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TITLE 100 – DEPARTMENT OF STATE

CHAPTER 50 – PUBLIC RECORDS ADMINISTRATION

SUBCHAPTER 20 – STATE AGENCY RECORDS RETENTION SCHEDULES

PART 34 – DEPARTMENT OF STATE RECORDS (SOS, SA)

34.1 Purpose, Authority, Severability, and Destruction

34.1.1 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.

34.1.2 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.

34.1.3 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.

34.1.4 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)

SOS **Department of State**

SOS1 **Public Information Division**

SOS1.1 **Public Laws and Acts and Resolves**

Legislation passed by the Rhode Island General Assembly and maintained by the Department of State per R.I. Gen. Laws §§ 42-8-3 and 42-8.1-7(e)(2). Includes Public Laws, Local or Private Acts (Charters) and Resolutions. Attachments (floor amendments, fiscal notes, committee votes and roll, witness sheets etc.) remain with the public law. May also include photocopies (with certifications) or scanned copies of the law created prior to corrections made by Law Revision after enactment.

Retention: Permanent. Retain previous and recent year onsite. Transfer with finding aids/indices annually to State Archives in January.

SOS1.2 **Governor's Vetoes and Messages**

Legislation enacted by the General Assembly and disapproved by the Governor. Includes original messages attached to legislation. Vetoes are filed with the Department of State by the House or Senate Clerk.

Retention: Permanent. Transfer most recent two years to State Archives at the end of the two-year legislative session.

SOS1.3 **Failed Legislation**

Failed Legislation filed with the Department of State. Includes Held on Desk and Fails Passage. May include copies of transfer letters and or receipts from the Senate or House.

Retention: Permanent. Transfer most recent two years to State Archives at the end of the two-year legislative session.

SOS1.4 **Transmittal Receipts**

Record submitted to the Department of State that documents actions taken by the Governor on specific pieces of legislation. Includes date, bill number, bill title, and type of action taken by the Governor. Also includes copy of record submitted to the Speaker of the House of Representatives by the Department of State per R.I. Gen. Laws § 43-1-3 indicating the actions taken by the Governor on legislation.

Retention: Retain four (4) years.

SOS1.5 Legislation Retrieval Record/Log

Record that tracks retrieval of passed legislation (Public Laws, Acts and Resolves) by Secretary of State staff. Includes date out and date returned, law number, name of person requesting copy, and signature/initials of staff member verifying receipt of the document.

Retention: Retain four (4) years.

Note: Records may not leave the custody of the Office under R.I. Gen. Laws § 43-2-3.

SOS1.6 Assignment of Law Number

Records that document the process of assigning law numbers to passed legislation. Legislation is received by the office and turned over to Law Revision for assignment of number per R.I. Gen. Laws § 42-8-8. Legislation is then returned to the office. Record/transmittal includes date of transfer, bill number and signature of law revision office staff. Return receipt includes signature of Public Information Office staff. Includes data created in a database for creation of the transmittal.

Retention: Retain four (4) years.

Note: A database creates the transmittal for SOS1.4 (Transmittal Receipts) and SOS1.6 (Assignment of Law Number). Data would be covered under GRS7.16 (System Content) and retention would be the same as cited above.

SOS1.7 Database – Legislation Research/Bill Tracker System

Database maintained by the Department of State and used as a retrieval tool/finding aid for legislative research by state government and the general public. May include but is not limited to bill text from 1997 to present, bills arranged by sponsor and subject, sponsor information, bill summaries and committee actions on legislation including meeting notices.

Retention: Permanent.

Note: This database no longer exists. Functions were superseded by initiatives of the General Assembly and continue here: <http://www.ri.lin.state.ri.us/Genmenu/>.

SOS1.8 Database (Legislation/Bill Tracker) Data Input Documents

Photocopies of records used for data input into legislative research database. May include photocopies of legislative meeting notices, house and senate journals, and transmittal receipts from Governor's office.

Retention: Retain one (1) year after verification of data entry.

Note: This record is no longer created.

SOS1.9 Executive Orders

Governor's original executive orders filed with the Department of State.

Retention: Permanent. Transfer to State Archives at end of Governor's four (4) year term.

SOS1.10 Certificates of Engagement and Oaths of Office

Certificates of Engagement and Oaths of Office of the newly elected General Officers, Governor's Cabinet, Judges and Sheriffs. May also include special appointments made per statutory authority.

Retention: Permanent. Transfer to State Archives at end of Governor's four (4) year term.

Note: Certificates of Engagement of notaries, justices of the peace, state senators and representatives, railroad commissions and court clerks are held by the Secretary of State – Corporations Division.

SOS1.11 Boards and Commissions Files

Records kept by the Department of State per R.I. Gen. Laws § 36-1-4. Includes original copies of Certificates of Engagement and Appointment Letters. May include copies of enabling legislation, copies of Governor's executive order, and correspondence.

Retention: Permanent. Retain until statutory or executive authority of Board or Commission is repealed or has expired. Transfer annually to State Archives in July.

SOS1.12 Database – Boards and Commissions/Appointments

Database used as a research tool/finding aid by the office and the general public via agency website. May include but is not limited to information regarding executive authority of commission, number of commission members, expiration date of commission, lists of current and past members of board or commission, date of member's engagement and expiration of appointment.

Retention: Retain until data is updated or superseded.

SOS1.13 Lobbyist Records

Records created and data maintained for compliance of R.I. Gen. Laws Chapter 22-10. Includes financial reports, registers/applications, final reports, summaries, manuals, and hearing and investigative records. May include attached correspondence.

SOS1.13A Lobbyist Financial Reports, Applications and Registration Forms and Final Reports (Annual Session or Cessation Reports)

Retention: Retain six (6) years unless part of a hearing or investigation. If so, retain two (2) years after final disposition, whichever is longer.

SOS1.13B Summary Reports or Lists Prepared and/or Published

(R.I. Gen. Laws §§ 22-10-10(4) and/or 22-10-10(9))

Retention: Permanent. Transfer to State Archives at end of four (4) year term.

SOS1.13C Manuals

Retention: Retain one (1) copy of each issue permanently. Transfer to State Archives at end of four (4) year term.

SOS1.13D Hearing and Investigative Records Including Audio Recordings

Retention: Permanent. Transfer to State Archives at end of four (4) year term.

SOS1.14 Database – Lobby Tracker

Database of lobbyist reporting data filed with the Office of the Secretary of State through an online interface. Data includes registration of lobbyists, financial disclosure of expenses and other data as stipulated by statute. Database is used as a reporting tool and as a means of making the information available to the public via the web. Reporting of lobbyist information is governed by R.I. Gen. Laws Chapter 22-10.

Retention: Purge with related series.

Note: Ensure migration of records to successive generations of technology and systems, and other necessary maintenance to enable retention of and access to accurate, reliable and complete records throughout their authorized lifecycle. Retain all documentation of hardware and software. In the event software or system is updated or replaced, retain old data, documentation and software one (1) year after testing of system and verification of data migration. Commit funds for the overall preservation of data through active migration and technological changes. Draft and annually review strategies for migrating active data.

See Also: For retention of documentation relating to systems design and development, see GRS7.1 (System Design and Development Records).

SOS1.15 Disclosure of State Government Consultants and Annual Contracting Reports

Quarterly reports submitted to the Department of State (R.I. Gen. Laws § 42-90-1). Prescribed form includes name and address of filing agency and lists names of consultants hired by the agency. Also includes purpose of the consultation and amount paid to the consultant. May include attached correspondence. Also includes summary reports or list required (R.I. Gen. Laws § 42-90-1(b)).

SOS1.15A Quarterly Reports

Submitted to the Department of State. (R.I. Gen. Laws § 42-90-1)

Retention: Retain six (6) years.

SOS1.15B Summary Reports or Lists Prepared and/or Published by the Division

Retention: Permanent.

SOS1.15C Annual Contracting Reports

Submitted to the Department of State. (R.I. Gen. Laws § 42-90-1(b))

Retention: Retain five (5) years.

SOS1.16 Database – Consultant Disclosures

Database/finding aid of consultants/report filed with the Office of the Secretary of State. May be used for web content. May include but not limited to information regarding name and address of agency filing form, phone number, filing period, and date received and filed by public information staff.

Retention: Purge with related series.

SOS1.17 Meeting Minutes

Meeting Minutes with attached agendas filed with the Department of State (R.I. Gen. Laws § 42-46-7(4)(d)).

Retention: Permanent.

Note: As of July 1, 2004, meeting minutes and agendas are filed electronically. (R.I. Gen. Laws § 42-46-7(4)(e))

SOS1.18 Meeting Notices

Annual and supplemental meeting notices submitted to the Department of State. (R.I. Gen. Laws §§ 42-46-6(a) and (b))

Retention: Permanent.

SOS1.19 Open Meetings Database

Database created to administer entity/user open meetings filings by the division. The database also serves as a research tool/search engine for use by the general public via the division's website. Includes but is not limited to meeting date, name of agency/board filing minutes and notices, name of sub-committee if applicable, date filed, and date received by public information staff.

Retention: Retain until data is updated or superseded.

SOS1.20 Open Government Files

Files containing forms filed by state agencies/municipalities relative to the designation of the agency's filing coordinator for the electronic transmission of meeting minutes and notices, ordinance and ordinance notices and registry of leases. Includes any filing coordinator forms of public bodies or agencies as required per statute or regulation for purposes of government transparency and accountability.

Retention: Retain until updated or superseded.

SOS1.21 Rhode Island Government Owner's Manual

Publication produced by the Office of the Secretary of State. Includes information on Rhode Island Government, members of the General Assembly, General Officers, Judiciary, State Agencies, Quasi-Public Agencies and Municipalities.

SOS1.21A Rhode Island Manual – Published Hard Copy

Retention: Permanent. Transfer two (2) copies of published product to State Archives at end of four (4) year term.

SOS1.21B Research Documentation

Retention: Retain until publication of next manual.

SOS1.21C Design and Photographic Records [Superseded]

Note: State Archives may weed duplicative or non-essential materials.

See Also: For associated records, see GRS5.7 (Public Relations Records).

SOS1.22 Owner's Manual Database

Database used as a research tool/finding aid by the office and the general public via agency website.

Retention: Retain until data is updated or superseded.

SOS1.23 Certificates of Records Destruction [LEGACY – DUPLICATE]

Certification of Records Destruction forms signed by 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(j), and 42-8.1-10)

Retention: Permanent.

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

SOS1.24 Judicial Court Assignments and Orders

True copies of authorizations and orders of the Chief Justice of the Supreme Court made pursuant to R.I. Gen. Laws §§ 8-15-3 and 8-10.3.2. Includes authorizations to designate special judicial assignments within the unified court system as well as orders amending rules,

procedures and practice. May include executive orders of the Chief Justice.

SOS1.24A Assignments

Retention: Retain ten (10) years.

SOS1.24B Orders

Retention: Permanent. Transfer to State Archives at end of four (4) year term.

SOS1.25 Extraditions and Renditions

Extraditions filed with the office pursuant R.I. Gen. Laws § 12-9-28. May include application for extradition, certified copies of the indictment, complaint, information and affidavits, and judgment of conviction or sentence.

Retention: Permanent. Transfer to State Archives at end of Governor's four (4) year term.

SOS1.26 Application for Registration of Athlete Agent

Bi-annual record filed with the office pursuant to R.I. Gen. Laws § 5-74.1-5.

Retention: Retain three (3) years after expiration.

SOS1.27 Notices of Formation of Mosquito Abatement Districts

Notices filed pursuant to R.I. Gen. Laws § 23-7-7 requiring that notices of the formation of mosquito abatement districts be filed with the office of the secretary of state.

Retention: Permanent.

SOS1.28 Inter-Local and Inter-State Agreements and Compacts

Inter-local and inter-state compacts filed with the office. (R.I. Gen. Laws §§ 45-40.1-5 and 46-17-3)

Retention: Permanent.

SOS1.29 Rosters of Registered Engineers and Land Surveyors

Copies of rosters placed on file pursuant to requirements of R.I. Gen. Laws §§ 5-8-10 and 5-8.1-8(d).

Retention: Retain three (3) years.

SOS1.30 Leases

Copies of leases filed with the office pursuant R.I. Gen. Laws § 37-6-30(b) (Registry of Leases). Includes Certificates of Compliance associated with the filed leases as well as data created for the required index.

Retention: Retain five (5) years from the date of expiration of the lease.

Note: Official/record copies of state leases are filed with the Department of Administration and copies reside with the relevant agency.

SOS1.31 Delegations of Authority

Documents filed with the Secretary of State by the head of any department, except as otherwise provided by law, assigning the functions vested in his or her department to those subordinate officers and employees as may to him or her seem desirable, including the power to appoint a delegate to serve in the director's place and stead on any of the various boards or commissions to which a director may be appointed per R.I. Gen. Laws § 42-6-8. Also includes filings made pursuant to R.I. Gen. Laws §§ 23-24.5-16, 12-12-21, and 42-9-2.

Retention: Retain ten (10) years.

Note: Previously record series SA7.8 (Delegations of Authority).

SOS1.32 Signatures

Signatures filed with the office pursuant to R.I. Gen. Laws § 36-2-1 Officers with statewide power relative to the administration of oaths.

Retention: Permanent.

SOS1.33 Surety Bonds

Surety bonds filed with the office. (R.I. Gen. Laws §§ 42-55-4 (Rhode Island Housing and Mortgage Finance Corporation) and 42-28-6 (State Police – Superintendent's bond))

Retention: Retain seven (7) years after termination.

SOS1.34 Notifications

Office copy of electronic notifications or confirmations generated by the office and copies received by filers per the requirements to file notices with the Office of the Secretary of State pursuant R.I. Gen. Laws §§ 42-46-6, 45-6-1, and 37-6-30. May include any other filing notifications generated by the office as required per statute or regulation.

Retention: Retain three (3) years.

Note: Filers retain one (1) year.

See Also: GRS1.7D (Meeting Minutes – Electronic Confirmation Messages).

SOS1.35 Property Certificates and Property Transfers

Records filed with the office pursuant to R.I. Gen. Laws §§ 37-22-6 (The I-195 Redevelopment Act of 2002 – Powers and duties of the board) and 42-1-2.1 (Retrocession of Veterans' Administration property).

Retention: Permanent. Transfer to State Archives at end of Governor's four (4) year term.

SOS1.36 Substance Abuse Therapy Certified Practitioners

List or roster filed with the office by the director of the Department of Health pursuant to R.I. Gen. Laws § 21-28.4-4.

Retention: Retain three (3) years.

SOS1.37 Records of the Personnel Appeals Board

Records of the board relative to the removal of board members. Pursuant to R.I. Gen. Laws § 36-3-9 a copy of the charges and a transcript of the hearing shall be filed with the Secretary of State.

Retention: Retain ten (10) years.

SOS1.38 Ordinances

Electronic copies of ordinances and ordinance notices created by municipal councils and transmitted to the office of the Secretary of State for posting on the website in lieu of newspaper publication pursuant to R.I. Gen. Laws § 45-6-1(c).

Retention: Retain three (3) years.

Note: Notices are kept as part of the meeting documentation as outlined in LG4 (Municipal Board, Commission, Committee, and Council Meeting Records).

SOS1.39 Contracts

True copies of all contracts made on behalf of the state pursuant to the interstate agreement on qualification of educational personnel and filed with the office pursuant to R.I. Gen. Laws § 16-11-7.

Retention: Retain ten (10) years after expiration.

Note: True copies are also kept on file in the office of the Commissioner of Elementary and Secondary Education. Contracts made pursuant to the agreement shall not be for a term longer than five years but may be renewed for like or lesser periods. (R.I. Gen. Laws § 16-11-5(III)(3))

SOS2 Civics Program

SOS2.1 Civic and Voter Education Program

Records that document the operation of the Civic Education Program. May include lists/databases of attendees/students participating in program, correspondence, programs, and teaching guides.

Note: Records documenting program establishment and development should be retained permanently.

SOS2.1A Programs, Brochures, and Teaching Guides

Retention: Retain one (1) copy permanently.
Transfer to State Archives at end of four (4) year term.

SOS2.1B All Other Records

Retention: Retain until updated or superseded or obsolete.

SOS2.2 State House Tour Guide Program

Records that document the operation of the State House Tour Guide Program. May include applications for service, lists of volunteer tour guides, programs, and brochures for distribution to tour attendees, correspondence, scripts and notes.

Note: Records documenting program establishment and development should be retained permanently.

SOS2.2A Programs, Brochures, and Teaching Guides

Retention: Retain one (1) copy permanently.
Transfer to State Archives at end of four (4) year term.

SOS2.2B All Other Records

Retention: Retain until updated or superseded or obsolete.

SOS2.3 Leadership Awards Program

Records that document the operation of award program. May include lists/databases of participants, correspondence, programs, and brochures.

Note: Records documenting program establishment and development should be retained permanently.

SOS2.3A Programs, Brochures, and Teaching Guides

Retention: Retain one (1) copy permanently.
Transfer to State Archives at end of four (4) year term.

SOS2.3B All Other Records

Retention: Retain until updated or superseded or obsolete.

SOS2.4 Certificates of Records Destruction [LEGACY – DUPLICATE]

Certification of Records Destruction forms signed by 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(j), and 42-8.1-10)

Retention: Permanent.

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

SOS3 Business Services Division

Retain records relating to litigation according to GRS2.1 (Case Files) or retain seven (7) years after final disposition or ten (10) years after the case opens, whichever is later. Retain Access to Public Records

Documents three (3) years after resolution (GRS6.10 (Access to Public Records Documents)).

SOS3.1 Business

SOS3.1.1 Entity Records (Articles of Incorporations)

Entity filings pursuant to R.I. Gen. Laws Chapters 7-1.2, 7-5.1, 7-5.3, 7-6, 7-7, 7-8, 7-12, 7-13, and 7-16. May include records of powers of attorney (including expired and revoked).

Retention: Permanent.

SOS3.1.2 Inactive Entity Records (Articles of Incorporations)

Entity filings pursuant to R.I. Gen. Laws Chapters 7-1.2, 7-5.1, 7-5.3, 7-6, 7-7, 7-8, 7-12, 7-13, and 7-16 which are inactive due to revocation, forfeiture, dissolutions, withdrawals or merger, cancellation, conversion, expiration and consolidation.

Retention: Permanent.

SOS3.1.3 Annual Reports

Annual reports of entities submitted to the Corporations Division pursuant to R.I. Gen. Laws §§ 7-1.2-1501, 7-5.3-12, 7-6-90, and 7-16-66.

Retention: Permanent.

SOS3.1.4 Foreign-Name Registrations (New & Renewals)

Filing made pursuant to R.I. Gen. Laws § 7-1.2-404 to register the name of a foreign corporation.

Retention: Retain one (1) year after expiration.

SOS3.1.5 Name Reservations

Filings made pursuant to R.I. Gen. Laws §§ 7-1.2-403, 7-13-3, 7-16-10, and 7-6-11.1.

Retention: Retain one (1) year after expiration.

SOS3.1.6 Log Books [OBSOLETE]

Documents the changes of the entity structure either through mergers or name changes prior to computerization.

Retention: If identified, submit for destruction.

Note: Retention amended 6/2020.

SOS3.1.7 Games of Chance

Forms filed with the office pursuant to R.I. Gen. Laws § 11-50-1. Includes applications and rules pertaining to specific contests.

Retention: Retain current plus one (1) year.

SOS3.1.8 Games of Chance – Winners Lists

Documents provided by promotion companies upon request of the Office of the Secretary of State pursuant to R.I. Gen. Laws § 11-50-3.

SOS3.1.8A Solicited Winners Lists

Retention: Retain six (6) months.

SOS3.1.8B Unsolicited Winners Lists

Retention: Destroy/shred upon receipt. No notification required.

SOS3.1.9 Designation of Agent for Nonresident Owner of Amusements

Form submitted to the office per R.I. Gen. Laws § 23-34.1-14.

Retention: Retain three (3) years.

SOS3.1.10 Designation of Agent for Nonresident Landlord

Form submitted to the office per R.I. Gen. Laws § 34-18-22 for purposes of service of process.

Retention: Retain until updated, superseded, or obsolete.

Note: Copies are also filed in the office of the city or town clerk where the dwelling unit is located.

SOS3.1.11 Appointment of Attorney by Nonresidents Doing Business in the State

Form submitted to the division per R.I. Gen. Laws § 9-5-29. Includes appointment of attorney, replacement of attorney and revocation of power of attorney.

Retention: Retain three (3) years after superseded.

SOS3.1.12 Indexes

Indices used for access and retrieval of entity/corporate filings. Includes card files used prior to computerization, and electronic indexes.

Retention: Permanent.

SOS3.1.13 Service of Process Records

Records of all processes served upon the Office of the Secretary State including summonses, complaints, writs, and receipts.

Retention: Retain five (5) years from receipt of the service of process per R.I. Gen. Laws § 7-1.2-503.

SOS3.1.14 Requests for Good Standing

Requests for certified copies, letters of good standing, status, or certificate of fact.

Retention: Retain current plus one (1) year.

See Also: GRS5.1 (General Correspondence).

SOS3.1.15 Null and Void Revocation Records

Records generated in error that notify of a revocation of an article of incorporation. Includes notices, certificates, and correspondence. May be in paper and/or electronic format.

Retention: Permanent.

SOS3.2 Uniform Commercial Code (UCC)

SOS3.2.1 UCC Financing Statements

Financing statements filed pursuant to R.I. Gen. Laws §§ 6A-9-501 and 6A-9-515. May include attached amendments and terminations.

Note: UCC financing statements are effective for a period of five (5) years after the date of filing. (R.I. Gen. Laws § 6A-9-515(a))

SOS3.2.1A Public Finance and Manufactured Homes-Transaction Financing Statements

(R.I. Gen. Laws § 6A-9-522(a))

Retention: Retain one (1) year after the effectiveness of the financing statement has lapsed.

Note: Public-finance or manufactured-home transactions are effective for a period of thirty (30) years. (R.I. Gen. Laws § 6A-9-515(b))

SOS3.2.1B Transmitting Utility Financing Statements

(R.I. Gen. Laws § 6A-9-515(f))

Retention: Retain one (1) year after termination.

SOS3.2.1C All Other UCC Statements

(R.I. Gen. Laws § 6A-9-522(a))

Retention: Retain one (1) year after the effectiveness of the financing statement has lapsed.

SOS3.2.2 UCC Financing Statements Copies/Scanned Batches

Paper financing statements filed with the office and subsequently scanned into the database. Scanned version becomes copy of record complete with recording information. Hard copy acts as evidence of receipt of record. (R.I. Gen. Laws § 6A-9-522(b))

Retention: Retain until of no further administrative value.

SOS3.2.3 UCC Information Requests

Requests made to the UCC office for certified copies of UCC financing statements. May include general correspondence.

Retention: Retain one (1) year.

See Also: GRS5.1 (General Correspondence).

SOS3.3 Notary

SOS3.3.1 Certificates of Engagement and Oaths of Office

Certificates of Engagement of notaries, justices of the peace, state senators and representatives, railroad commissioners and court clerks. Includes application and local board of canvassers verification of voter status. May include change of address and change of name forms.

Retention: Permanent.

Note: Certificates of Engagement and Oaths of Office of newly elected General Officers, Governor's Cabinet, Judges and Sheriffs are held by Secretary of State's Public Information Division.

SOS3.3.2 Apostilles/Authentications – Requests for Certification

Requests to the office for apostilles per the requirements as stipulated by the Hague Convention of October 5, 1961, as well as certifications required by non-members of the Hague Convention. May include requests that are voided and/or not picked up by requestor.

Retention: Retain current plus one (1) year.

See Also: GRS5.1 (General Correspondence).

SOS3.3.3 Apostille Verification and Processing Log

Documents the verification of signatures and the processing of requests for apostilles per the requirements of the Hague Convention of October 5, 1961. Includes verification or assigned id number, date of request, and name of notary or other whose signature requires verification.

Retention: Retain three (3) years. Cut off at end of calendar year. Retain until of no further administrative value but no less than three (3) years.

SOS3.3.4 Trade and Service Marks Applications

Records filed with the office pursuant to R.I. Gen. Laws § 6-2-2.

Retention: Retain two (2) years after expiration then transfer to State Archives for review.

SOS3.3.5 Assignments

Form that documents the transfer of trade or service mark from one owner to another.

Retention: Retain two (2) years after expiration then transfer to State Archives for review.

SOS3.3.6 Trade Name Registry Records

Records created per R.I. Gen. Laws Chapter 6-1 (Filing of Trade Name) and includes the creation of the tradename registry with data supplied from Rhode Island municipalities. Records may include, but are not limited to, submitted applications for a trade name certificate, annual renewals, notices of changes and/or cancellations, court decrees and restoration statements.

Retention: Retain applications/application data and associated records/data two (2) years after expiration.

Note: This function/process was transferred to the Department of State from the

municipalities per Pub. Laws 24-334 & 24-335.

SOS3.4 Business Information Center

SOS3.4.1 Requests for Information

Requests made to the division for information and requirements for starting a small business in Rhode Island.

Retention: Retain current plus one (1) year.

See Also: GRS5.1 (General Correspondence).

SOS3.4.2 Reference Materials [LEGACY – DUPLICATE]

Reference materials provided to clients from Business Fast Start initiative. May include copies of forms, regulations and applications. Includes checklists.

Retention: Retain until of no further administrative value.

See Also: This record series is for information only, see GRS5.11 (Reference Material).

SOS3.5 Administration

SOS3.5.1 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 (j))

Retention: Permanent.

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

SOS4 Elections Division

SOS4.1 Candidates

SOS4.1.1 Declarations

Declarations for candidacy for the Presidential Preference Primary (PPP), party primaries and independent candidates. Includes name and identifying information of candidates declaring for office.

Retention: Retain thirty-six (36) calendar months from date of filing.

SOS4.1.2 Endorsements

Filings of endorsement by state committee, district committees and ward, city, and town committees of candidates to be voted for by state at large or by congressional district.

Retention: Retain thirty-six (36) calendar months from date of filing.

SOS4.1.3 Nomination Papers

Party and independent nominations papers for candidates to be voted for by state at large, congressional district, ward, city, or town elections.

Retention: Retain thirty-six (36) calendar months from date of filing.

SOS4.1.4 Local Candidates Certification Lists

List of candidates for city and town elections filed by the city and towns. Data includes name of candidate, order in which they will appear on the ballot, office sought and term of office.

Retention: Retain thirty-six (36) calendar months from date of filing.

SOS4.1.5 Certificates of Withdrawal

Certificates of withdrawal from primary nominations and independent candidates for state offices. Includes candidate statement concerning reason for withdrawal.

Retention: Retain thirty-six (36) calendar months from date of filing.

SOS4.1.6 Intent to Establish a Political Party

Application filed in tandem with Declaration of Candidacy forms. (R.I. Gen. Laws § 17-1-2(f)(2))

Retention: Permanent. Retain at Division thirty-six (36) months after party is no longer recognized as a party, then transfer to State Archives.

SOS4.1.7 Presidential and Vice-Presidential Certificates of Nomination

Democrat, Republican and 3rd party nomination forms of convention nominees for President and Vice President. Forms include names of candidates and signatures of convention chair and secretary, and notaries public. The series also includes forms of delegate support for convention nominees.

Retention: Permanent. Transfer to State Archives after each presidential election cycle.

SOS4.2 Elections

SOS4.2.1 Committee Lists

List of officers and members of all city, town, and district committees organized for the purpose of nominating and endorsing party candidates, and electing ward committees.

Retention: Permanent. Transfer to State Archives after every election cycle.

SOS4.2.2 Mail Ballot/Emergency Mail Ballot Applications Certification Sheets

Copies of search sheets used to verify mailing labels and updated voter ballot status.

Retention: Retain until end of election cycle.

Note: Record copy is signed and held by the Rhode Island State Board of Elections. (R.I. Gen. Laws § 17-20-10(d)(2))

SOS4.2.3 Death Notices

Monthly electronic record of deceased persons transmitted by the Department of Health, Office of Vital Records and used for voter registration removals. May include monthly reports.

Retention: Retain in CVRS system for four (4) years.

SOS4.2.4 Felon List

Lists and data sent to the Office of the Secretary of State by the Department of Corrections and forwarded to the local Boards of Canvassers. Used for removals from the voter registration lists or reinstatement of voting rights. May include monthly reports.

Retention: Retain data in CVRS system and/or paper records for four (4) years.

SOS4.2.5 Ballots

Official sample ballots of all ballots used at federal, state, municipal and special elections. Includes Braille, tactile and bi-lingual ballots. Includes audio tapes used with tactile ballots.

SOS4.2.5A Official Sample Ballots and Two (2) Copies of Audio Tapes

Retention: Permanent. Transfer to State Archives after every election cycle.

SOS4.2.5B Reference Copies

Retention: Retain until of no further administrative value.

SOS4.2.6 Certifications of Election Results

Certifications received from the State Board of Elections certifying the results of every federal and state election excepting municipal elections.

SOS4.2.6A Official Certifications

Retention: Permanent. Transfer to State Archives after every election cycle.

SOS4.2.6B Reference Copies

Retention: Retain until of no further administrative value.

SOS4.2.7 Certificates of Ascertainments and Official Electoral Ballots

Records of the appointment of Electors and electoral ballots of the President and Vice President of the United States. Includes minutes.

Retention: Permanent. Transfer to State Archives after every presidential election cycle.

SOS4.2.8 Central Voter Registration System

Centralized Voter Registration System (CVRS) database maintained by the Division.

Retention: Retain all documentation of hardware and software. In the event software or system is updated or replaced, retain old data, documentation, and software one (1) year after testing of system and verification of data migration. Commit funds for the overall preservation of data through active migration and technological changes. Draft and annually review strategies for migrating active data.

SOS4.2.9 NCOA Lists and Files

Data obtained relative to the United States Postal Service National Change of Address (NCOA) Program and forwarded to the municipal Boards of Canvassers. May include lists and correspondence. (R.I. Gen. Laws § 17-9.1-27)

Retention: Retain thirty-six (36) months.

SOS4.2.10 DMV Records

Voter registration applications originating at the Division of Motor Vehicles and transmitted electronically to the CVRS. Records are then transmitted to the municipalities for processing of the voter registrations.

Retention: Retain in CVRS system for four (4) years.

SOS4.2.11 Voter Registration Data

Voter registration and supporting data including e-poll book data maintained in the Central Voter Registration System (CVRS).

Retention: Retain data in CVRS system five (5) years from date of cancellation of voter registration by the municipality.

SOS4.2.12 Voter Identification Photographs and Applications

The division provides voter identification cards on request for registered voters per R.I. Gen. Laws § 17-19-24.2(c). Records include applications filled out by the voter and digital photographic images produced by the division for issuance of the voter ID card.

Retention: Retain three (3) years.

Note: Procedures for the issuance of voter ID cards is governed by 100-RICR-20-00-3 (Rules and Regulations of the Rhode Island Secretary of State Establishing the Procedure for the Issuance of Voter Identification Cards) pursuant to R.I. Gen. Laws § 17-19-24.2(c).

SOS4.3 Administration

SOS4.3.1 Ballot Preparation Files

Working file(s) of the Director regarding the preparation of the ballot. May include but is not limited to instructions and guidelines, working papers, project summaries, and related correspondence.

Retention: Retain thirty-six (36) months or until of no further administrative value, whichever is longer.

SOS4.3.2 Lottery Files

Records of the lottery for ballot placement may include but are not limited to instructions and guidelines, working papers, project summaries, and related correspondence.

Retention: Retain thirty-six (36) months or until of no further administrative value, whichever is longer.

SOS4.3.3 Election Calendar Files

May include but is not limited to instructions and guidelines, working papers, project summaries, and related correspondence.

Retention: Retain thirty-six (36) months or until of no further administrative value, whichever is longer.

SOS4.3.4 Referenda Files

Working files of the Director regarding the preparation of referenda that appear on the ballot. May include but is not limited to instructions and guidelines, working papers, project summaries, related correspondence, bond counsel drafts and final versions.

SOS4.3.4A Final Versions, Guidelines and Official Correspondence

Retention: Permanent. Transfer to State Archives after administrative use ceases.

SOS4.3.4B All Other Records

Retention: Retain thirty-six (36) months.

SOS4.3.5 Application for Central Voter Register List

Requests for copies of the central voter register list on prescribed form.

Retention: Retain one (1) year.

See Also: GRS5.1 (General Correspondence and Memoranda).

SOS4.3.6 Requests for Accessible Format Ballots

Requests made to the Division for accessible format ballots (braille or tactile ballot with audio tape).

Retention: Retain one (1) year.

See Also: GRS5.1 (General Correspondence and Memoranda).

SOS4.3.7 Official Votes – Ballots Cast

State Board of Elections publication of the official votes and ballots cast in federal, state, municipal and special elections. Includes primary data.

Retention: Retain until of no further administrative value then transfer to State Archives.

SOS4.3.8 CVRS Back Up Tape Production

Daily, weekly, monthly, and annual tape backup of the Central Voter Registration System.

Retention: See Department/Division policy.

Note: Departmental policy indicates that monthly backup tapes are stored at the Division away from the CVRS server.

SOS4.3.9 Election Publications

Elections-related booklets and guides published by the Division. Includes but is not limited to election laws, voter information handbooks, Presidential Preference Primary guides, election calendars, and guides for candidates. Includes electronic publications.

Retention: Permanent. Transfer two (2) copies to State Archives after every election cycle.

See Also: R.I. Gen. Laws § 29-7-5 (Deposits of state publications).

SOS4.3.10 CVRS Administrative Files

Records of the implementation of the CVRS system in the municipalities. Includes work orders, hardware specifications, municipal sign-off of system and agreements.

SOS4.3.10A Final Sign-Off and Agreements with Municipalities

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

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 twenty (20) years. (R.I. Gen. Laws § 9-1-17)

SOS4.3.10B All Other Records

Retention: Retain five (5) years.

See Also: GRS1.2 (Program Establishment and Development Records).

SOS4.3.11 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).

SOS4.3.12 Ballot Chain of Custody Receipt

Board of Elections form indicating the receipt of supplemental blank ballots prepared by the Elections division. Includes signatures and date of delivery.

Retention: Retain twenty-two (22) months from election date.

Note: Original record is kept by the Rhode Island Board of Elections.

SOS4.3.13 Mail Ballot Chain of Custody Attestation

Board of Elections form used for transfer of mail ballots received in the Department of State drop box to the Board of Elections. May include other traditional ballots hand delivered to the Elections Division.

Retention: Retain twenty-two (22) months from election date.

Note: Original record is kept by the Rhode Island Board of Elections.

SA State Archives

SA1 State Archives

SA1.1 Archives and Descriptive Records

Permanent and historical records of the colony and state of Rhode Island including descriptive records such as accession log, accession records, catalogs, finding aids, guides, surveys and inventories.

Retention: Permanent.

SA1.2 Subject Reference Files

Ready-access reference materials on historical topics, arranged alphabetically by subject. May include clippings and publications, research notes, transcriptions, copies of documents and correspondence.

Retention: Permanent.

Note: Periodically weed files to remove duplicative or non-essential materials.

SA1.3 Researchers Sign-in Logs

Documents the daily users of the archives.

Retention: Retain 4 years.

SA1.4 Archives Retrieval Records

Three-part form used to retrieve, re-file, control and track production of archival records from the holdings.

Retention: Retain 4 years.

Note: Discard pink and green copies after re-file process is completed.

SA1.5 Temperature & RH Recordings

Hygrothermograph recordings of vault temperature and relative humidity conditions.

Retention: Retain 1 year.

SA1.6 Preservation Records

Documents efforts to ensure the preservation of the archives. Includes preservation plans, records relating to preservation actions and document conservation.

Retention: Permanent.

SA1.7 GSU Microfilm Records

Documents filming, supply and sale of RI public records microfilmed by the Genealogical Society of Utah. Records include Memoranda of Understanding, microfilm operator's reports, film transmittal lists, and permissions for organizations to purchase films.

Retention: Permanent.

SA1.8 Exhibit Records

Documents exhibits and displays from the State Archives holdings. Includes exhibit research and development files, pamphlets, guides and other publications and publicity.

Retention: Permanent.

SA1.9 Outreach Records [SUPERSEDED]

See Also: For associated retention, see SA5.9 (Outreach and Training Records).

SA1.10 Archives Accessions Stored Offsite

The State Archives accessions government records that have historical value. The majority of these records are accessioned from state agencies, but some are from local government entities. These records are accessioned when they have passed their active phase with the creating entities and can be made available for public inspection. Due to limited space, the State Archives must occasionally store some historical records offsite at the state records center and when researchers need to

utilize them, they must be retrieved from this location. The records in this series include all accessioned historical stored offsite, regardless of the agency of origin.

Retention: Permanent.

SA2 Local Government Records Program

SA2.1 Municipal Agency History Files

Documents substantive transactions and communications between the program and departments, offices, and agencies of municipal government. Includes organizational and background materials, surveys, preservation plans, memos, notes, special projects, issues, concerns and determinations, and related correspondence.

Retention: Permanent.

Note: Periodically weed files to remove duplicative or non-essential materials.

SA2.2 Municipal Records Retention Schedules Development Files

Documents the process to develop and approve records retention schedules for local government agencies in accordance with R.I. Gen. Laws Chapters 38-3 and 42-8.1. Includes records inventory worksheets, interview notes, agency background and organizational information, research materials, draft schedules, notes, correspondence, external review comments, Attorney General and Auditor General commentary/approval and final approved schedules.

SA2.2A Final Approved Records Retention

Schedules and Attorney General and Auditor General commentary/approvals.

Retention: Permanent.

SA2.2B All Other Records

Retention: Retain 5 years after schedule has been superseded.

Note: Before disposal, transfer any pertinent documentation to most recent Development Files.

SA2.3 Certificates of Records Destruction (Copies)

Documents municipal agencies' notification to State Archives and Public Records Administration of intent to dispose of records. (R.I. Gen. Laws §§ 38-1-10, 38-3-6, and 42-8.1-10)

Retention: Permanent.

Note: Original signed and counter-signed Certificate is retained by municipal agency as a permanent record.

SA2.4 Outreach and Training Records [SUPERSEDED]

See Also: For associated retention, see SA5.9 (Outreach and Training Records).

SA3 Public Records Administration

SA3.1 State Agency History Files

Documents substantive transactions and communications between the program and state agencies. Includes organizational and background materials, surveys, preservation plans, memos, notes, special projects, issues, concerns and determinations, and related correspondence.

Retention: Permanent.

Note: Routine and transitory documents relating to Records Center activity should not be kept in these files. Periodically weed files to remove duplicative or non-essential materials.

SA3.2 Record Series Research and Development Files ('X' Files)

Documents the administrative and legal research for individual record series based on the function of the series. Includes draft descriptions, legal citations, reference materials, appraisal notes, and related correspondence.

Retention: Retain as long as related record series exist.

Note: Periodically weed files to remove duplicative or non-essential materials.

SA3.3 State Records Retention Schedules Development Files

Documents the process to develop and approve records retention schedules for individual state agencies in accordance with R.I. Gen. Laws Chapters 38-3 and 42-8.1. Includes records inventory worksheets, interview notes, agency background and organizational information,

research materials, draft schedules, notes, correspondence, Attorney General and Auditor General commentary/ approval, and final approved schedule.

SA3.3A Final Approved Records Retention Schedules and Attorney General and Auditor General Commentary/Approvals

Retention: Permanent.

SA3.3B All Other Records

Retention: Retain 5 years after schedule has been superseded.

Note: Before disposal transfer any pertinent documentation to SA3.1 (State Agency History Files) or SA3.2 (Record Series Research and Development Files).

SA3.4 Certificates of Records Destruction (Copies)

Documents state agencies' notification to State Archives and Public Records Administration of intent to dispose of records. (R.I. Gen. Laws §§ 38-1-10, 38-3-6, and 42-8.1-10)

Retention: Permanent.

Note: Original signed and counter-signed Certificate is retained by state agency as a permanent record.

SA3.5 Special Projects Records

Documents projects undertaken to meet specific requirements or goals. Includes instructions and guidelines, working papers, project summaries, and related correspondence.

SA3.5A Project Summary Documentation

Retention: Permanent.

SA3.5B All Other Records

Retention: Retain 4 years after project close.

Note: Transfer pertinent materials to SA3.1 (State Agency History Files) before disposing of any records.

SA3.6 Outreach and Training Records [SUPERSEDED]

See Also: For associated retention, see SA5.9 (Outreach and Training Records).

SA4 State Records Center

SA4.1 Records Center Work Orders Records

Documents the daily ordering of records to and from the Records Center. Includes work order forms, records request forms, daily pull sheets, and related forms, notes, and correspondence.

Retention: Retain 4 years.

SA4.2 Records Center Inventory/Circulation Records

Documents records holdings at the Records Center and the accession and circulation history of individual items. Includes inventory database and printouts, transmittal forms, data update transmittal records, re-file reports, and related correspondence.

Note: Transfer pertinent materials to SA3.1 (State Agency History Files) before disposing of any records.

SA4.2A Inventory Accession and Circulation Records

Retention: Retain until holdings have been permanently removed from the Records Center.

SA4.2B Data Update or Description Change Forms Supporting Documentation

Retention: Retain until holdings have been permanently removed from the Records Center.

SA4.3 Records Center Billing Records

Supporting documentation for Records Center account payable and accounts receivables. Includes copy invoices, order supporting documentation, copy billing statements, copy vouchers, and account information change orders.

Retention: Retain 4 years.

SA4.4 State Records Center Annual Destruction

Documents State Records Center annual destruction with the intent to dispose of records in accordance with R.I. Gen. Laws §§ 38-1-10, 38-3-6, and 42-8.1-10. Includes proposed box lists for destruction, signed Certifications of Records Destruction, destruction order requests, vendor certification/confirmation of destruction, final destroyed box list, and related correspondence.

SA4.4A Proposed Box List for Destruction

Includes the box list of eligible boxes at the state Records Center for destruction that the agency confirmed are eligible.

Retention: Retain ten (10) years after verification of final box list or permanent if in conflict with final destroyed box list.

SA4.4B Annual Destruction Certification of Records Destruction (Copies)

Includes signed and counter-signed Certifications.

Retention: Permanent.

Note: Original signed and counter-signed Certification is retained by state agency as a permanent record.

SA4.4C Destruction Work Order Records

Includes work order forms/emails, vendor proposed confirmed box list for destruction, and related correspondence.

Retention: Retain four (4) years or permanent if in conflict with final destroyed list.

SA4.4D Vendor Certification of Destruction and Final Destroyed Box List

Includes vendor certification of boxes destroyed with accompanying box list.

Retention: Permanent.

SA5 Administration

SA5.1 Facilities Records

Documents aspects of the Division's building, environment, and Records Center oversight. Includes records relating to lease, valuable papers insurance, physical plant and planning, surveys, security systems, disaster response, records storage and services, and related correspondence.

Retention: Permanent.

Note: Periodically weed files to remove superseded or non-essential materials.

SA5.2 Depositors Records

Documents deposits to the State Archives from individuals and entities that are not public agencies. Includes deposit agreements and related correspondence.

Retention: Permanent.

SA5.3 Loan Records

Documents the loan of archival records to institutions for exhibition purposes. Includes exhibit site surveys, loan agreements, insurance, packing and transportation documentation, environmental monitoring, and related correspondence.

Retention: Permanent.

SA5.4 Policies and Procedures

Documents formal policies and procedures of the Division and its programs and those issued by the Secretary of State's Office.

Retention: Permanent.

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

SA5.5 Director's Correspondence, Memoranda and Reports

Documents executive level communication with Secretary of State's Office, agencies, staff, and externally.

Retention: Permanent.

SA5.6 Statistical Records and Annual Reports

Documents the preparation and production of the annual report, statistics, and other interim and status reports. Includes background

documents, materials, reports, work sheets, graphs, and related correspondence.

Retention: Permanent.

SA5.7 Particular Instance Files

Documents projects, initiatives, issues, and concerns of the State Archivist & Public Records Administrator. Includes organizational and background materials, notes, memos, determinations, surveys, summaries, reports, and related correspondence.

Retention: Permanent.

SA5.8 Lectures and Publicity Records

Documents speeches and lectures of staff and publicity connected with Division's programs and events. Includes announcements, notices, press releases, clippings, lecture notes/talking points and transcripts, audio/visual and related materials.

Retention: Permanent.

Note: Periodically weed files to remove superseded or non-essential materials.

SA5.9 Outreach and Training Records

Documents outreach and training activities of the Public Records Administration and Local Government Records programs, and for the State Archives. Includes pamphlets, brochures, guides, guidelines, other publications, and training materials.

Retention: Retain one copy as a permanent record.

SA5.10 Grant Program/Project Records

Documents the development of grant proposals and the administration of grant awards and programs/projects. Includes grant applications and agreements, studies, notices, contract records, accounting, banking, purchasing, and payroll records, monitoring and performance reports, expenditure and outlay reports, memoranda, and correspondence.

SA5.10A Grant Applications and Amendments, Products/Publications, Surveys, Final Performance, Disposition, And Expenditure Reports

Retention: Permanent.

SA5.10B Financial and Programmatic Records, Periodic Performance Reports, Supporting Documents, Statistical Records, Other Required and Pertinent Records

Retention: Retain 10 years from submission of close-out and final expenditure report.

SA5.10C Unsuccessful Grant Applications

Retention: Retain 3 years.

Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the 10-year period, the records must be retained 7 years after completion of the action and resolution of all issues which arise from it.

SA6 RI Historical Records Advisory Board

SA6.1 Minutes and Meetings Files

Documents the meetings and activities of the RI Historical Records Advisory Board (RIHRAB) as constituted by Executive Order and the Code of Federal Regulation. Includes agendas, minutes, supporting materials, and related correspondence.

Retention: Permanent.

SA6.2 Board Appointments Records

Documents appointments by the Governor to the Board. Includes appointments, certificates of engagement (copies), rosters, and related correspondence.

Retention: Permanent.

SA6.3 Applicant Proposal and Grant Records

Documents contacts with institutions, organizations, and agencies seeking grant funding from the National Historical Publications and Records Commission (NHPRC). Includes inquiry and proposal development documentation, grant applications, evaluations, copies of award notifications and grantee reports, and related correspondence.

Note: Board does not act as sub-grantor.

SA6.3A Grant Applications, Evaluations and Related Materials

Retention: Permanent.

SA6.3B All Other Records

Retention: Retain 4 years.

SA6.4 Board NHPRC Grant Records [SUPERSEDED]

See Also: For associated retention, see SA5.10 (Grant Program/Project Records).

SA6.5 Council of State Archivists (CoSA) Records

Documents activities of RIHRAB chairman as a COSHRC member and in projects sponsored by CoSA. Includes agendas, minutes, reports, surveys, and special projects documentation.

Retention: Permanent.

SA7 Administrative Records

SA7.1 Rules and Regulations

Agency statement of general applicability that implements, interprets, or prescribes law or policy or describes organization, procedure, or practice requirements of an agency and has the force of law. (R.I. Gen. Laws Chapter 42-35)

SA7.1A Rules and Regulations in Force and Effect

Retention: Permanent.

SA7.1B Superseded, Expired, and Repealed Rules and Regulations

Retention: Permanent.

SA7.1C Refiled Rules and Regulations

Retention: Permanent.

SA7.1D Rules and Regulations Database

Retention: Permanent.

SA7.2 Agency Rulemaking & Regulatory Agendas

Regulatory agendas filed with the Secretary of State and published on the Secretary of State's website in accordance with R.I. Gen. Laws § 42-35-5.1. Rulemaking agendas contain the subject matter, notices, how comments may be submitted, where comments may be inspected, requests for public hearing, appropriate information concerning a public hearing, and the timetable for action on the proposed rule. (R.I. Gen. Laws § 42-35-5.1(d))

SA7.2A Rulemaking Agendas

Includes all agendas since 2018 when the APA was updated. This is included in all rulemaking files.

Retention: Permanent.

SA7.2B Regulatory Agendas

Includes all agendas before 2018 when the APA was updated.

Retention: Retain five (5) years.

SA7.3 Posting of Advance Notice of Proposed Rulemaking Lists

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

SA7.3A Advance Notice of Proposed Rulemaking

Includes all notices since 2018 when the APA was updated. This is included in all rulemaking files.

Retention: Permanent.

SA7.3B Regulatory Agendas

Includes all notices before 2018 when the APA was updated.

Retention: Retain five (5) years.

SA7.4 Agency Rules Coordinators Lists

Under R.I. Gen. Laws § 42-35-2.1, entities with rule promulgating authority are required to designate an agency Rules Coordinator whose name and contact information is published on the Secretary of State's website.

**SA7.4A Designation of Rules Coordinator
Notifications/Forms**

Retention: Retain ten (10) years.

SA7.4B Compiled Lists of Rules Coordinators

Retention: Retain until superseded.

SA7.4C Rules and Regulations Rules Coordinator Database

Retention: Permanent.

See Also: SA7.1D (Rules and Regulations
Database).

SA7.5 Court Orders

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

Retention: Permanent.

Note: Court orders are filed with the Office of Public
Information.

SA7.6 Certificates of Land Transfer

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

Retention: Permanent.

SA7.7 Certified Breathalyzer Operators Lists

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

Retention: Retain five (5) years.

SA7.8 Assignment of Function within Departments Filings

Documents filed with the Secretary of State by the head of any department, except as otherwise provided by law, assigning the functions vested in his or her department to those subordinate officers

and employees as may to him or her seem desirable, including the power to appoint a delegate to serve in the director's place and stead on any of the various boards or commissions to which a director may be appointed. (R.I. Gen. Laws § 42-6-8)

SA7.8A Delegations of Authority

Retention: Retain ten (10) years.

Note: This record series is filed with the Office of Public Information per SOS1.31 (Delegations of Authority) per R.I. Gen. Laws § 42-6-8. Also includes filings made pursuant to R.I. Gen. Laws §§ 23-24.5-16, 12-12-21, and 42-9-2.

SA7.8B Rules and Regulations Designations of Agency Head Notifications/Forms

Retention: Retain ten (10) years.

SA7.8C Rules and Regulations Agency Head Database

Retention: Permanent.

See Also: SA7.1D (Rules and Regulations Database).

SA7.9 Notice of Designation of Controlled Substances

Notice of decision filed by the Department of Health with the Department of State of any substance that is designated, rescheduled, or deleted as a controlled substance under federal law in accordance with R.I. Gen. Laws § 21-28-2.01.

Retention: Retain five (5) years.

SA7.10 Rhode Island Government Register

The Rhode Island Government Register is a compilation of information about official state government actions pursuant to R.I. Gen. Laws Chapter § 42-8.2, available on the Secretary of State's website (updated daily). The printed version is issued monthly by a vendor. The Rhode Island State Government Register provides comprehensive and accurate information on a range of official Rhode Island state government actions including, but not limited to, the documents listed in R.I. Gen. Laws Chapter § 42-8.2.

Retention: Retain one (1) year or until superseded.