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TITLE 100 – DEPARTMENT OF STATE

CHAPTER 50 – PUBLIC RECORDS ADMINISTRATION

SUBCHAPTER 20 – STATE AGENCY RECORDS RETENTION SCHEDULES

**PART 9 – DEPARTMENT OF CHILDREN, YOUTH, AND FAMILIES RECORDS
(DCYF, TS)**

9.1 Purpose, Authority, Severability, and Destruction

9.1.1 Purpose

To establish the official retention, maintenance, and disposal requirements for a public record based upon any administrative, legal, fiscal, and/or historical value related to that record created or received by an agency, department, division, board, commission, office, or quasi-public corporation under any branch of State or local government which performs functions relating to government, or acts on behalf of a governmental agency, pursuant to law or relating to the transaction of public business.

9.1.2 Authority

This Regulation is promulgated pursuant to the authority granted in R.I. Gen. Laws Title 38 (“Public Records”), including expressly but without limitation R.I. Gen. Laws §§ 38-3-1 et seq.

9.1.3 Severability

If any provision of these Regulations or the application thereof to any Person or circumstances is held invalid by a court of competent jurisdiction, the validity of the remainder of the regulations shall not be affected thereby.

9.1.4 Destruction Review Procedure

Government employees should also consult with their administration to determine if any records eligible for destruction may be involved in current, pending, or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act. (Part 10-2 of this Chapter (Legal Records) and R.I. Gen. Laws Chapter 38-2)

DCYF **Department of Children, Youth, and Families**

DCYF1 **Family Services Case Records**

Documents individual children and their family's involvement with DCYF. Includes intake reports, educational records, court orders and correspondence, medical information, daily case activity notes, and case plans.

Retention: Permanent.

DCYF2 **Service Provider Licensing Records**

Documents the process to license, certify, or otherwise approve or subsidize childcare facilities. Service providers include day care centers and homes, foster homes, child placing agencies and adoption services, and others. Includes applications, evaluation checklists, fire inspections, compliance, checklists, home study reports, narrative reports, staff clearances, copies of approved licenses and certifications, and related correspondence.

Retention: Retain twenty (20) years after last contact.

Note: Records may help support facility fiscal contracts and agreements records held by DCYF Management and Budget.

DCYF3 **Service Provider Review Records**

Documents the monitoring of child service providers for contract compliance purposes. Includes incident reports, demographic reports, census reports, children's global assessment scale reports, outcome of treatment measure reports, and related correspondence.

Retention: Retain ten (10) years after performance of the contract and any actions upon the contract have been finalized.

DCYF4 **Child Placement Records**

Documents authorizations or subsidies for children qualified for specific behavioral health programs or funding sources such as Medicaid. Includes case information, clinical evaluations, reports for waivers and extensions, secondary copies of authorizations, and related correspondence.

Retention: Retain until the child involved reaches age twenty-one (21) plus three (3) years.

Note: Final assessment reports are kept in DCYF Family Services Case Files maintained by individual social workers.

DCYF5 Placement Review Records

Documents the monitoring of cases involving children placed in homes or institutions by order of the Family Court. Includes case plans, interview invitee lists, interview notes, case support documentation and final administrative review reports.

Retention: Retain until the child involved reaches age twenty-one (21) plus three (3) years.

Note: Other documents are duplicative of case record documents, and are maintained as part of other record series.

DCYF6 Abuse and Neglect Complaint Investigation Files

The Department's Child Protective Services program is comprised of child protection investigations and screening/intake program units. This program is staffed by child protective investigators who specialize in the investigation of child abuse and neglects cases. The program's units respond to allegations of child abuse or neglect statewide. During the course of an investigation, the program's investigators determine if there is a preponderance of evidence that a child has been abused or neglected and if so, what actions are necessary to protect the child from further harm. Investigations result in conclusion either that an allegation is unfounded or founded. This series documents complaints received and investigated by the unit. Records include intake notes and correspondence, complaint forms, background materials from family case files, interview notes, field safety assessments and risk profiles, medical reports, mental health reports, incident reports, temporary child custody documents, and final investigation reports. The series also contains records related to initial hot-line reports of child abuse and neglect, which includes, but may not be limited to, call notes, audiotapes of incoming telephone calls, and electronic/digital records of reports alleging child abuse or neglect.

Note: DCYF must take all necessary measures to ensure the continuing integrity, reliability, and readability of all records in this series, including especially electronic records, until the expiry of their retention periods.

DCYF6A Reports and Documentation of Unfounded Allegations of Abuse or Neglect

Retention: Retain three (3) years after the date of a final determination by either the Family Court or the Department that the reported child abuse or neglect did not in fact occur.

Note: Records must be disposed of at this time in accordance with R.I. Gen. Laws §§ 40-11-3 and 40-11-13.1. This includes any unfounded case documentation found on the RICHIST or other computer systems.

DCYF6B All Records and Documents of Indicated Investigations

Retention: Permanent.

Note: Indicated investigations are those investigations where a preponderance of evidence has been found to substantiate allegations of child abuse or neglect.

DCYF6C Initial Hotline Reports Alleging Child Abuse or Neglect

Retention: Retain three (3) years from date of incoming report.

DCYF7 Claims and Disbursements Records

Documents claims made by DCYF to the federal government to initiate payroll payments to contracted and purchase of service vendors and foster and adoptive parents on the behalf of children who qualify for funding under Health and Human Services programs such as Title 18 and 19 (Medicaid) and Title 4E of the Social Security Act (Pub. L. No. 89-97). The series also documents payments made by DCYF from federal grant discretionary funds, trust funds, or other funding sources for services for eligible children. Includes health service provider invoices, monthly billing detail statements, state bills to Medicaid, direct vendor payment plans, purchase orders, vendor census reports and related accountability documentation, A12T invoices, vouchers to Accounts and Control, child eligibility documentation, payment support materials, account reconciliation documentation, and related correspondence.

Retention: Retain ten (10) years from date of disbursement.

Note: While payments for contracted vendor payrolls may be paid with federal funds, the contracts are state contracts warranting a ten (10) year retention period based on the statute of limitations. (R.I. Gen. Laws § 40-8.2-4)

DCYF8 Juvenile Probation and Parole Case Records

Documents the monitoring of individual juveniles who have been placed on probation or parole by the Family Court. Includes probation intake forms, conditions of probation, service plans, probation face sheets, progress summaries and notes, Family Court disposition sheets, release of information request forms, evaluations, Family Court violations of probation (VOP) filings, further orders of the court (FOC), disposition sheets terminating probation, and related correspondence.

Retention: Retain until the child involved reaches the age of twenty-one (21) plus ten (10) years.

DCYF9 Juvenile Interstate Compact Records

Documents Rhode Island's role in the monitoring of juveniles on probation in other states, but living or under the supervision of Rhode Island, as agreed to by compacts entered into by participating states. Includes probation intake forms, conditions of probation, service plans, probation face sheets, progress summaries and notes, Family Court disposition sheets, release of information request forms, evaluations, Family Court violations of probation (VOP) filings, further orders of the court (FOC), disposition sheets terminating probation, and related correspondence.

Retention: Retain until the child involved reaches the age of twenty-one (21) plus ten (10) years.

Note: The official case file for these juveniles remains with the other state.

DCYF10 Certificates of Records Destruction [LEGACY – DUPLICATE]

Certification of Records Destruction forms 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. (R.I. Gen. Laws §§ 38-1-10, 38-3-6, and 42-8.1-10)

Retention: Permanent.

See Also: This record series is for information only, see GRS6.8B (Certificates of Records Destruction).

DCYF11 Adoption Records – Non-DCYF Adoptions

This series contains the records of private child placement agencies licensed by the Department (DCYF2 (Service Provider Licensing Records)). By state law (R.I. Gen. Laws § 15-7.2-3) private agencies, upon their closure, must turn their records over to DCYF for permanent retention. The records agencies must maintain, as required by state regulation, include DCYF licenses and certifications, as well as documentation relating to each child's identity, current status, referral information, health and educations records, and information concerning familial relationships. Also included may be documentation concerning critical events, contacts with social services, as well as case management related records.

Retention: Permanent.

DCYF12 Appeals Office Hearing Records

The Appeals Office of the Department of Children, Youth, and Families holds hearings on claims for benefits of the agency's various programs. This series consists of the hearing files for this office. The content of the hearing files depends on the type of program or benefit under review. Administrative hearing records may include, but are not limited to, the notice under appeal, the hearing notices, and the hearing officer's notes during the hearing, appellant evidence submitted at the hearing, and copies of the hearing decisions made by the EOHHS appeals office. The files may also contain recorded statements by the appeals officer reviewing the basis upon which the decision will be made, statements by claimants (or their authorized representatives) outlining their understanding of the problem at issue, statements by the state agency representative setting for the state agency's regulations under which action was taken, as well as documentary evidence submitted by parties involved in the hearing, such as examining physicians' reports, or a record of decisions made by the medical review team, and medical assessments from parties other than those involved in the original decision.

DCYF12A Hearing Decisions and Documentary Decisions

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

DCYF12B Hearing Files – Landmark Cases

Retention: Permanent.

DCYF12C Hearing Files – All Other Cases

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

TS Training School

TS1 Resident Card File

Index cards filed alphabetically by last name of resident and used to access basic information about past and current residents. Information on cards includes but is not limited to resident's name, birth date, address, mother's name, father's name, and summary of commitments.

TS1A Current Resident Card File

Retention: Move to released resident card file (TS1B (Released Resident Card File)) upon date released.

TS1B Released Resident Card File

Retention: Retain ten years from age twenty-one.

TS2 Resident Case File

Individual case files documenting each resident's incarceration at the State Training School, from the date of intake until release from the Training School upon completion of sentence and/or completion of any probation requirements. File may include but is not limited to documents relating to specific charges; length and end of sentence, intake packet, RITS juvenile intake form, and re-admission forms (if applicable); adjudicated intake forms; court disposition forms, including remand forms/detention papers; social service history, including placement referral forms; court letters; evaluations, including incident reports and escape reports; reclassification forms; medical authorizations; sex offender registration forms; Individual Treatment Plan; Individual Education Plan; probation and release information, including release forms, and discharge information for Juvenile Probation Unit; and correspondence.

Retention: Retain ten years from age twenty-one.

TS3 Resident Medical Record

Individual medical records documenting a resident's medical history (physical and psychiatric) during incarceration at the State Training School. File may include but is not limited to medical consent forms, including emergency and routine medical authorizations, adult resident's

consent for medication and adult resident's consent to inform parent/guardian; physician's order form; medication cards; evaluation forms (physical and psychiatric), including notice of special watch and removal of special watch; progress notes (physical and psychiatric), referral for clinical services; laboratory reports; correspondence; and any other information relating to the medical or psychiatric health of a resident.

Retention: Retain ten years from age twenty-one.

TS4 Resident Education File

Individual education file documenting a resident's academic history prior to, during and after incarceration at the State Training School. File consists of a series of folders including but not limited to Education folders with materials received from local school district and also generated by the Training School (i.e., transcripts, educational assessments, vocational assessments, report cards, notice of suspensions); IEP: Individual Education Plan documenting education and psychological treatment plan for resident while at the Training School (copy also in resident file); Legal Folder which contains copies of dispositions, copies of educational reports for court and legal correspondence; psychological /psychiatric and medical folder and ESL: English as a second language folder, if necessary); and Permanent Record Card. (Board of Regents. Rule 27. Student Record System)

TS4A Permanent Record Card

Retention: Remove from education file and retain permanently.

TS4B Education File

Retention: Retain ten years from age twenty-one.

Note: Students graduating from the Training School receive their GED, the record copy of which is retained by the Department of Education-Division of Adult Education.

TS5 Family Court Order of Detention

Family Court order of detention formally authorizes a juvenile to be detained at the Training School awaiting probable cause, pre-trial, trial, placement, and waiver. This document relates only to non-adjudicated residents. Form includes name of child, age of child, court location, specific charge, and signature of referring agent/police department.

Retention: Transfer to Resident Case File (TS1).

TS6 Family Court Remand

Family Court remands are issued and authorized by the court when a juvenile is under sentence to the Training School.

Retention: Transfer to Resident Case File (TS1).

TS7 Family Court Writ of Habeas Corpus

Form received by the Training School from Family Court authorizing the transfer of a juvenile to and from the Training School and Court on a particular day. Writ contains name of institution where juvenile is held, name of juvenile, juvenile number, date and time of appearance, court location, signature of judge or clerk, signatures of persons delivering or receiving juvenile.

Retention: Retain five years.

TS8 Family Court Capias

Form issued by Family Court when a juvenile fails to appear for a hearing date. Capias authorizes the juvenile to be held at the State Training School until the next scheduled court date. Form includes petition number, court location, name, address and date of birth of child, reason for capias, signature of judge or clerk, signature of arresting officer.

Retention: Transfer to Resident Case File (TS1).

TS9 Unusual Incident Report

Form completed by staff when documentation is necessary to report an incident on grounds. Form includes: date, day and time of incident, date of report, unit/facility, location in building, staff on duty, names and dates of birth of residents involved, if restraint was used, any personal injuries, medical attention required, nurse information and comments, nurse signature, details of incident, staff, administrator, unit manager or supervisor comments and signature. Form also documents if DCYF incident injury report filed, if discipline report completed, if parent was notified, if police were notified and all other notifications.

Retention: Retain fifteen years.

TS10 Discipline Board Reports

TS10.1 Report – Part I

Multi-part form completed by juvenile program workers and unit managers when a resident has incurred a serious infraction. Part I includes: date, resident's name, unit, place and time of infraction, witnesses of other staff members, if report was written, a detailed account of infraction, staff member's and unit manager's signature, if appealed, decision by superintendent.

TS10.1A White Copy – Resident's Copy

Retention: Give to Resident.

**TS10.1B Canary Copy –
Superintendent/Resident's File**

Retention: Retain fifteen years.

TS10.1C Pink Copy – Maintained in Unit

Retention: Retain one year.

**TS10.1D Goldenrod Copy – Filed Separately by
Date**

Retention: Retain one year.

TS10.2 Report – Part II

This multi-part form is completed by the Discipline Board Chair Person, when superintendent's decision (part I) is appealed, and indicates sentencing for infraction. Form includes: date, resident's name, individuals in attendance, explanation, charge, plea, if confrontation was allowed and if not an explanation, decisions and reasons, disposition of disciplinary board (guilty-not guilty), with or without privileges, number of lock-up days, signatures of chair persons and members.

TS10.2A White Copy – Resident's Copy

Retention: Give to Resident.

**TS10.2B Canary Copy – Superintendent (Record
Copy)**

Retention: Attach to Part I and
transfer to Resident Case

File (TS1) after final decision.

TS10.2C Pink Copy – Maintained in Unit

Retention: Retain one year.

TS10.2D Goldenrod Copy – Filed Separately by Date

Retention: Retain one year.

TS11 Blue Logbooks

Blue Logs books are used in the Training School's open units to document general and specific information about the unit, the residents' and staff's activities throughout the day. Information includes visits, eating time, room checks, medical calls by the nurse, key control and all other movement related to residents' day. Logs contain all daily information recorded for a period of one month.

Retention: Retain fifteen years from last entry in log.

TS12 Green Logbooks

Green logbooks are used in the Training School's security units to document general and specific information in about the unit, the residents' and staff's activities throughout the day. Information includes visits, eating time, room checks, medical calls by the nurse, key control and all other movement related to residents' day. Logs contain all daily information recorded for a period of one month.

Retention: Retain fifteen years from last entry in log.

TS13 Red Logbooks

Red Logbooks are used in both the open and security units of the Training School. Staff members document information in four categories for each resident including: status level, room number, security status (i.e. run-risk/use of handcuffs), and lock-up status (i.e. one-on-one supervision, 5 minute suicide watch). Logs provide only minimal information about each resident, for more detailed information about unit and resident (see TS11 (Blue Logbooks) and TS12 (Green Logbooks)).

Retention: Retain fifteen years from last entry in log.

TS14 Shift Coordinator Logbook

Shift Coordinator logbooks contain daily entries by shift coordinators documenting all activities involving the administrative building and the cafeteria. This includes all emergencies/security matters (i.e. portable radios, handcuffs), sick calls from all staff, calling overtime when necessary, transports of all residents to and from the Training School and involvement with court related matters.

Retention: Retain fifteen years from last entry in log.

TS15 Shift Coordinator's Daily Log Sheets

Two sided form completed daily by shift coordinators noting information about admissions, releases, unit to unit transfers, special watches, disciplines, ending building counts for each of the 3 daily shifts.

Retention: Retain ten years.

TS16 Program Attendance Logs

Form completed by staff to monitor residents' attendance in various treatment groups indicating dates, unit, name of program or group, group leaders, and list of residents attending.

Retention: Retain five years.

TS17 Off-Grounds Travel Request

Form completed by unit manager or clinical social worker for off-grounds travel to appointments, interviews and special passes with the approval of superintendent. Form indicates date submitted for approval, resident, date and time of visit, person visiting, location of visit, classification of person/person's supervising visit, and superintendent's signature.

Retention: Retain five years.

TS18 Laundry List

Form completed by unit managers to allow staff to track residents' clothing.

Retention: Retain six months.

TS19 Court Services File

File created by Training School personnel to take to court documenting a resident's incarceration at the State Training School. File contains duplicates of forms extracted from a resident's case file (TS1). File includes but is not limited to face/charge sheet, disposition form,

detention update form, family court petition form, Family Court notice to appear form, motion, Training School letters and evaluations.

Retention: Retain until obsolete or no longer of administrative value.

TS20 Daily Census Report

Computer generated report detailing the current population on a daily basis. Report includes but is not limited to population in each unit, capacity of unit, over/short of capacity for each unit, names of those detained for the day, names of those moved from unit to unit, names of residents in each unit, names of residents who eloped (escaped), names of residents with authorized absences, names of residents in temporary community placements, names of residents released, and names of residents adjudicated and pre-adjudicated. Census report is distributed to staff members for use. Record copy is kept by the record room for statistical purposes.

TS20A Staff Members' Copies

Retention: Retain until of no further administrative value.

TS20B Record Copy

Retention: Permanent.

TS21 Superintendent Subject Files

Information relating to particular issues or matters handled by the superintendent of the State Training School. Files may include but are not limited to files relating to committees, programs and other information concerning to the operation of the Training School.

Retention: Permanent.

TS22 Grant Program Files

Records relating to the development of grant proposals to state or federal agencies and the administration of grant awards and programs. Records may include, but are not limited to grant applications and agreements, studies, notices, technical specification, drawings, plans, bid and contract records, accounting, banking, purchasing, and payroll records, bonds, monitoring and performance reports, expenditure and outlay reports, memoranda and correspondence.

Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the ten year

period, the records must be retained seven (7) years after completion of the action and resolution of all issues which arise from it.

TS22A Grant Applications and Amendments, Final Performance, Disposition and Expenditure Reports

Retention: Permanent.

TS22B Financial and Programmatic Records, Periodic Performance Reports, Supporting Documents, Statistical Records, Other Required and Pertinent Records

Retention: Retain ten years from submission of and final expenditure report or submission of annual financial status report for grants renewed annually.

TS22C Real Property and Equipment Records

Retention: Retain three years from the date of disposition, replacement, or transfer of property/equipment.

TS22D Income Transaction Records (Earning of Income) After Grant Support

Where required by the terms of the grant.

Retention: Retain ten years from the end of the fiscal year in which the income is earned.

TS22E Unsuccessful Grant Applications

Retention: Retain three years.

TS23 Point Tally Sheets

Point Tally sheets are completed by unit managers on a daily basis as part of resident's treatment plan. Each sheet shows one week of points earned for each resident for different categories (i.e. schoolwork, room cleanliness). Sheets are used as part of the 4-tier level program in place at the Training School. The points are then used by the business office to determine monetary allowances given to residents.

Retention: Retain three years after audit.

TS24 **Shift Coordinator's Weekly Staffing Sheets: On-Grounds Support Staff**

Daily sign-in/sign-out sheets for on-grounds support staff (including all classifications except juvenile program workers and teachers) bound together into weekly logs. Sheets include staff person's name, position, days off, start times, time in and time out and notes and comments.

Retention: Retain five years.

TS25 **Shift Coordinator's Weekly Staffing Sheets: Juvenile Program Workers**

Daily staffing sheets bound together into weekly logs which document daily staffing for juvenile program workers. Sheets show staffing (including names) for each building for first, second and third shift for each day. Sheets also note any changes made during the day by the shift coordinator (i.e., vacation, personal, sick, training and lateness).

Retention: Retain five years.

TS26 **Overtime Call Sheet**

Form used to document calls to juvenile program workers for overtime hours. Form lists date, caller, shift start # and ending #, and list of juvenile program workers by seniority. Content includes whether caller left a message, paged, time called (acceptance of yes or no), and notes (i.e., eligibility).

Retention: Retain five years.

TS27 **Visitation Log**

Log of all visitors to the Training School on a daily basis. Log includes date, visitor's name resident's name, building, relationship to resident, time-in and time-out. Visitor's sign-in as they enter the training school.

Retention: Retain ten years.

TS28 **Visitation Sign-In Sheet**

Sheet includes resident's name, unit # and visitor's name. Sheet is used by staff on the day of the assigned visit to document visits by parents, grandparent, siblings, etc.

Retention: Retain ten years.

TS29 **Shift Coordinator's Portable Radio: Sign In/Sign Out Log**

Daily log of staff persons signing out a portable 2-way radio for use during a shift. Log includes staff person's name, port #, time signed out and time signed in.

Retention: Retain five years.

TS30 Daily Contractors and Vendors Sign-In Sign-Out Log

Daily log of incoming contractors and vendors to the Training School. Log includes date, name of company, name of employee, employee signature, destination, time in and time out.

Retention: Retain five years.

TS31 Training Request Form

Form completed by staff to request permission to attend training classes. Form indicates name of employee, classification, signature of supervisor and superintendent; date, hours and location of training; description of training and reason for attending, fee and source of funding and if DCYF sponsored.

Retention: Transfer to DCYF Personnel Office.

TS32 Certificates of Records Destruction [LEGACY – DUPLICATE]

Certification of Records Destruction forms 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. (R.I. Gen. Laws §§ 38-1-10, 38-3-6, and 42-8.1-10)

Retention: Permanent.

See Also: This record series is for information only, see GRS6.8B (Certificates of Records Destruction).