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TITLE 100 – DEPARTMENT OF STATE

CHAPTER 50 – PUBLIC RECORDS ADMINISTRATION

SUBCHAPTER 40 – LOCAL GOVERNMENT RECORDS RETENTION SCHEDULES

PART 14 – MUNICIPAL HUMAN AND SENIOR SERVICES RECORDS (LG14)

14.1 Purpose, Authority, Severability, and Destruction

14.1.1 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.

14.1.2 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.

14.1.3 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.

14.1.4 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)

LG14.1 Social Services

LG14.1.1 Client Case Files

Documents individual client contact with agency regarding information and referrals to various state, federal and municipal assistance programs, and support groups. May include documentation on early intervention activities. Includes, but is not limited to, copies of applications to various assistance programs; initial intake form; progress notes; copies of qualification support materials such as proof of age, residency, and income and related correspondence.

Retention: Retain ten (10) years after final separation from program. If any records are related to a case in litigation, retain seven (7) years after final disposition of the litigation whichever is longer.

LG14.2 Programs

LG14.2.1 Registration Forms

Membership forms of participants filed annually. Includes address, date of birth, marital status, and emergency contact information. May include ethnic background data and name of primary physician.

Retention: Retain three (3) years.

LG14.2.2 Waivers – Fitness and Physical Activity Readiness Questionnaire

Records that document members informed consent required for participation in exercise programs sponsored by the senior center. Includes consent forms, physical readiness questionnaires, medical clearance forms, policy agreements and hold harmless and release agreements

Retention: Retain three (3) years.

LG14.2.3 Class and Program Attendance – Sign-up Sheets and Logs

Program files that document planning and execution of events, programs, activities and field trips. Files may include, but is not limited to, correspondence, sign-up sheets, receipts of fees collected, pre-billing documentation from vendors, copies of receiving reports, and vendor confirmations and agreements.

Retention: Retain three (3) years.

LG14.2.4 Activity and Event Records

Program files that document planning and execution of events, programs, activities and field trips. Files may include, but are not limited to, correspondence, sign-up sheets, receipts of fees collected, pre-billing documentation from vendors, copies of receiving reports, and vendor confirmations and agreements.

LG14.2.4A Receipts and Receiving Reports

Retention: Retain three (3) years if copies and/or data are maintained by the municipal finance department. Otherwise retain seven (7) years.

LG14.2.4B All Other Records

Retention: Retain three (3) years.

LG14.2.5 Exercise and Wellness Records

Files that document planning and execution of exercise and wellness programs organized through the center for the benefit of participants. Includes correspondence/email with instructors, exercise schedules and documentation of collection of fees for instructors.

Retention: Retain three (3) years after audit.

See Also: LG2.6.11 (Independent Contractors Records).

LG14.3 Volunteers

LG14.3.1 Volunteer Application Forms

Community service application forms and signed confidentiality agreements of individuals that volunteer at the senior center.

Retention: Retain three (3) years.

LG14.3.2 Volunteer Evaluation Forms

Evaluations of and by volunteers for purposes of evaluating programming and performance.

Retention: Retain three (3) years.

LG14.3.3 Volunteer Sign-in Sheets

Sign-in sheets used for purposes of tracking hours and attendance.

Retention: Retain one (1) year.

LG14.4 Nutrition and Food Service

LG14.4.1 Meals on Wheels Donations

Weekly record which documents donations to homebound clients and residents. The delivery of meals is coordinated by the senior center and donations are collected by volunteer drivers on behalf of the Meals on Wheels program.

Retention: Retain one (1) year.

LG14.4.2 Dining Room Weekly Reports

Records that document weekly nutrition counts, meal site data (meals served) and donations received. May include copies of bank deposit slips or verification of deposit.

Retention: Retain three (3) years.

Note: Copies are also held by the 3rd party vendor contracted to provide this service.

LG14.4.3 Congregate Meals Forms and Data

Participant information reporting form required per Title III-C Congregate Nutrition Program. Data is used to qualify participants for the federal program. Includes data and statistics reported to the Department of Elderly Affairs. (7 C.F.R. § 226.10(d))

LG14.4.3A Participant Forms

Retention: Retain three (3) years or one (1) year after inactivity whichever is longer.

LG14.4.3B Data and Statistics Reported to the Department of Elderly Affairs

Retention: Retain ten (10) years.

LG14.4.4 Food Safety Standards Forms

Records that document compliance of food safety policies by volunteers/food handlers as provided by the Rhode Island Department of Health.

Retention: Retain three (3) years or one year after inactivity whichever is longer.

LG14.4.5 Food Service and Facilities Inspections

Report that documents food establishment inspection as performed by the Department of Health. May include supporting documentation regarding corrections/compliance.

Retention: Retain until next inspection or three (3) years whichever is longer.

LG14.5 Transportation

LG14.5.1 Daily Route Sheet

Manifests or logs that document passengers on municipality-operated transportation vehicles. May include rider address and phone numbers.

Retention: Retain three (3) years in the event of incident or accident. Otherwise retain one (1) year.

See Also: GRS2.1 (Case Files), GRS3.7 (Incident and Accident Reports), and GRS4.6 (Vehicle Records).

LG14.6 Medical Services

LG14.6.1 Health Records

Records that document clients seeking medical information and services. Documentation may include but is not limited to logs, narratives, copies of lab reports, referral forms, assessment forms, copies of prescription data and screening forms.

Retention: Retain seven (7) years from inactivity, then shred.

LG14.6.2 Diabetes Management Referrals

Referrals from physicians of patients seeking diabetes management education counseling.

Retention: Retain seven (7) years from inactivity, then shred.

LG14.6.3 Diabetes Education Class Records

Includes correspondence, sign-in sheets, copies of insurance cards, faxes to physicians, copies of billing records, assessment and survey forms and patient contracts to release records.

Retention: Retain seven (7) years from inactivity, then shred.

LG14.6.4 Billing

Billing to insurance carriers for client diabetes education.

Retention: Retain seven (7) years.

LG14.6.5 Diabetes Outpatient Education Aggregate Data Form

Monthly form/report to the Department of Health, as required, used to maintain diabetes educator certification.

Retention: Retain three (3) years.

LG14.6.6 Attendance Lists and Evaluations

Attendance lists and evaluations of health and wellness seminars (excluding diabetes education), talks and support groups. May include teaching materials and syllabi.

LG14.6.6A Attendance Lists and Logs

Retention: Retain three (3) years.

LG14.6.6B Evaluations

Retention: Retain three (3) years.

LG14.6.6C Teaching Materials and Syllabi

Retention: Retain until updated, superseded or obsolete.

LG14.7 Administration and Finance

LG14.7.1 Agreements and MOUs

Memoranda of understanding or agreements with the Department of Elderly Affairs and/or third-party vendors/organizations that provide educational programs and services (nutrition, health, and wellness) for members as part of programming offered by the center. Includes partnership and facility use agreements.

Retention: Retain ten (10) years after termination or expiration.

LG14.7.2 “Friends” and Fundraising Records

Records that document activities of “Friends” or fundraising group, association, non-profit group or advisory board that exists for the purpose of generating funding for services, activities, and equipment. May include, but is not limited to, membership lists/forms, clippings, correspondence, solicitation letters to potential members, programming

records including publications/brochures, tickets and press releases, accounting records, annual reports, agendas and meeting minutes.

See Also: GRS4.2 (Construction and Improvement Records).

LG14.7.2A Annual Reports, Meeting Minutes and Agendas, One Copy of Publications and Brochures and Pertinent Correspondence

Retention: Permanent.

LG14.7.2B Accounting Records

Retention: Retain six (6) years after audit.

LG14.7.2C All Other Records

Retention: Retain until of no further administrative value.

LG14.7.3 Database and Statistical Records [SUPERSEDED]

“My Senior Center” or comparable database used to track real-time usage of the facility, analyze participation, store membership information, manage daily programs and activities, record case management information and generate statistics.

See Also: For associated retention, see GRS1.5 (Annual Reports) and LG14.7.8 (Grant Records), or other applicable schedules.

LG14.7.4 Accreditation Records

Records that document the process of accreditation by the National Council on Aging. Includes copies of records organized according to nine (9) standards as well as self-assessment documents. May include minutes of meetings of the accreditation committee.

Retention: Retain until next re-accreditation or five (5) years, whichever is longer.

LG14.7.5 Newsletters, Event Calendars and Membership Packets

Newsletters, membership packets/booklets, and event calendars generated by the senior center for purposes of informing membership of policies, activities, and other services.

Retention: Retain one (1) copy permanently.

See Also: GRS5.7 (Public Relations Records).

LG14.7.6 Reports

Internally generated reports not covered in other record series, including reports and returns to municipal departments and state agencies.

LG14.7.6A Daily and Weekly Reports

Retention: Retain one (1) year.

Note: Reports required in the audit process must be retained one (1) years after audit is completed.

LG14.7.6B Monthly, Quarterly, and Periodic Reports

Retention: Retain three (3) years.

LG14.7.6C Annual, Special Reports and Studies

Retention: Permanent.

Note: Official or record copy of annual reports generated by departments of municipal government should be held by the agency that created the report.

LG14.7.7 Grant Files

Records relating to the agency's development of grant proposals to the Department of Elderly Affairs or other state or federal agencies or other funding sources, as well as records related to the administration of its own grant programs or programs administered by the agency. Grants may include but are not limited to Title III of the Older Americans Act and Legislative Grants through the Rhode Island General Assembly. Records may include, but are not limited to, grant applications and agreements, studies, notices, technical specifications, drawings, plans, bid and contract records, accounting, banking, purchasing, and payroll records, bonds, monitoring and performance reports, expenditure and outlay reports, memoranda, and correspondence.

Note: If any litigation claim, negotiation, audit or other action has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later. Any records related to a contract or

liability under seal, or any judgement or decree by a federal or state court, should be retained for twenty (20) years. (R.I. Gen. Laws § 9-1-17)

LG14.7.7A Grant Applications and Amendments, Final Performance, Disposition, and Expenditure Reports

Retention: Permanent.

LG14.7.7B Financial and Programmatic Records, Periodic Performance Reports, Supporting Documents, Statistical Records, and Other Required and Pertinent Records

Retention: Retain ten (10) years from submission of closeout and final expenditure report or submission of annual financial status report for grants renewed annually.

LG14.7.7C Real Property and Equipment Records

Retention: Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.

LG14.7.7D Income Transaction Records (Earning of Income) After Grant Support Where Required by the Terms of the Grant

Retention: Retain ten (10) years from the end of fiscal year in which the income is earned.

LG14.7.7E Unsuccessful Grant Applications

Retention: Retain three (3) years.

LG14.7.8 Reports to the Department of Elderly Affairs

Required reporting to the Department of Elderly Affairs for legislative/community services grant awards as well as any other state or federal funding received by the agency from the Department. Includes grant narrative, quarterly program performance reports, and budget reports related to the grant. May include other supportive documentation and reports as required by the Department.

Retention: Retain ten (10) years.

See Also: LG14.7.7 (Grant Program Files).

LG14.7.9 Senior Employment Program

Records that document participation in community service subsidized employment or job-training program for qualified seniors. Includes, but is not limited to, copies of timesheets, job search forms and quarterly in-kind reports that detail job-training costs as well as related correspondence.

LG14.7.9A Records Relative to Participants in the Program

Retention: Retain five (5) after participant transitions to unsubsidized employment or leaves program.

LG14.7.9B All Other Records

Retention: Retain three (3) years.

LG14.7.10 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).