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TITLE 100 – DEPARTMENT OF STATE

CHAPTER 50 – PUBLIC RECORDS ADMINISTRATION

SUBCHAPTER 20 – STATE AGENCY RECORDS RETENTION SCHEDULES

PART 37 – TURNPIKE AND BRIDGE AUTHORITY RECORDS (TBA)

37.1 Purpose, Authority, Severability, and Destruction

37.1.1 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.

37.1.2 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.

37.1.3 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.

37.1.4 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)

TBA1 E-Z Pass/Electronic Tolling

For all series, if the record is related to litigation, retain in accordance with GRS2.1 (Case files) unless the retention period in this schedule is longer.

TBA1.1 Customer Service Representative Daily Folders

Customer service representatives (CSR's) of the Rhode Island Turnpike and Bridge Authority maintain logs of all transactions they complete on a daily basis. These CSR's handle E-ZPass applications, customer unresolved inquiries (CUI) and E-ZPass account updates from mailed correspondence. E-ZPass is a program involving toll collection technology that allows drivers to pass through tolls without having to pay in cash or coins. The tolls are paid with electronic transponders installed in the vehicles that are read by receiving antennas as the vehicles pass through the tollbooths. This allows for vehicles to pass through tolls much faster and drivers who use them pay lower toll rates. Applications for E-ZPass accounts may include, but are not limited to, signed agreements and copies of proof of residency such as photocopies of driver's licenses, registrations, utility bills, tax bills, property deeds, and Rhode Island student identifications. CUI's are records of customer problems or complaints that are placed in the folder of the CSR once they are resolved. Account updates consist of any changes in individual accounts including, but not limited to, new credit card information, new address, vehicle information, and telephone numbers. These are also maintained in CSR folders as backup information on reasons for changes.

Retention: Retain three (3) years.

See Also: If related to litigation, see GRS2.1 (Case files).

TBA1.2 Electronic Toll Collection Lane Images

Photographs of vehicles are taken automatically at open road toll lanes in Rhode Island that do not have gates and are open to vehicles with the electronic transponders issued to drivers with E-ZPass accounts. The images are sometimes utilized to identify vehicles that are traveling with specific EZPass transponders, usually at the request of the account holder. These requests usually result when account holders have doubts about the validity of specific charges and/or have reasons to believe someone else may have been traveling with their transponders. The records in the series consist of the photographs and any associated documents such as requests from drivers for the photos.

Retention: Retain three (3) years.

TBA1.3 License Plate Toll Lane Images

Photographs of license plates are automatically taken when vehicles go through the open road tolling lanes and a transponder is not read in the lanes. Customer service representatives then examine the images to determine if the plates are associated with any valid E-ZPass accounts. For those that are, the toll is posted directly to the transaction history instead of the transponder and are charged to the account. The image is therefore used to ensure the correct account is billed. For those that are not, the images are used to identify toll violators and evaders. Such violators may be traveling with an invalid transponder (that is, one that is not in good standing because the balance on the account is negative), no transponder, or a valid transponder that is not read by the antenna. Some of the images taken in the open toll lanes are rejected because their quality is too poor to be utilized to identify toll violators by license plates. The records in this series consist of the images taken of these license plates and any documentation associated with them.

TBA1.3A Images Associated with Valid Accounts

Retention: Retain three (3) years.

TBA1.3B Closed Violation Toll Lane Images

Retention: Retain three (3) years or ninety (90) days after the violation is closed, whichever is later.

TBA1.3C Rejected Images

Retention: Retain three (3) years.

TBA2 Engineering Department

TBA2.1 Contract Files

The Rhode Island Turnpike & Bridge Authority (RITBA) is tasked with the responsibility of construction, reconstruction, renovation, acquisition, renovation, maintenance, repairs, operations and/or management of certain bridges, highways, and other types of facilities in the state of Rhode Island. To fulfill these responsibilities, RITBA contracts with third party vendors for the necessary products and services. The records in this series, related to procurement of the products and execution of the services, may include, but are not limited to, requests for proposals, notices to contractors, project plans, contract specifications, contractor requests for project information (consisting of formal written requests by contractors to the Engineering Department related to projects), contractor proposals/bid sheets, pre-bid meeting sign-in sheets, bids,

signed contracts, performance bonds, change orders, award letters, contract drawings/specifications, contract addenda, schedules, letters of regret, contractor confidentiality agreements, contractor payroll records, project inspection reports (produced by inspectors to ensure compliance with contracted plans and specifications), permit files to other state and Federal agencies (including the Rhode Island Coastal Resource Management Council), contract job specifications (detailing the nature and scope of a particular project or job task), and related written communications (correspondence and memoranda).

TBA2.1A Files for Awarded Bids and Contracts

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

See Also: If related to litigation, see GRS2.1 (Case Files).

TBA2.1B Files for Bids Not Awarded

Retention: Retain ten (10) years after awarding of bid.

See Also: If related to litigation, see GRS2.1 (Case Files).

TBA2.2 Plans, Drawings, Surveys, and Maps

The Rhode Island Turnpike & Bridge Authority (RITBA) documents engineering designs, locations, architecture, construction processes, and technical specifications of those bridges, highways, and other facilities it has responsibility for, whether the agency owns them or simply manages them. In the case of bridges or other facilities that are listed on the historical register, RITBA is subject to the jurisdiction of the Rhode Island Historical Preservation & Heritage Commission. As an example, the Mount Hope Bridge that links the towns of Portsmouth and Bristol is registered in this fashion. The records in this series may include, but are not limited to, the following items: Plans (types include elevation, floors, foundations, erection, abutment and pier, electrical, mechanical, design, layout, grade, and structural); blueprints, cross-sectional diagrams, surveys; shop drawings (may be produced by manufacturers, contractors, and designers). These may detail fabrication and construction of materials and components or they may detail construction processes utilized; drawings, maps, positioning records, images, video, surveys, and satellite imagery – including satellite global positioning records (GPS); and related written communications, correspondence and memoranda.

**TBA2.2A Documentation of Bridges or Other Facilities
Designated as Historic Sites**

Retention: Permanent.

TBA2.2B Documentation of All Other Bridges and Facilities

Retention: Retain ten (10) years after bridge or
facility demolished, destroyed, or
replaced.

See Also: If related to litigation, see GRS2.1 (Case
Files) or retain for the preceding retention
period, whichever is later.

TBA2.3 Testing and Evaluation

The Rhode Island Turnpike & Bridge Authority (RITBA) performs
technical evaluations and various tests of bridges, roadways, processes,
and procedures to ensure conformity with established guidelines,
specifications, standards, and practices. The records generated by these
evaluations are filed by project name. The records in the series may
include, but are not limited to, the following items: structural design
calculations; materials testing and evaluation records; hydraulic and
drainage reports; pier, footing, cable, and catwalk evaluations and
studies; video and photographic documentation of tests; test worksheets,
notes, checklists, and schedules; test result reports (including concrete
core, bridge deck and roadway sampling); X-Ray and Radiograph test
records; documents and forms concerning rejection of materials;
certificates of compliance; and related correspondence and memoranda.

Retention: Retain ten (10) years after bridge or facility demolished,
destroyed, or replaced.

See Also: If related to litigation, see GRS2.1 (Case Files) or retain
for the preceding retention period, whichever is later.

TBA2.4 Engineering Studies

The Rhode Island Turnpike & Bridge Authority (RITBA) studies and
analyzes infrastructure assets to determine the most effective and
efficient alternative. RITBA divides engineering studies into two
subdivisions – Asset Management and Traffic Analysis. Asset
management studies relate to infrastructure performance metrics and
strategies. Traffic analysis engineering studies relate to the study of the
interaction between vehicular traffic and the roads and bridges. These
analysis studies are frequently updated due to changing asset and
manpower requirements, budgetary modifications, program

requirements, and technological improvements. These updates occur as needed and are not on any prescribed schedule. Asset management records may include, but are not limited to, performance reports, cost analysis studies, manpower workflow records, productivity analysis studies, inventories, service history records, schedules, and budgets. Traffic analysis study records may include, but are not limited to, bridge and turnpike load rating studies and reports, traffic count data studies, plaza traffic analysis, adjacent roadway obstruction studies, roadway geometry studies, signage orientation and location studies, and analyses of line of sight/distance. Both sets of records contain correspondence, memoranda, and other written communications.

Retention: Retain ten (10) years after completion of study or until of no further administrative or internal reference value, whichever is later.

See Also: If related to litigation, see GRS2.1 (Case Files) or retain for the preceding retention period, whichever is later.

TBA2.5 Inspection Records

The Rhode Island Turnpike & Bridge Authority (RITBA) inspects bridges on a periodic basis and contracts with an outside vendor to maintain the electronic documentation of these inspections. The records identify deficiencies in bridge conditions detected by inspections, maintain the history of various bridges, and support project development. The records may include, but are not limited to, annual and biennial inspection reports on bridge conditions, remediation records (including inspection field notations, digital images, videos of bridge structures, handwritten notes, and diaries), bridge inventory and condition histories, project development records, tracking information, correspondence, and memoranda.

Retention: Retain ten (10) years after bridge or facility is demolished, destroyed, or replaced, or until of no further administrative or internal reference value, whichever is later.

See Also: If related to litigation, see GRS2.1 (Case Files) or retain for the preceding retention period, whichever is later.

TBA3 Finance

TBA3.1 Overweight/Overwide Permits

The Rhode Island Turnpike & Bridge Authority (RITBA) takes responsibility for the permitting of overweight and/or overwide vehicles

that apply for passage over any bridges RITBA has responsibility for. Size, weight, and load limits on certain Rhode Island roadways are restricted per R.I. Gen. Laws Chapter 31-25. Owners and/or operators of those vehicles must complete applications for permits to cross these bridges and permits that are approved incur costs to the owners of the vehicles. The records in this series may include, but are not limited to, application forms and related written communications (summary reports, meeting agendas, correspondence, and memoranda). The information on the applications may include, but is not limited to, names of applicants, actual vehicle weights and dimensions, payment information, weight per axle, permit approvals, and whether or not a vehicle escort is necessary during passage. Rejected applications are also retained with those that are approved. A separate application is needed for each bridge a vehicle wishes to cross because certain bridges do not permit crossings by overweight vehicles at all.

TBA3.1A Applications and Permits

Retention: Retain ten (10) years or until of no further administrative or internal reference value, whichever is later.

See Also: If related to litigation, see GRS2.1 (Case Files).

TBA3.1B Summary Reports, Correspondence, Memoranda, and Other Written Communications

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

See Also: If related to litigation, see GRS2.1 (Case Files).

TBA3.2 Toll Revenue Auditing

The Rhode Island Turnpike & Bridge Authority's (RITBA) finance department maintains all financial books and records of the authority, including toll revenue auditing. The records of this auditing account for cash received at toll plazas, credit card receipts, and EZ-Pass payment activity. The records in this series include, but are not limited to, the following: Axle Dollar Variance Reports – reports any variances between vehicle axle counts and toll revenue deposits during the shifts (tours of duty) of individual toll collectors. This variance represents the difference between electronic and toll collector quantification for the number of axles that pass through the toll lanes; Collector Tour of Duty Reports (TOD) – reports that present summaries of collectors' activities during a

tour of duty (TOD). These reports include transaction summaries by class (payment method), axle summaries, expected revenue, and transaction adjustments. The reports are reconciled against receipts in the corresponding collectors' bag and adjusted in the electronic toll collection system host; Daily Revenue by Plaza Reports – reports that represent each collector's tour of duty for a given day; Collector Deposit Reports – reports that provide records of individual collectors' money bag deposits by revenue date. They note the amounts collected in bills and coins, the collector ID, the counting supervisor ID, and the money bag number and are used to remit the daily collections to the bank; and Summary reports, related written communications (correspondence and memoranda), meeting agendas.

TBA3.2A Reports

Retention: Retain ten (10) years or until of no further administrative or internal reference value, whichever is later.

TBA3.2B Written Communications and Meeting Agendas

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

TBA3.3 Unpaid Toll Records

The Rhode Island Turnpike & Bridge Authority (RITBA) utilizes forms to manage motorists that do not have cash or credit to pay for toll passage. The forms are divided into two parts. One part is provided to motorists and contains transaction information and payment instructions. The second part contains information on the motorist, is retained by the collector, and submitted to the Finance Department which receives the payments. The form contains personally identifiable information (PII) as defined by R.I. Gen. Laws § 11-49.3-3 on the motorists. It also includes license information and other data on the vehicles. The records in the series include the forms and any related correspondence.

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

TBA4 Tolling Operations

TBA4.1 Toll Supervisors' Logs

The Rhode Island Turnpike & Bridge Authority (RITBA) operates tolls on specific roads and bridges in Rhode Island. Toll supervisors oversee the operations of the toll booths and record routine and exceptional events

that occur on the turnpikes and bridges in logs. The types of incidents that are recorded may include, but are not limited to, signage, bridge camera operation, accidents, accounting of cash drawers, plaza lane status, phone calls into operations, bridge lighting, weather conditions, and bridge checks. Each entry notes the day of the week, the date, and the time of the event documented, and also includes a brief description. For weather conditions, the toll supervisors also maintain weather logs that note cloud cover, wind speed, wind direction, temperature, and records of the activation of fog sirens, in addition to other weather conditions such as rain, snow, sleet, and freezing rain. The dates and times of these events are also recorded in the logs. Finally, the supervisors maintain separate logs for any permitted overweight vehicles that are allowed to cross bridges that are the responsibility of RITBA. The records in the series may include, but are not limited to, the supervisors' logs and any related correspondence and memoranda.

TBA4.1A Logs

Retention: Permanent.

TBA4.1B Correspondence and Memoranda

Retention: Retain ten (10) years or until of no further administrative or internal reference value, whichever is later.

See Also: If related to litigation, see GRS2.1 (Case Files).

TBA5 Safety and Security

TBA5.1 Incident Reports

The Rhode Island Turnpike & Bridge Authority (RITBA) is responsible for maintaining safety and security on the bridges, roads, and other facilities it owns or manages. When incidents occur, RITBA prepares reports on them. Some types of incidents are reported as just that – incidents – but other types, such as accidents and suicide attempts (whether successful or not) require specific types of reports. The routine incidents documented may include, but are not limited to, toll runners, breaches of security, and property damage. The data maintained on each incident includes the date, time, location, toll supervisor name, the name of the investigating agency, and a narrative description of the event. Accident reports include the same data, but also include information on road conditions, traffic, extent of damage (to vehicles as well as RITBA facilities), and extent of injuries. Suicide logs include information on the date and time of the attempt (whether successful or not), the gender of

the person making the attempt, information on the emergency responder, and notes on the event. The individuals who attempt suicide are not identified by name. The records include these reports and any associated correspondence and memoranda. They also include claims files filed against RITBA for allegations of property loss, copies of police reports, and letters of decision (in the case of claims files).

Retention: Permanent.

TBA5.2 Permit Files

The Rhode Island Turnpike & Bridge Authority (RITBA) maintains records of overweight and overwide vehicles that have permits to cross bridges it owns or manages. The Finance Department maintains the actual permits, but Safety and Security keeps spreadsheets for the purpose of identifying these vehicles as they are actually crossing the bridges. The records consist of these sheets. When vehicles attempt to cross without permits, they are stopped and issued permits. Payment for the permits is required before they are permitted to cross.

Retention: Permanent.

TBA5.3 Special Events Records

The Rhode Island Turnpike & Bridge Authority (RITBA) participates in or hosts various special events, some of which involve closing (entirely or partially) the roads and bridges it has jurisdiction over. These events may include, but are not limited to, bridge bicycle rides, runs to benefit various charities, and swim events. The records of these events may include, but are not limited to, event approvals, operations plans, press releases, budget records, insurance certificates, and liability releases.

Retention: Permanent.

TBA6 Turnpike and Bridge Maintenance

TBA6.1 Manuals and Instructional Material Records

The Rhode Island Turnpike & Bridge Authority (RITBA) performs routine maintenance on roads, bridges and other facilities it owns or manages. To ensure proper completion of these tasks and safety, RITBA creates reference manuals to describe the procedures for the various tasks. Bridge maintenance manuals describe processes for such tasks as structural painting, bridge inspection, bridge pressure washing, spot painting, sweeping, structural bearing upkeep, and vehicle inspections. Personal safety procedures for each task are included, but RITBA also creates manuals specific to health and safety. The issues addressed in these manuals may include, but are not limited to, pathogen and

biological hazards safety, exposure control, safety inspections, electrical safety, contractor safety, safety standards, appropriate forms, safety training, protective equipment, safety best practices and procedures, equipment and tool operation, reporting and response plans and requirements. This series consists of these manuals and of material for instructional presentations on safety and procedures.

TBA6.1A Hazardous Substance Related Records

Retention: Retain thirty (30) years or until of no further administrative or internal reference value, whichever is later.

See Also: If related to litigation, see GRS2.1 (Case Files) or retain for the preceding retention period, whichever is later.

TBA6.1B Inspection Related Records

Retention: Retain ten (10) years or until of no further administrative or internal reference value, whichever is later.

See Also: If related to litigation, see GRS2.1 (Case Files).

TBA6.1C All Other Records

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

See Also: If related to litigation, see GRS2.1 (Case Files).

TBA6.2 Routine Maintenance and Asset Management Records

The Rhode Island Turnpike & Bridge Authority (RITBA) performs routine maintenance on roads, bridges, and other facilities it owns or manages. The agency creates and maintains records of this maintenance, which includes sweeping, landscaping, bridge coating, and bridge washing. The work assignments and associated records are broken down as follows: turnpike and bridge sweeping records may include, but are not limited to, schedules and lists detailing the following: activity type, equipment utilized, location, date, time, and information on personnel utilized; turnpike and bridge landscaping records may include, but are not limited to, schedules, work agendas, logs, and images. They also include reports and lists identifying the following: program, activity,

equipment utilized, locations, date, time, and utilized personnel; bridge coating records (relating to surface preparation and the application of paint coatings and sealants on bridge structures and members) may include, but are not limited to job specification sheets (detailing scope and limits of work, job location, personnel utilized, requests for proposals, and equipment required), daily coating inspection reports (detailing project name, location, work description, structural and surface conditions, application methods, and surface preparation techniques), and tracking records (documenting project parameters such as material and labors costs for each individual project performed); and bridge washing records relate to the activity and equipment utilized in the removal of chlorides and debris from structures in order to preserve the bridge and turnpike infrastructure. In addition to work assignment records, this series also contains records of equipment utilized, asset management, and vendor records. The types of equipment used may include, but are not limited to, mowers, tractors, trailers, pressure washers, sweepers, crash attenuators, underbody inspection equipment, and portable traffic signs. Records associated with this equipment may include, but are not limited to, schedules for use and repair, sign-out forms, manuals, services histories, and certifications. Asset management records document specific jobs more broadly. They include data extrapolated or analyzed from specific job parameters regarding personnel, equipment and cost metrics and are utilized in the planning of future jobs. Vendor records involve outside vendors that RITBA employs for certain jobs. These records may include, but are not limited to, vendor sign-in records and work activity logs, the latter of which detail nature of their activities on particular days.

Retention: Retain ten (10) years or until of no further administrative or internal reference value, whichever is later.

See Also: If related to litigation, see GRS2.1 (Case Files).

TBA6.3 Electrical Work Records

The Rhode Island Turnpike & Bridge Authority (RITBA) utilizes in-house electricians and contractors for electrical work. The activities of these electricians are recorded in work journals that are organized by the specific bridge or other facility involved. The records may include, but are not limited to, schedule calendars (with information detailing the nature and extent of electrical work and configuration/layout details with work performed and diagrams) and records pertaining to procurement, placement, maintenance, and removal.

Retention: Retain ten (10) years or until of no further administrative or internal reference value, whichever is later.

See Also: If related to litigation, see GRS2.1 (Case Files).

TBA6.5 Special Events/Bridge Banner Records

As a public service, the Rhode Island Turnpike & Bridge Authority (RITBA) authorizes the placement of banners on its bridges to announce various events. The records in this series may include, but are not limited to, registration forms, images of banners, and calendars of events.

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