agreements for sharing data and other information resources between and among agencies and other organizational entities within and beyond the jurisdiction of the state.

*Retention:* Retain ten (10) years after expiration of agreement.

**GRS7.12 Wireless/Portable Device Policy Records**

Includes records that document agency policy concerning the management of government information in wireless and/or portable computer devices with processing, communication and/or information storage capacity, including laptops, notebooks, tablets, and cell phones with multimedia capability, including voice-enabled computers.

*Retention:* Retain until policy updated or superseded.

**GRS7.13 Emerging Technology Records**

Documentation pertaining to research on current and emerging information technologies and their potential to enhance agency services.

*RIGL § 29-8-10(i)(2) and RIGL § 29-8-10(j)(1)*

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

**GRS7.14 IT Resource Planning Reports**

Agency Long Range Information Resource Plans previously submitted to the Information Resources Management Board, to a successor authority, or developed for the agency's own purposes.

RIGL § 29-8-10(b)

*Retention:* Permanent.

**GRS7.15 Data Administration Records**

Documents the intellectual infrastructure of agency data, including metadata information on the meaning, purpose, structure and logical relationships among information content and record objects. May include, but is not limited to, information architectures and models, control data elements, record layouts, code books and logical relationships/tables, metadata schemes and models, Document Type Definitions, Resource Description Frameworks, data dictionaries, directories, classification systems, folder management schemes, and vocabulary authorities.

**a) Non-Permanent Records/Data**

*Retention:* Retain three (3) years after schemes have been superseded, or records and data destroyed, or custody transferred.

**b) Permanent Records/Data**

*Retention:* Transfer metadata information to the State Archives Division when agency transfers data for permanent preservation.

**GRS7.16 System Content**

Includes data and records related to conducting agency business.

**a) Word Processed Documents – Official record printed to paper and filed in file folder**

Includes all word-processed documents that are printed and placed in a file folder.

*Retention:* Retain electronic document until official paper record generated and placed in appropriate folder. Diversity of content and purpose of word-processed documents means that no single retention period can adequately accommodate the different business, legal and other requirements of all such documents. Consult appropriate records retention schedule (General Records Schedule or agency specific schedule) to identify matching record series and determine applicable retention period.

**b) Word Processed Documents – Official record saved in electronic form only**

Includes all word-processed documents stored and kept exclusively in an electronic file folder as the agency's official record.

*Retention:* Diversity of content and purpose of word-processed documents means that no single retention period can adequately accommodate the different business, legal and other requirements of all such documents. Consult appropriate records retention schedule (General Records Schedule or agency specific schedule) to identify matching record series and determine applicable retention period.

**c) Electronic Mail Messages – Used to produce hard copy official record filed in agency records keeping system**

Includes all incoming, outgoing, and forwarded messages, as well as attached files and documents, sent or received via an electronic mail system, and then printed to paper and kept as official record.

*Retention:* Retain electronic document until official paper record, including header information and attachments, is printed and placed in appropriate folder. Diversity of content and purpose of electronic mail messages and associated documents means that no single retention period can adequately accommodate the different business, legal and other requirements of all such documents. Consult appropriate records retention schedule (General Records Schedule or agency specific schedule) to identify matching record series and determine applicable retention period.

**d) Electronic Mail Messages – Maintained in electronic form only**

Includes all incoming, outgoing, and forwarded messages, and attached files and documents, sent or received via an electronic mail system.

*Retention:* Diversity of content and purpose of electronic mail messages and associated documents means that no single retention period can adequately accommodate the different business, legal and other requirements of all documents. Consult appropriate records retention schedule (General Records Schedule or agency specific schedule) to identify matching record series and determine applicable retention period.

**e) Databases**

Includes electronic documents, files, and data created, gathered or received, stored and retained in a database management system.

*Retention:* Diversity of database content and purpose means that no single retention period can adequately accommodate the different business, legal and other requirements of all data and records. Consult agency specific records retention schedule to identify the particular database, dataset, or other data files to determine applicable retention period. Agencies should consult the State Archives Division if they have doubts about the applicable retention conditions.

**f) Print Screens**

Screen views printed to paper for reference purposes.

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

**GRS7.17 Web-Related Records****a) System Documentation – Summary Design Records**

Records that document initial agency public web presence, virtual private networks (VPN), intranet, or extranet site design and construction, subsequent major page/site redesigns and changes, as well as layout at time of site closure. May include, but is not limited to, documentation pertaining to site purpose, major features, functions, sections, site diagrams, descriptions of data sources, screen dumps of major pages, related correspondence and memos.

*Note: Major page/site redesigns and changes refers to significant alteration of presentation, structure, or functionality. Changes do not encompass introduction of new informational or documentary content, or deletion of existing informational or documentary content. See GRS7.17 d) Site Content – Website, Intranet, and Extranet Content Records for web content.*

*Retention:* Permanent.

**b) System Documentation – All Other Design Records**

Records include, but are not limited to, documentation relating to draft site designs and minor design changes.

*Retention:* Retain three (3) years, or for one (1) year after site closure, whichever is earlier.

**c) System Documentation – Site Management Records**

Records include, but are not limited to, strategies, plans, policies and procedures, memos and correspondence relating to hardware, software applications, site operation and maintenance, site access and security, and tracking of content changes.

*Note: For retention of documentation related to site hardware and software assets, see GRS7.4 Assets Inventory Control Records – Hardware and Network Fiber, and GRS7.5 Assets Inventory Control Records – Applications Software.*

*Note: For retention of documentation related to system maintenance, see GRS7.6 Systems Maintenance Records.*

*Note: For retention of documentation related to system operation, including website usage statistics, see GRS7.7 System Operations Records.*

*Note: For retention of documentation related to site access and security, see GRS7.8 System Security Records.*

*Note: For retention of documentation related to measure for preservation of site content, see GRS7.9 Data Preservation Policy and Strategy Records.*

*Note: For retention of site informational and documentary content, see GRS7.17 d) Site Content – Website, Intranet, and Extranet Content Records.*

**d) Site Content – Website, Intranet, and Extranet Content Records**

Encompasses documentary content (text, graphics, and sound) that agencies specifically create and post to agency web, virtual private networks (VPN) intranet or extranet, as well as pre-existing documents prepared for posting, and documentation of links to external sources such as databases. May also include directory structures in which content files are placed.

*Note: Where paper copy of web page(s) lacks important content, structural features, or functionality available in web version, it may be necessary to retain web version, including any scripts (for example, Javascript, PHP), markups, style sheets, and other information necessary to accurately preserve and represent the original content, appearance, navigation, and functionality of the page/site.*

*Retention:* Diversity of web, intranet, and extranet content, content distribution (existence of copies of documents elsewhere than on the site), and purpose means that no single retention period or disposition condition can adequately accommodate the different business, legal and other requirements of all site posted data and records. Consult appropriate records retention schedule (General Records Schedule or agency specific schedule) to identify matching record series and determine applicable retention period and disposition requirements.

*Note: For retention of documentation related to directory structures, see GRS7.15 Data Administration Records.*

**GRS8 Fiscal Records (Approved and added March 2017)**

This schedule is the records retention and disposition authority for use by the following agencies:

- a. State agencies that use the services of state financial authorities. \*
- b. Local government agencies that use the services of municipal financial authorities. \*
- c. Quasi-public agencies that use the services of state financial authorities. \*

Agencies that do not use the services of the above financial authorities cannot use this schedule as a disposal authority for their financial records. They should contact the State Archives/Public Records Administration.

Before actual records destruction may take place, agencies must submit a Certificate of Records Destruction the State Archives/Public Records Administration (RIGL §38-1-10, §38-3-6(j), §42-8.1-10). Certificates of Records Destruction authorize the disposal of records and act as the legal replacement for the actual records subsequently destroyed.

**Section 8 of the General Records Schedule contains the following sections:**

- GRS8.1 Authorization Records**
- GRS8.2 Expenditure Management Records**
- GRS8.3 Capital Purchase and Equipment Assets Management Records**
- GRS8.4 Debt Service Records**
- GRS8.5 Income/Receipt Records**
- GRS8.6 Accounting Records**
- GRS8.7 Accounting Reports**
- GRS8.8 Payroll Records**
- GRS8.9 Budget Records**
- GRS8.10 Procurement Records**
- GRS8.11 Miscellaneous Records – Audits, Insurance**

**Appendix: Permanent Records**

\* “Financial authority” As used in this document, financial authority may mean:

1. For state agencies and quasi-public agencies: Department of Administration: Accounts and Control, Division of Purchasing, Budget Office, as well as the General Treasurer.
2. For local government agencies: Finance Director, Treasurer, Purchasing Agent, or any other financial authority.

**GRS8 Fiscal Schedule****GRS8.1 Authorization Records****GRS8.1.1 Financial System Access and Authorization Records**

Copies of documentation submitted to financial authority to enable agency personnel to access and use enterprise information services and systems in place for recording and extracting financial transaction information (accounting information, purchases by, and payments. Included are forms submitted by departments requesting access and use privileges for specific applications of the enterprise automated financial information system by designated agency staff, forms seeking designation of specific departmental personnel as agents authorized to approve and sign for purchases made on the department's behalf, and office supply purchase order forms. Also includes copies of taxpayer identification forms that agencies submit to the financial authority, as well as access to State Time and Attendance Reporting System (STARS) Access Form.

Retention: Retain three (3) years after authority updated, superseded, or expired.

*Note: For state credit card authorization and use see below GRS 8.1.5 Credit Card Payment Record and 8.2.8 Purchase Card Records.*

**GRS8.1.2 Inter-Agency RIFANS Accounts Access**

Documentation relating to agency application to financial authority to have access to a cooperating agency's RIFANS account.

Retention: Retain three (3) years after updated, superseded, or obsolete.

**GRS8.1.3 Authorized Purchasing Agent Lists**

Documentation concerning personnel that agencies have designated to receive delegated authority from financial authority to act as purchasing agents on its behalf for authorized dollar amounts. Documentation includes level of expenditure authorized, access to Chief Purchasing Agent, and authority to decide on emergency purchase requests. (State Procurement Regulation 5.3)

Retention: Retain three (3) years.

**GRS8.1.4 Use of Restricted or Special Revenue Funds**

Records documenting source of funds (bequests, bonds, donations, gifts, grants) and agency application for authorization to draw on restricted or special revenue funds and incur obligations against funds that are not otherwise appropriated to the agency by the annual appropriation acts of the regular session of the General Assembly. Use of funds must be previously appropriated or re-appropriated or approved by the Governor, Speaker of the House, and the President of the Senate, and await written authorization in response to agency request. State agencies desiring the Governor's approval to expend or obligate receipts not appropriated or re-appropriated by the General Assembly in the annual appropriation act or supplemental appropriation act must forward a request to the

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proper financial authority for approval. (State: state budget officer, who forwards copy to the Speaker of the House and the President of the Senate. Records include documentation related to application and approval.) (RIGL § 35-4-22.2, RIGL § 35-4-6)

Retention: Retain seven (7) years.

#### **GRS8.1.5 Credit Card Payment Record**

Records documenting agency receipt of proper authorization from financial authority to accept credit card payments for delivery of its products and services. (RIGL § 35-21-1)

Retention: Retain three (3) years after expiration of authority.

#### **Other Authorization Records:**

Electronic Funds Transfer Authorizations

*See GRS8.8.8 Electronic Funds Transfer Authorizations.*

Letters of Authorization – Expedited Purchases

*See GRS8.10.4 Emergency Procurement Records.*

*See GRS8.10.5 Letters of Authorization – Immediate Delivery.*

Imprest Cash Fund Authorization Records

*See GRS8.5.2 Imprest Cash Fund Application.*

*Note: For other imprest cash fund management documents see GRS8.5.3 Income/Receipt Records.*

Quasi-Public Agencies Audits

*See GRS8.11.3 Quasi-Public Agency Audits.*

#### **GRS8.2 Expenditure Management Records**

##### **GRS8.2.1 Federal Reimbursement Records**

Records relating to agency up front expenditures made under federal programs pending receipt of federal funds. Records document agency expenditures and delivery of programs and/or services. Records may include vendor invoices, federal reimbursement forms, supporting documentation and related forms and correspondence. (RIGL § 35-6-42)

##### **a) Records retained exclusively by agency**

Retention: Retain ten (10) years after final reimbursement received.

##### **b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years after final reimbursement.

**GRS8.2.2 Invoices, Vouchers, and Supporting Documents**

Records related to provision of documentation necessary for authorization of payments to vendors for agencies' purchases of products and services. Records may include, but are not limited to, sales invoices, vouchers, packing slips, direct payment documentation for standing orders and regular purchases, backup documentation for vouchers, office supply vouchers as well as authorization to pay vendor forms and adjustment vouchers. (RIGL § 35-6-19)

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

*Note: See GRS8.10.2 Purchase Requisition Records for purchase requisition documentation.*

**GRS8.2.3 Encumbrance Documents**

Current fiscal year encumbrance and pre-encumbrance detail documents. These documents describe the goods or services requested and include the estimated costs. They are used by fiscal operations to certify the availability of funds and the appropriateness of the charge.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.2.4 Disallowed Claims**

Records documenting agency claims disallowed by financial authority. (RIGL § 35-6-12)

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.2.5 Travel Request Records**

Copies of business travel request forms submitted to financial authority for lodging, transportation, and car rental authorization. Includes forms and any supporting documentation.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.2.6 Travel Expenditure Records**

Includes employee forms reporting in-state travel expenses as well as out-of-state travel expenses. Also includes supporting expense documentation as well as employee reimbursement vouchers.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.2.7 Payer's Request for Tax Identification Number and Certification**

Forms in which agencies, as payers for services, furnish financial authority with taxpayer identification (W-9), as required by the Internal Revenue Service.

Retention: Retain three (3) years or until of no further administrative value, whichever is later.

**GRS8.2.8 Purchase Card Records**

Government financial authority sometimes finds it convenient to issue and authorize the use of purchase cards (credit cards) to some employees to purchase goods and services directly related to public business. Records document use of cards as well as records of purchases made using cards. Series may include, but is not limited to, copies of monthly credit card purchase statements, with supporting documentation, advertisement purchase request forms, applications/agreements for purchase cards, off-line purchase forms, and "Will call" purchase card forms.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.2.9 Rotary Fund Management Records**

Records document agency payments to other agencies for products and services under a vendor-customer relationship. Services may include information technology, human resources, state fleet, property, legal, telecommunications, warehousing or other services. Funds are provided by advances from the General Fund. Departments are usually billed once a month on a cost basis. Internal Service Fund billings are prepared periodically during the month on an Internal Transfer Voucher form. These vouchers are forwarded by the billing agency directly to the financial authority (Office of Accounts and Control) for payment. Record includes Monthly Accounts of Disbursing Officers listing fund expenditures submitted to financial authority by agency disbursing officer. May also

include supporting documentation such as Cash Receipts, Disbursements Register, Sales and Accounts Receivable Register, Expenses and Accounts Payable Register, Perpetual Inventory Records, General Ledger, and fixed assets as well as monthly. (RIGL § 35-5-5 and A&C Policy (A-20 in 2008).

*Note: Rotary Fund may also be known as “Internal Revenue Fund” and “Revolving Fund”.*

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

*Note: See also GRS8.7.15 Rotary Funds Monthly Accounts of Disbursing Officers and GRS8.9.5 Agency Budget Request Records.*

**GRS8.2.10 Vendor Files**

Agency records documenting amount agencies disburse to individual vendors. May include supporting documents, including delivery orders, logs, advertising orders, and invoices documenting purchase from a specific vendor.

Retention: Retain three (3) years after updated, superseded or obsolete.

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

**GRS8.2.11 Claims in Motor Vehicle Cases**

Individual(s) sustaining personal injury or damage to property by reason of the negligent operation by any government officer or employee of a motor vehicle or other motorized equipment owned by the government, may file a claim for the injury or damage with the director of the department in which the officer or employee is employed. If director, after proper investigation of the facts, determines that the claim is proper, individual (s) may, with the approval of the Attorney General/legal counsel and the Director of Administration, allow the claim, in whole or in part, but in no case in excess of one hundred dollars (\$100), and the financial authority, upon receiving notice of the allowance, shall draw his or her order upon the General Treasurer for the payment of such a sum as shall be allowed to the persons entitled thereto. Records may include, but are not limited to, correspondence and forms related to establishment and settlement of claims. (RIGL § 35-6-40)

Retention: Retain three (3) years after settlement of claim.

*Note: Retention period for records related to other types of liability claims brought against the state may be found in the Attorney General Records Retention Schedule. Record Series AG.1.1 (Civil Actions Brought By and Against the State). RIGL § 9-1-25 and RIGL § 9-31-1.*

**Other Expenditure Management Records:**

Capital Projects Expenditures Records

*See GRS8.3.4 Capital Projects Expenditures.*

Purchase Order Change Records

*See GRS8.10.3 Purchase Orders, Contracts, Agreements Files.*

Travel and Entertainment Expenses of Quasi-Public Agencies

*See GRS8.11.4 Quasi-Public Agency Audits.*

**GRS8.3 Capital Purchase and Equipment Assets Management Records****GRS8.3.1 Capital Assets Acquisition Reports**

Agencies must report fixed asset acquisitions to the financial authority, whether through donations, forfeitures, foreclosures, purchases, leases or lease/purchase, custodial trusts, or renovations. Documentation submitted contains detailed information concerning the fixed asset, including its make, model, serial number, and physical location. May also include item given to a vendor that is supplying a new item to replace the old item as part of the purchase price paid for the new item. Acquisition reports (SFA 12) are accompanied by insurance forms.

Retention: Retain three (3) years after disposal of asset.

**GRS8.3.2 Surplus Property Disposal Reports**

Records include documents agencies submit to financial authority to report assets retirement as a result of catastrophe or natural disaster, through loss or misplacement, or because of theft or sale, or which is declared surplus or scrap (items having no salvage value.) Information covers original cost, description and label number.

Retention: Retain five (5) years after retirement of asset.

**GRS8.3.3 Reports of Fixed Asset Transfers**

Agencies transferring items they no longer require to another agency must file a report. The item(s) transferred are reported on a report of fixed assets transfer financial authority form. Form also used to report changes in the physical location of an asset when line item number or building number (division) changes. Records contain information about the transfer of assets between agencies. Documentation includes information about releasing and receiving agency, description of item, location of asset, and account funding code information.

Retention: Retain three (3) years after transfer of asset.

**GRS8.3.4 Capital Project Expenditures**

Files dedicated to project appropriation and expenditure reports with regard to special fund accounts for construction projects and minor capital improvements. Revolving funds are employed to finance government's industrial, commercial, and service activities, the expenses of which are met by operating income, or to finance supply inventories for government institutions. Series documents each check issued from an institutional revolving fund for payroll draws, final pay, or special pay. Series contains copies of issued checks showing: name, date issued, social security number, amount, check disposition, and other data elements.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years after project termination.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years after project termination.

*Note: See also GRS 4.2 Construction and Improvement Records.*

*Note: See GRS 1.10 Grant Documentation for retention of various types of grant related records.*

**GRS8.3.5 Vehicle Acquisition Expenditure Records**

Records documenting identity of agency, make and model of vehicle, account information, mileage, maintenance and repair costs, and financing of acquisition of vehicles under Vehicle Replacement Plan.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years after project termination.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years after project termination.

*Note: See also GRS8.9.5 Agency Budget Request Records for retention of Vehicle Replacement Plans.*

***Other Capital Purchase and Equipment Assets Management Records***

*See GRS8.9.5 Agency Budget Request Records.*

**GRS8.4 Debt Service Records****GRS8.4.1 Bond Fund Establishment Records**

Records pertain to financing of local and state government projects through bonded indebtedness. Records may include, but are not limited to, preliminary studies, legal opinions, proposals and prospectuses, authorizations and certificates for issuance, cancellation and exchange records, and other related correspondence and documentation. Debts may be in form of serial bonds, capital appreciation bonds, and certificates of

participation. Records document terms of repayment of obligations and nature of bond-funded expenditures. Contract to make payments on borrowed money, leases, installment purchase agreements, or otherwise, and includes a share, participation, or other interest in that agreement.

Retention: Permanent.

*Note: General Treasurer also holds permanent record copy of state issued bonds.*

#### **GRS8.4.2 Bonds, Notes, and Coupons Paid**

Copies of coupons and notes redeemed throughout life of the bond.

Retention: Retain three (3) years after discharge of bond.

*Note: General Treasurer holds permanent record copy of state issued bonds.*

#### **GRS8.4.3 Unsold, Repurchased, or Transferred Certificates**

Records may include copies of bonds, coupons, and other certificates of indebtedness in possession of the state or municipal governments that have been re-purchased, remained unsold, or whose ownership has been transferred. (RIGL § 35-8-2)

Retention: Retain six (6) years after discharge of bond.

#### **GRS8.4.4 Attestation for Financial Statements to Issue Bonds or Certificates of Indebtedness**

State financial authority forms that document city, town, or regional school district attestation to state financial authority regarding annual financial statements, authorized to submit annual financial statements of the city/town to issue bonds and or certificates of indebtedness in accordance with the purposes outlined in a particular legislative bill.

Retention: Retain six (6) years after discharge of bond.

#### **GRS8.4.5 Certificates of Destruction**

Notarized certificates of destruction for paid bonds, coupons, and certificates of indebtedness, listing in numerical order bond issue, bond and/or coupon number, date of issue, and denominations of each bond and of each coupon and certificate of indebtedness destroyed, and the time when destroyed. Fiscal agents must submit destruction certificates, provided by the financial authority, in regular intervals each month, together with a certification of the balance of the funds remaining in each bond account for the indebtedness matured and not presented for payment. (RIGL § 35-8-2)

Retention: Permanent.

**GRS8.5 Income/Receipt Records****GRS8.5.1 Accounts Receivable Records**

Series documents agencies' accounts receivable transactions for funds received in payment of various expenses for billable services, for user licensing fees, examination charges, and other fees for which agency receives payment. Includes cash receipt deposit vouchers.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years after final reimbursement.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years after final reimbursement.

**GRS8.5.2 Imprest Cash Fund Applications**

Prior to the establishment of an imprest fund, agencies must submit to the financial authority documentation demonstrating need. If financial authority (State: Controller) determines that a need exists, and that adequate accounting controls are provided, establishment of the fund must then also be approved by other financial authorities (State: Budget Officer and the Chief Purchasing Officer.) Records include application documents, authorization documents, and documents related to qualifying tests for custodian and disbursing officer designated for delegation of authority to manage fund. Fund lapses with end of each appropriation period. (RIGL § 37-2-55 and Purchasing Regulation)

Retention: Retain three (3) years.

**GRS8.5.3 Imprest Cash Fund Transaction Records**

Records documenting management of agencies' imprest cash funds. Authorized agency fund custodian (See above, GRS8.5.2 Income/Receipt Records - Imprest Cash Fund Applications) must at least once each month file with the financial authority (Chief Purchasing Officer) a schedule of the disbursements from the fund, supporting vouchers, statements of indebtedness approved by the head of the agency, and a certificate as to the condition of the fund. The amount of the total of the approved voucher is paid to the custodian of the fund on warrant of the financial authority (State: Chief Purchasing Officer) for reimbursement of the fund. (RIGL § 37-2-55 (d) and Procurement Regulation 1.7.2)

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.5.4 Cash Books, Receipts and Reports**

Records may include, but are not limited to, cash books and journals showing receipts, cash account pre-edit listing, daily cash reports and other documentation of receipt of monies for fees, parking tickets, rentals, registrations, etc.

Retention: Retain three (3) years.

**GRS8.5.5 Cash Register Validation Tapes**

Receipt tapes produced by cash registers and other equipment.

Retention: Retain three (3) years.

**GRS8.5.6 Rate and Fee Records**

Records documenting agency fees and rates charged for various agency services.

Retention: Retain three (3) years after superseded.

**GRS8.5.7 Restricted Account Indirect Cost Recovery Assessment Records**

Records related to recovery of established percentage of cash receipts from eligible agency restricted receipt accounts and recorded as general revenues in the general fund. Series may include forms and other documentation completed by agency responsible for restricted account. May also include data justifying exemption from or financial authority of exemption denial from statutory assessments against agencies' recovery of indirect costs in restricted receipt accounts. (RIGL § 35-4-27)

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.5.8 Custodial Funds**

Records of custodial funds received and held in trust by state agencies on behalf of patients, wards, inmates, or residents. Funds are deposited into special accounts within general revenue fund. Records may include, but are not limited to, Treasurer account earning estimates and statements, financial authority documentation of deposits, and vouchers sent to financial authority for withdrawal of funds. (RIGL § 35-4-24)

Retention: Retain five (5) years after close of individual fund.

**GRS8.5.9 Bank Depository Accounts Records**

Records that document agency application for temporary deposit accounts with banks not already approved by and under the financial authority (State: General Treasurer and State Comptroller). Includes application and approval documents, including periodic account status reports, financial authority (Treasurer's) bank depository authorization letter, bank documentation as well as documentation submitted to Accounts and Controls for

approval. (Accounts and Controls Policy A- 44)

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.5.10 Telecommunication Reimbursement Records**

Records relating to employee annual reporting of telecommunication usage and calculation of reimbursement of financial authority for charges on personal use. Also includes calculations related to fringe benefits.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.5.11 Federal Grants Forms**

Records include federal grants information schedule submitted by agencies to financial authority (Office of Accounts and Control). Information may include, but is not limited to, grant title, award amount, reporting period, federal grant CFDA number (Catalogue of Federal Domestic Assistance), account balance, free balance, and expenditure for the reporting period.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

*Note: See also GRS1.18 Executive and High-Level Records – Grant Program Files for other grant related records.*

**GRS8.5.12 Trial Balance by Accounting Distribution**

Records documenting periodic balances in various agency accounts.

Retention: Retain six (6) years.

**GRS8.5.13 Employer-Provided Vehicle Usage and Reimbursement Records**

Employees assigned a state/municipal vehicle must complete forms detailing payroll account information, description of vehicle, registration information, and vehicle market value. Also reported are personal and business mileage, employee gas expenses, and fringe benefits. Financial authority (Accounts and Control) uses information to report on W-2 forms the value of daily employee commuting, and calculation of fringe benefit.

Financial authority may use information to compile and file annual reports. Second form, "Annual Report of State-Owned Vehicle Usage," contains similar information and is used by State Fleet Operations to report annually to the General Assembly on state vehicle ownership and usage to all employees who are assigned a state-owned vehicle. These forms must be completed and submitted by each active employee to whom a vehicle is assigned.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.5.14 Gifts and Donations**

Records documenting gifts and donations received by agency and turned over to financial authority (General Treasurer) and placed in general fund or restricted fund account, according to provisions of the gift.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**Other Income/Receipt Records:**

Rotary Fund Application Records

See *GRS8.9.5 Agency Budget Request Records*.

Rotary Fund Management Records

See *GRS8.7.15 Rotary Funds Monthly Accounts of Disbursing Officers*.

**GRS8.6 Accounting Records**

**GRS8.6.1 Charts of Accounts**

Records documenting types of accounts and sub-accounts authorized for an agency by financial authority (State Controller).

Retention: Retain three (3) years after superseded by new chart of accounts.

**GRS8.6.2 Accrual Documents**

Reversing entries that record revenues earned but not yet received, or expenses incurred but not yet paid. Accrual entries are posted to the prior fiscal period and later reversed automatically based on the reversal date appearing on the document.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.6.3 Specific Appropriation Account Records**

Records documenting management of funds received under appropriations for specific construction or repair of public buildings. Includes periodic and year-to-date balances. (RIGL § 35-6-16)

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.6.4 Journal Entry Records**

Data and documentation relating to agency journal entries listing a wide range of daily transactions, including expenditures, receipts and distributions of funds to be reported for a specific time period. Information includes, but is not restricted to, name of agency, account number, journal entry number, employee identity, and system-assigned agency number. Financial information relates to disbursements and receipts as well as distributions by account number. Journal entries may also record adjustments, allocations, cancellations, cash receipts, check changes, and transfers and redistributions among different funds. Includes information used to create documentation for data entry into financial authority's automated financial system.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.6.5 Ledgers**

Aggregate records of completed financial transactions (debits and credits) organized under appropriate agency and government account code or number.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.7 Accounting Reports****GRS8.7.1 Transaction Register Statements**

Periodic agency printouts or downloads of financial transaction data extracted from financial authority's financial system. Includes transactions registered, recorded, and retrievable by various keys, including document ID, check number, purchase order number, object of expenditure, or vendor number.

Retention: Retain three (3) years or until of no further administrative value, whichever is later.

**GRS8.7.2 Holds Reports**

Regular reports listing supplier name, invoice number and date, purchase order number, amount committed and amount on hold.

Retention: Retain three (3) years after updated or superseded.

**GRS8.7.3 Authorized Red Balance Requests**

Reporting of projected cash and/or budget deficits and surpluses.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.7.4 Federal Grant Reports**

Forms providing information to financial authority about grant title, grant source, grant period, and expenditure report.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

*Note: See also GRS1.18 Grant Program Files for other grant related records.*

**GRS8.7.5 Imprest Cash Fund Reports**

Annual Report to financial authority regarding financial status, depository location, and status of fund disbursing officer.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.7.6 Billing Reports**

Includes various accounts payable reports for a particular period of time sent to financial authority. Contains aggregate information documenting agency expenditures and charges for particular purchased products and services. May include, but is not limited to, reports on phone, photocopier, and fax use, technology and computer services billings, postage, and motor pool expenditures

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.7.7 Erroneous Vendor Payment Reports**

Records related to erroneous payment transactions due to such errors as overpayment, underpayment, and incorrect accounting. (RIGL § 35-6-41)

Retention: Retain three (3) years after updated or superseded.

**GRS8.7.8 Cancelled, Spoiled, Voided or Stolen Checks****a) Cancelled checks**

Retention: Retain six (6) years.

**b) Lost, voided, stolen checks**

Retention: Retain three (3) years.

**GRS8.7.9 Uncollectible Accounts Receivable Reports**

Agency reports of uncollectible monies sent to financial authority. Information includes, but is not limited to, account number, payee name, amount due and reason for default, summary aging of account, and explanation (death of payer, error in claim, settlement, bankruptcy, no assets available.)

Retention: See GRS1.5 Statistical Records and Annual Reports, GRS5.8 Daily and Weekly Reports, and GRS5.9 Monthly, Quarterly and Periodic Reports.

**GRS8.7.10 Records of Unpaid Checks**

Record of all checks signed by the General Treasurer of the state, which may be payable on account of any appropriation made by the General Assembly, which have remained unpaid for one year or more from the date that the checks were signed. (RIGL § 35-6-18)

Retention: Retain three (3) years.

**GRS8.7.11 Accounts Payable Reports**

Records containing information relating to individual agency expenditures. May include, but is not limited to, debit amount, natural account, Line Item Sequence/Source (LISS) item, expenditure object, project description, reference numbers, and funding sources.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.7.12 Annual Agency Financial Statements**

Department of Administration requires that state departments, agencies, and public authorities or corporations file annual statements of financial condition and operations. These bodies must submit, as required by the state financial authority, a copy of audited financial statements for the most recent completed fiscal year to the state financial Authority. Statements may include, but are not limited to, statements of trial balance, free balance, and purchase order balances. (RIGL § 35-6-37)

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.7.13 Quarterly Fiscal Reports**

State departments, agencies, and public authorities and corporations must submit to the fiscal advisors of the house and senate, statements of financial conditions and operations within a certain period after close of each of the first three (3) fiscal quarters of each year. Statements may include, but are not limited to, account numbers; allotments; expenditures to-date, estimated expenditures to complete the fiscal year; and surplus or deficiency projections. (RIGL § 35-3-17.1)

Retention: Retain three (3) years.

*Note: See also GRS5.9 Monthly, Quarterly, and Periodic Reports.*

**GRS8.7.14 Monthly Revenue Reports**

On-line monthly agency revenue reports available to agencies for printing from the state's automated financial system.

Retention: Retain three (3) years.

*Note: See also GRS5.9 Monthly, Quarterly, and Periodic Reports.*

**GRS8.7.15 Rotary Funds Monthly Accounts of Disbursing Officers**

Monthly statements of expenditures submitted to financial authority by agency disbursing officer. Also includes duly authenticated vouchers, covering expenditures from rotary funds for each month, and when approved by the financial authority disbursing officer draws orders on the financial authority (State: General Treasurer) for the amount necessary to reimburse each fund. (RIGL § 35-5-5)

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.7.16 Financial Integrity and Accountability Reports**

Agencies, public corporations, boards, and commissions are required to prepare annual reports on the adequacy of the entity's systems of internal accounting and administrative control by December 31 of each year. Includes executive self-assessment SWOT (Strengths, Weaknesses, Opportunities, Threats) reports. These reports may include surveys as well as report addressed to the Governor identifying major issues and risks that may affect future performance of agency mission, and description of current measures underway. Copies forwarded to legislature, Auditor General, and Department of Administration, and the State Library. (RIGL § 35-14-6 and RIGL § 35-20-6, and State Controller Policy and Accounts and Control Procedure A-39)

Retention: Permanent.

**GRS8.7.17 Monthly Financial Controller Statements**

Monthly statements of receipts and disbursements in comparison with monthly estimates and allotments of appropriations that Accounts and Control furnishes to each department with copies of statements covering its operations for the preceding month, as well as estimates and allotments for the ensuing period. (RIGL § 35-6-5)

Retention: Retain seven (7) years.

**GRS8.7.18 Statements of Disallowed Claims or Accounts**

Whenever it disallows a claim or account, the financial authority must record and transmit reasons for the disallowance. Financial authority keeps a record of denial, date, amount, and name of the person presenting claim, the nature or purport of the claim or account. (RIGL § 35-6-12)

Retention: Retain seven (7) years.

**GRRS8.8 Payroll Records****GRS8.8.1 Tax Deposit and Check Change Records**

Documentation pertaining to government's federal tax obligations as an employer. Includes forms and other documents related to federal tax deposits as well as check changes and payroll changes which may affect federal portion of payroll record-based taxation. Includes 945 federal tax forms (Annual Return of Withheld Federal Income Tax), federal tax deposit vouchers, payroll check changes, including employee retirement system adjustment check changes, wage and tax statement corrections forms, payroll year-to-date reconciliations, and Employer's Quarterly Federal Tax Return forms.

Retention: Retain three (3) years.

**GRS8.8.2 Payment Records**

Records relating to government payment of employee wages and salaries, also including employee pensions. Documentation encompasses payroll vouchers, with attachments, which may also include emergency supplemental payroll requests and payroll adjustment forms (A-88, A-88a). Series also includes payroll registers, payroll check registers, and payroll deduction registers as well as pay distribution analysis documents (summary reports), and Department of Children, Youth, and Families payroll documents (foster parents and special payments). This series also includes hard copies of Treasurer pay deposit receipts made available to employees who have arranged for direct electronic deposit of wages into their bank accounts.

*Note: Department of Children, Youth and Families employee payroll payments are made on a monthly basis rather than bi-weekly.*

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**c) Pay stub records – employee copies statements of earnings and deductions**

Retention: Retain three (3) years or until of no further administrative value, whichever is later.

**GRS8.8.3 Payroll Attendance Reports**

Records include originals and copies of employee timesheets reporting number of hours worked per pay period, and various exceptions and forms of leave taken.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.8.4 Jury Duty Reports**

Forms agencies must complete and submit to financial authority upon employee's return to work from jury duty.

Retention: Retain three (3) years.

**GRS8.8.5 Requests for Special Employment**

Forms certifying ability to undertake supplementary services outside of regular work schedule and requesting approval. (Accounts and Control Form A-64)

Retention: Retain three (3) years.

**GRS8.8.6 Cancelled Payroll Checks and Personal Reimbursement Forms**

Documents used to cancel a payroll check or for an employee payroll reimbursement.

Retention: Retain three (3) years.

**GRS8.8.7 Garnishment Documents**

Records documenting garnishment of employee wages for various reasons.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.8.8 Electronic Funds Transfer Authorization**

Forms and documentation related to employee authorization for regular direct electronic transfer/deposit of wages and payments into employee bank accounts.

Retention: Retain three (3) years after updated, superseded or obsolete.

**GRS8.8.9 Annual Payroll Accrual Records**

Financial authority charges accrued payroll costs to all accounts that normally have payroll charges at the end of each year. Purpose of this accrual is to comply with the basic principles of accounting by recognizing expenditures in the period incurred. Payroll accrual charges represent a percentage of the last payroll period amounts charged in the fiscal year.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

## **GRS8.9 Budget Records**

### **GRS8.9.1 Personnel Positions Approval Records**

Documents the Budget Office's approval of positions proposed by departments. Includes requests for approval, approval letters, and other related correspondence.

Retention: Retain seven (7) years.

### **GRS8.9.2 Annual Allotment and Advice Records**

Records documenting annual budget allotment information transmitted by Budget Office to agencies.

Retention: Retain seven (7) years.

*Note: Budget Office retains permanent file.*

### **GRS8.9.3 Quarterly and Monthly Allotment and Advice Records**

After annual appropriation bill or bills have been passed by the General Assembly and signed by the Governor, Budget Office determines quarterly or monthly allotments, in accordance with seasonal requirements, and division of amounts to be expended under each appropriation. Budget Office makes initial determination within forty-five (45) calendar days of the signing of the annual appropriations bill by the Governor. Copy of the initial determination is forwarded to the chairperson of the House Finance Committee and the chairperson of the Senate Finance Committee. Copies of subsequent determinations are forwarded when made. (RIGL § 35-3-17)

Retention: Retain seven (7) years.

### **GRS8.9.4 Budget Instruction/Target Records**

Instruction documents received from Budget Office concerning the preparation of yearly budget by agency at the beginning of the budget submission process. Includes background materials, legislation, and related correspondence.

Retention: Retain three (3) years or until of no further administrative value, whichever is later.

### **GRS8.9.5 Agency Budget Request Records**

Files contain records that document agencies' preparation of budget request submissions. May include, but is not limited to, original departmental budget submissions (including forms, project narratives and justifications, cost information, vehicle replacement plans, and other documentation related to operating and capital budgets, asset protection, general maintenance), rotary fund requests, budget analyst recommendations, department responses, and related documentation. Agencies requesting or planning the expenditure of funds on capital projects over the five-year planning period are required by law to submit

a five-year Capital Improvement Plan (CIP) to the financial authority. These plans include submission of capital budgets, which cover the first budget year as well as the following four years of the CIP. CIPs include detail about new construction, remodeling, reconstruction (major rehabilitation), renovation (minor rehabilitation), asset protection and maintenance. Agencies with previously approved capital projects in the current CIP, must also submit a capital budget outlining the status of these on-going projects. Documentation may include, but is not limited to, transmittal letter from director, project summary form, project narrative and justification, including project name, ranking of each project and estimated costs. Justification may include such strategic criteria as public safety, code violations, environmental impact, geographic significance, agency mission alignment, and customer service. Documentation also related to project cost/financing for each proposed project. (RIGL § 35-3-7, 42-41-6, 42-41-7)

**a) Capital Improvement Plans**

Retention: Retain five (5) years after disposition of asset.

**b) Budget plans**

Retention: Retain five (5) years.

**c) Budget preparation documents**

Retention: Retain five (5) years.

*Note: Budget Office retains official permanent copy of Budget Request records and Capital Improvement Plans.*

*Note: See GRS4.2 Construction and Improvement Records for records related to actual construction, renovations, building projects, capital improvements and repairs.*

*Note: See GRS1 for Executive, High-Level and Policy-Making Records.*

**GRS8.9.6 Fiscal Impact Notes**

Documents responses to requests from the House or Senate for fiscal impact analysis of appropriation bills. Includes requests, comments and materials from state agencies, the legislation, the final fiscal impact note response memos or forms, and related correspondence.

Retention: Retain five (5) years.

**GRS8.9.7 Overbudget Expenditures**

Obligations, encumbrances, or expenditures that exceed amounts appropriated require that agency heads with oversight responsibility make a written determination of the amount and the cause of the “over-obligation” or “over-expenditure”, the person(s) responsible, and corrective actions taken to prevent recurrence. Report must contain plan of corrective actions, which includes, but is not limited to, such issues as the implementation of waiting lists, pro-rata reduction in payments, and changes in eligibility criteria as methods to address the shortfall. Report must be filed within thirty (30) days

of the discovery of the shortfall, “over-obligation” or “over-expenditure” with the financial authority, and the chairpersons of the House and Senate Finance Committees. (RIGL § 35-3-24 (c))

Retention: Retain five (5) years.

**Other budget records:**

Agency Correspondence  
*See GRS1.1 Correspondence and Memoranda.*

**GRS8.10 Procurement Records**

**GRS8.10.1 Procurement Actions – Annual Report**

Annual report agencies send to Division of Purchasing on procurement actions for sole source, emergency, and small purchase contracts made during the preceding fiscal year. Report contains name of contractor, amount and type of each contract. (RIGL 32-2-37 And Procurement Reg. 1.4.1.3.1)

Retention: Retain five (5) years. (Procurement Regulation 1.4.1.3.2)

**GRS8.10.2 Purchase Requisition Records**

Records documenting agency requests to Division of Purchasing that a contract be entered into to obtain goods and/or services for a specified need. Request may include, but is not limited to, the technical description of the requested item, delivery requirements, transportation mode request, criteria for evaluation of proposals, and/or suggested sources of supply. (Procurement Regulation 5-1-20, RIGL § 37-2-6 and RIGL § 37-2-15(7))

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.10.3 Purchase Orders, Contracts, Agreements Files**

Documents issued by the State Purchasing Agent to formalize a state agency’s purchase transaction with a vendor. Orders contain statements as to the quantity, description, and price of the goods and services ordered, as well as leased or purchased real property, applicable terms as to payment, discounts, date of performance, transportation, and other factors or suitable references pertinent to the purchase and execution by the vendor. Purchase orders may include blanket orders, master price agreements, and utility purchase orders. Purchase Order Supplements may consist of all the following documents: state’s General Terms and Conditions, state’s request for quotations or proposals, including specifications, contractor’s offer which is responsive to the solicitation, and/or appropriate, additional contract provisions. Files may also contain

purchase order change records, account summary documents and account detail forms. All agreements and changes to scope of work, price, or other terms must be incorporated into purchase orders via "change order" documents describing contract amendments. Series includes purchase order change forms. Purchasing Regulation.

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**c) Small purchases (established legal/regulatory maximum)**

Retention: Retain three (3) years.

**GRS8.10.4 Emergency Procurement Records**

Files documenting purchase of authorized emergency procurements. Contains justifications for emergency. Purchasing Agent may make or authorize others to make emergency procurements when there exists a threat to public health, welfare or safety under emergency conditions as defined in regulations; provided, that such emergency procurements shall be made with such competition as is practicable under the circumstances. A written determination of the basis for the emergency is also included in contract file.) Also includes agency's copies of documentation submitted to Chief Purchasing Officer for the emergency situation and response action in writing with vouchers for payment. Either the agency director or the designated emergency response official. signs all emergency documentation forms. (RIGL 37-2-21 (b) and Procurement Regulation)

Retention: Retain three (3) years.

**GRS8.10.5 Letters of Authorization – Immediate Delivery**

Letter of Authorization (LA) signed by the Purchasing Agent authorizes agencies to enter into commitment with vendor so that immediate commencement of delivery of services and supplies can proceed prior to negotiation of "definitive contract." LA represents preliminary authorization subject to the subsequent issuance of a Purchase Order that will supersede the temporary authorization a certain period of time or after delivery of a certain percentage of delivery of the contract. (Department of Administration – Purchasing Regulation)

Retention: Retain three (3) years after conclusion of definitive contract.

**GRS8.10.6 Supplemental Service Utilization Plan**

Annually, at a date that coincides with the development of the State Budget, user agencies must submit to the Chief Purchasing Officer a Supplemental Service Utilization Plan. Plan specifies number of services, estimated cost of each contract/relationship, anticipated effective period of each relationship, whether activities are ongoing or new endeavors, whether the agency is proposing to continue each relationship into the next

fiscal year, and if an ongoing relationship, the initial date of the relationship. Amendments to plans shall be submitted and approved by the Chief Purchasing Officer prior to the commitment of funds.

Retention: Retain three (3) years.

## **GRS8.11 Miscellaneous Records – Audits, Insurance**

### **GRS8.11.1 Accounting Manuals and Instructions**

Records document agency's use of government accounting standards (Governmental Accounting Standards Board – GASB) as well as internal accounting control system record keeping and procedures and authorization adequate to provide effective accounting control over assets, liabilities, revenues, and expenditures. Encompasses standard framework of guidelines for financial accounting and preparation of financial statements in government. Includes the standards, conventions, and rules accountants follow in recording and summarizing transactions, and in the preparation of financial statements. (RIGL 35-14-4 (3) 35-143-3 (1))

Retention: Retain three (3) years after updated or superseded.

### **GRS8.11.2 Audit Reports and Documentation**

Recommendations and follow-up reviews prepared by auditors relating to agency financial management (RIGL 35-7-4 (c)). Also includes department directors' or agencies' response in writing to all recommendations made by the Bureau of Audits within sixty (60) days following the date of an audit. Copies of each audit, the written response, and auditors' six-month follow-up of each department or agency director to the audit, and the results of each six-month review described in subsection are submitted to the General Assembly. (RIGL 35-7-4)

Retention: Retain five (5) years.

*Note: Bureau of Audits retains permanent copy of reports.*

### **GRS8.11.3 Quasi-Public Agency Audits**

All quasi-public agencies including corporations, authorities, commissions, and boards created by the authority of the General Assembly, Executive Order, or state law (excluding cities and their subdivisions, towns and their subdivisions, regional school districts and school committees, water districts, fire districts, and any other corporations and their agencies), subject to post audit, must obtain the approval of the Department of Administration Director of and the Auditor General prior to the employment of private auditors. Audit work papers of the private auditors must be made available upon request, at the completion of the audit, to the Auditor General and/or the Department of Administration Director for their review. The audit report must be furnished to the auditor general and the director of administration. (RIGL § 35-7-13 and RIGL § 35-7-14)

**a) Records retained exclusively by agency**

Retention: Retain ten (10) years.

**b) Copies of records transmitted to financial authority**

Retention: Retain seven (7) years.

**GRS8.11.4 Insurance Records – Documentation**

Records documenting insurance policies on agency property and equipment, as well as related correspondence and memoranda. Policies concern, but are not limited to, medical, automobile, liability, fire, and extended coverage, tort liability, listing of office contents and equipment and their value.

Retention: Retain six (6) years after expiration of policies.

**GRS8.11.5 Insurance Records – Motor Vehicle Insurance**

Insurance coverage on all motor vehicles owned by government agencies and operated by their employees, including personal injury, accident, and property damage. Records consist of copies of insurance documents.

Retention: Retain six (6) years after expiration.

**GRS8.11.6 Insurance Records – Reports**

Agency reports sent to the Department of Administration detailing damages to or losses of property. (RIGL 37-11-2)

Retention: Retain five (5) years after payments made.

*Note: See GRS9 Personnel Records for records related to provision of health insurance coverage for employees.*

**APPENDIX**

## Permanent Records

GRS8.4.1 Debt Service Records – Bond Fund Establishment Records

GRS8.4.5 Debt Service Records – Certificates of Destruction

GRS8.7.16 Accounting Reports – Financial Integrity and Accountability Reports

**GRS9 Personnel Records****GRS9.1 Employee Personnel Files**

State and local government agencies maintain personnel files on all employees during their time of employment. These files document the hiring of employees, their pay history, any promotions or changes of assignment they may receive, evaluations, any training they undergo, and separation from the agency or local government entity. The records may include, but are not limited to, applications, security clearance forms, resumes, personal information, pay histories, promotion histories, salary increase records, transfer records, change in status forms, separation records, training and testing records, commendations, evaluations, performance reviews, letters of reprimand, probationary reports, job descriptions, termination records, records of employees' military service, and other personnel action forms. The military service records may include, but are not limited to, Veterans' Preference claims, Veterans' Preference applications, forms concerning status as veterans, copies of discharge papers, copies of any other proof of service, requests for military leave, and approval forms for military leave.

**a) Files of terminated employees**

*Retention:* Retain ten (10) years after termination.

**b) Employee military service records**

*Retention:* Retain thirty (30) years after termination, transfer, or separation.

*Note: See also PER1.1 Personnel Action Forms in the Department of Administration – Human Resources Division Records Retention Schedule for veterans status applications.*

**c) Files of all other employees**

*Retention:* Retain five (5) years after employee transfer or separation.

*Note: The record copy/official records of these files is with the designated human resources authority of the agency in question.*

**GRS9.2 Job Applications (Unsuccessful)**

State and local government agencies retain the applications of employees hired throughout the time of the individual's employment. However, applications are also received from people who are not ultimately hired. These applications contain the same types of personal information, letters of application, resumes, reference letters, and other similar records that are placed in personnel files for employees. For unsuccessful applicants, they should be maintained by the position applied for.

*Retention:* Retain three (3) years after hiring of successful applicant for position in question (or three (3) years after search concluded if position is left unfilled).

**GRS9.3 Personnel Request Records**

State and local government agencies submit requests to their personnel divisions (whether local or state) when they wish to create new positions or fill positions that have been vacated. This series contains those request forms and all supporting documentation.

*Retention:* Retain two (2) years after position is filled or request withdrawn.

**GRS9.4 Employee Training Records**

The Office of Training and Development of the Personnel Division of the Department of Administration oversees the offering of courses for state employees (some for incentive credit and some for non-incentive credit). Some of the courses are offered by colleges and universities, some by the Division of Personnel, and some by agencies. The files may include, but are not limited to, requests to take specific courses, approval forms, information on the courses, requests for educational leave, requests for tuition reimbursement, and personal information on the employees.

**a) Descriptive information on the courses taught**

*Retention:* Permanent.

**b) All other records**

*Retention:* Retain five (5) years.

**GRS9.5 Affirmative Action Plans/Program Records**

State and local government agencies implement Affirmative Action plans overseen by the Equal Employment Opportunity (EEO) Office. The EEO Office monitors these programs as required by Federal law (29CFR1602.14). The files may include, but are not limited to, copies of plans, policies, and reports (semi-annual or monthly).

*Retention:* Retain three (3) years after superseded.

*Note: The record copy/official records of these files is with the designated human resources authority of the agency in question.*

*Note: For discrimination case files see GRS2.1c Discrimination Cases.*

**GRS9.6 Sexual Harassment Policies**

State and local government agencies must establish sexual harassment policies and encourage (but do not require) employees and supervisors to undergo training sessions on the subject as per Executive Order 05-01 and § 28-51-2 (which make the same requirements of any and all employers in the state of Rhode Island that employ fifty or more people). Policies must include procedures for reporting instances of sexual harassment, establish the responsibilities of supervisors, and interacting with those accused of acts that constitute sexual harassment. They must also include a description and examples of sexual harassment and a statement of the range of consequences for employees who are found to have committed sexual harassment. This series includes those policies and any associated documentation.

*Retention:* Permanent.

**GRS9.7 Sexual Harassment Allegation Files**

State and local government agencies must investigate sexual harassment claims filed by, and against, agency personnel as per Executive Order 05-01 and § 28-51-2 (which make the same requirements of any and all employers in the state of Rhode Island that employ fifty or more people). This series documents those claims and the actions taken as a result of them. The records may include, but are not limited to, written reports of harassment by complainants, documentation of steps taken by supervisors, notes on interviews with witnesses, notes on interviews with alleged harassers, records of

resolution of cases, and records of any personnel actions taken as a result (including termination, if it occurs).

*Retention:* Retain seven (7) years if no litigation results before that time.

*Note: If complaint results in litigation see GRS2.1 Legal Records – Case Files.*

#### **GRS9.8 Incident and Accident Reports Involving Employees**

State and local government agencies maintain records of any incidents or accidents that involve employees on state or municipal property (whether owned or leased) or while they are on the job, whether they result in injuries or not. The records may include, but are not limited to, accident reports, notifications of emergency personnel, and records of investigations. If visitors and other non-employees are involved, they may also contain copies of any security logs related to the accident.

*Retention:* Retain seven (7) years.

*Note: See GRS3.7 Safety & Security Records – Incident Reports and Accident Reports for record copies of any items pertaining to accidents involving non-employees.*

*Note: If accident results in employee injury or health impairment see GRS9.9 Employee Injury and Health Impairment Files.*

#### **GRS9.9 Employee Injury and Health Impairment Records**

State and local government agencies maintain records of on-the-job injuries suffered by employees or any impairment to employee health that result from work. The records may include, but are not limited to, accident reports, notifications of emergency personnel, copies of medical documentation of injuries or health impairments, records of investigations, and copies of Workers' Compensation documents.

##### **a) Accidents or incidents exposing employee to toxic or harmful substances**

*Retention:* Retain thirty (30) years or until all litigation is resolved, whichever is later.

##### **b) All other accident or incident files**

*Retention:* Retain five (5) years or until all litigation is resolved, whichever is later.

*Note: If injury or health impairment results in litigation, see GRS2.1 Legal Records – Case Files.*

#### **GRS9.10 Job Description Files**

State and local government agencies maintain descriptions of job responsibilities of their employees and of vacant positions. The files may include, but are not limited to, the actual job descriptions and copies of the classifications for each job created by the personnel authority. They also include correspondence concerning the descriptions and any related documents.

*Retention:* Retain until superseded or one year after termination of last employee hired under the description, whichever is later.

**GRS9.11 Employee Medical Records (Non-Work Related)**

Some government jobs at state and local levels require periodic physical examinations (usually annually). State and local government agencies maintain records of these examinations. The files may include, but are not limited to, confirmation of physical exams and any accompanying medical documentation.

*Retention:* Retain ten (10) years after termination, employee transfer, or separation.

**GRS9.12 Health Care Benefits Records**

State and local government agencies provide health care benefits to their employees. This coverage includes vision care, dental care, and life insurance, as well as general medical benefits. For state employees, the Department of Administration negotiates contracts with health care providers, but individual agencies also maintain files on health care for their employees. The records may include, but are not limited to, enrollment forms, forms for added beneficiaries, forms for changes of beneficiaries, forms for changes in coverage, forms for change in status, and termination of coverage forms.

*Retention:* Retain three (3) years after termination of enrollment.

**GRS9.13 Job Training Program Records**

State and local government agencies maintain records of employees trained in government-funded job training programs. In 1973, the Federal government passed the Comprehensive Employment and Training Act (CETA) in order to train workers and give them jobs in public service for a year or perhaps two years. The program focused on those from low-income backgrounds and those who had been unemployed for a significant amount of time. The intent was to provide the workers with marketable skills so they could move on to unsubsidized jobs after their time in the program was over. In 1982, this act was replaced by the Job Training Partnership Act and in 1998, the latter was replaced by the Workforce Investment Act. This version of the act involved the private sector to a greater extent than the earlier versions had, but all of these programs and other similar ones involve government work at all levels. The records may include, but are not limited to, personnel files on the employees, participant counseling records, and copies of records of the programs involved.

**a) Personnel files**

*Retention:* Retain five (5) years after termination. If the employee obtains a permanent position with a government entity in Rhode Island, transfer to employer.

**b) Program records**

*Retention:* Retain three (3) years after end of program.

**c) All other records**

*Retention:* Retain three (3) years after termination.

**GRS9.14 Veterans' Records (Employees)**

State and local government agencies maintain records on military service of employees, whether such service occurred before the individual was employed by the agency in question or during that time. The records may include, but are not limited to, Veterans' Preference claims, Veterans' Preference applications, forms concerning status as veterans, copies of discharge papers, copies of any other proof of service, requests for military leave, and approval forms for military leave.

*Retention:* Retain thirty (30) years after termination.

*Note: See also PER1.1 Personnel Action Forms in the Department of Administration – Human Resources Division Records Retention Schedule for veterans status applications.*

**GRS9.15 Job Classification Records**

State and local government agencies maintain records concerning the classification of various positions within their offices. These classifications reflect structures imposed by the appropriate personnel authority. The files may include, but are not limited to, copies of job descriptions, classification structures, salary information, and any forms used to determine the classification of any particular position.

*Retention:* Retain one (1) year after superseded.

**GRS9.16 Internship Records**

State and local government agencies sometimes use interns (students or otherwise) to perform some of their functions, particularly during summer months. These records document internship programs and those who participate. The files may include, but are not limited to, descriptions of internship programs, applications for internships, copies of any student records associated with applicants (including transcripts), reports to interns' instructors, summaries of assignments, and evaluations.

**a) Descriptions of internship programs**

*Retention:* Retain five (5) years after superseded.

**b) Unsuccessful applications for internships**

*Retention:* Retain three (3) years.

**c) Successful applications and documentation of internships served**

*Retention:* Retain five (5) years.

*Note: If an intern is hired as a paid staff member later, transfer internship records to GRS9.1 Employee Personnel Files.*

**GRS9.17 Family Medical Leave Act Files**

State and local government agencies observe the legal ramifications of the Family Medical Leave Act of 1993. This law allows employees to take unpaid leave for medical issues involving immediate family members. The files may include, but are not limited to, applications for leave, written statements concerning the medical condition of the family member in question, communications from doctors, and any other associated correspondence.

*Retention:* Retain three (3) years as per 29 CFR 825.500.

*Note: These records are subject to the same confidentiality laws as any other medical records.*

**GRS9.18 Position Control Records**

State and local government agencies maintain records concerning the positions held by their employees within the agency. These records document structures over time. The files may include, but are not limited to, records of personnel actions (concerning positions, not particular employees), information on the status of positions (whether permanent, temporary fulltime, part time, temporary part time), evaluations of positions (not of individual employees in the position) and their role and utility within the agency.

*Retention:* Permanent.

**GRS9.19 Unemployment Compensation Claim Files**

Employees who are laid off from jobs with state and local government agencies may seek unemployment compensation. These agencies maintain records of this compensation. The files may include, but are not limited to, applications for unemployment compensation, rulings in these cases, and any associated correspondence.

*Retention:* Retain three (3) years or until all litigation (if any) has been resolved, whichever is later.

**GRS9.20 Sick Bank Records**

Sick banks allow employees of state and local government agencies to donate sick time to a sick bank so that employees who need more sick time than they have accrued can use it. Employees who donate time to the sick bank are eligible to use it if they need it. These decisions are often made by sick bank committees. The records may include, but are not limited to, minutes of committee meetings, affidavits to donate time, request forms to use this time, approvals for use of time, and denials of use of time.

**a) Minutes of meetings**

*Retention:* Retain three (3) years.

**b) All other records**

*Retention:* Retain one (1) year.

**GRS9.21 Drug Testing Records**

All employees of state and local government agencies whose jobs involve driving are subject to provisions in the Code of Federal Regulations involving alcohol and drug testing. The same is true of employees who operate other vehicles such as boats or construction equipment. Employees who test positive may face disciplinary action. The records in the series may include, but are not limited to, alcohol test results, drug test results, documentation of refusals to take drug and alcohol tests, reports by substance abuse professionals (SAP), records of maintenance of evidentiary breath testing (EBT) instruments, and records of drug and alcohol tests obtained from previous employers.

**a) Positive drug test results, alcohol tests registering 0.02 or higher, documentation of refusals to take tests, SAP reports, follow-up test results**

*Retention:* Retain five (5) years as per 49CFR40.333.

**b) Information obtained from previous employers**

*Retention:* Retain three (3) years as per 49CFR40.333.

**c) EBT instrument maintenance records**

*Retention:* Retain two (2) years as per 49CFR40.333.

**d) Negative drug test results, alcohol tests registering below 0.02**

*Retention:* Retain one (1) year as per 49CFR40.333.