

RHODE ISLAND JUDICIARY RECORDS RETENTION SCHEDULE

Effective April 1, 2011

Type of Document and Brief Description	Special Considerations or Recommendations	Previous Retention Policy	2011 Retention Policy
SUPREME COURT			
<i>Administration/General:</i>			
Policies and Procedures			Permanent
Statistical Records and Annual Reports			Permanent
Special Plans, Publications, Studies and Reports			Retain one copy permanently
Speeches	"If speeches are taped, retain tape for 6 months after transcription. If not transcribed, retain tapes permanently." GRS 1.9		Retain final copy permanently
Certificates of Records Destruction			Permanent
Record Management			Permanent unless superseded.
<i>Administration/Personnel:</i>			
Personnel Files			Retain until 20 years after discontinuation of service.
Job applications			Collect until end of calendar year, retain for 3 years and then discard.
Vacancy Notices			Retain until resolution of all grievances (if any) and then until no further administrative value. Minimum retention period is 1 year.
Job Description File			Retain until superseded, then discard.
Personnel Action Forms			Retain 10 years, after termination of employee. .
Affirmative Action/Equal Employment Opportunity Guidelines and Plans			Retain 2 years after superseded, then destroy.
State and Local Govt. Info. Report EEO-4			Retain 3 years from filing date, then destroy
CETA Participants Records			Retain 5 years after enrollment, then shred.
CETA Program Records			Retain 3 years from last annual expenditures report, then destroy.
Payroll Records			Retain 10 years, or 1 year after audit, whichever is sooner. If adequate personnel records are not available, retain summary form of payroll records permanently.
<u>Labor Relations Records</u> : Union activity			Retain until updated or superseded, then discard.

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<u>Labor Relations Records</u> : Meeting notices and minutes, legal decisions, negotiations and record copy of contracts or agreements			12 years
<u>Labor Relations Records</u> : Grievances			7 years after final resolution
<u>Labor Relations Records</u> : All other records, including sick bank records			7 years unless in litigation, in which case until time for appeal expires.
Sick Leave and Absentee Records			4 years
Employee Time Cards			4 years
<i>Administration/Facilities:</i>			
Facility Entrance Authorization Records	Periodically purge terminated employees from system.		Retain until updated, superseded or of no further administrative value.
Visitor Control Files/Logs			1 year
Security Logs			3 years
Guard Assignment Logs			3 years
Video Monitoring Tapes/Digital Recordings			30 days
Inspection and Certification Records			3 years
Building Protection Systems Records			3 years
Alarm Reports			1 year
Fire Emergency and Evacuation Plans and Procedures			Retain until annual update is completed
All Other Fire Emergency and Evacuation Records			3 years
Disaster Plan			Retain until annual update.
Plans and Blueprints: Official or Original copies			Permanent
Plans and Blueprints: Copies			Retain until of no further value.
Construction and Improvement Records for historic buildings ¹			Permanent
Construction and Improvement Records for all other buildings			Retain 10 years after building or structure remains in existence or until no longer owned by the state.
Work Orders			3 years
Cleaning and Maintenance Supply Lists			Retain until updated, superseded, or for one year, whichever term is shortest.
Asset Inventories			Retain until updated, then discard.
Vehicle Records: Inspection sheets, checklists and meter reading reports			3 years

¹ Although the General Records Retention Schedules do not define what constitutes an "Historic Building," it is presumed for the purposes of this schedule that this designation refers to those building classified as historic by the Historical Preservation & Heritage Commission of the State of Rhode Island.

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All Other Vehicle Records			1 year after disposal of vehicle and audit completion
<i>Administration/Community Outreach:</i>			
Publicity and Press Releases			20 years
Audio/Visual Records			3 years
<i>Administration/Legal:</i>			
Case Files: Routine Cases			7 years after final disposition or 10 years after case opens
Case Files:: Landmark Cases			10 years
Case Files:: Discrimination Cases			4 years after final resolution
Legal Opinions			10 years
Draft Legislation and Legislation Impact Statements			10 years
Incident Reports			Retain 3 years. ²
Access to Public Records Requests			1 year after resolution
Lobbyist Reports			6 years
<i>Administration/Finance & Budget</i>			
Purchasing Requisition File			Official Copy – 10 years Duplicates – cut off at the end of the fiscal year.
Purchase Orders			
Utility Purchase Orders			
Vendor Case File			
Invoice Vouchers			
Travel Expense Vouchers			
Imprest Cash Vouchers			
Imprest Cash Receipts Vouchers			
Controller's Statements (Monthly Financial Reports)			
Transaction Summary Reports			
Report of Equipment Acquired Forms			
Report of Obsolete or Surplus Equipment			
Vendor Case File			
Budget Code Case File			
Cash Receipts Case File			Cut off at the end of the fiscal year and retain for audit. After audit discard all except current plus 1 year.
Bad Check Case File			Cut off at the end of the fiscal year. Retain current plus 5 years, then discard.
Accounts Receivable Case Files			Cut off at the end of the fiscal year and retain for audit. After audit discard all except current plus 1 year.
Ledger Book File			
Service Contracts – Originals			Cut off upon termination of

² If minor is involved in incident, retain three (3) years after minor reaches the age of eighteen (18).

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			contract and retain for audit. After audit discard all except current plus 1 year.
Service Contracts – Duplicates			Cut off and discard upon termination of contract.
Audit Reports File (and work papers)			Cut off upon completion of audit. Retain current plus 1 year in office. Transfer to Records Center. Retain for 5 years, then discard.
Annual Financial Reports			10 years
Annual Financial Report Work Papers			Retain until annual report is completed then discard.
Budget Request Case File			Cut off at the end of the fiscal year and retain for audit. After audit discard all except current plus 1 year.
Office Equipment Inventory			Retain until updated, then discard.
<i>Administration/Judicial Technology:</i>			
Contracts (includes consultant, data, software, services and all other contracts)			Cut off upon end of contract and retain for audit. After audit discard all except current plus 1 year.
Work Orders			5 years
Help Desk Requests			5 years
Policies & Procedures			10 years
Asset Inventories			Retain until updated, then discard.
Data and Statistical Reports			Retain until updated, superseded, or of no further administrative value.
<i>Clerk's Office:</i>			
Index books	Optical disk after 5 years or alternative media. ³	Permanent	Permanent
Docket books	Optical disk after 5 years or alternative media.	Permanent	Permanent
Case files		2 years	20 years
Lawyers Applications		50 years	7 yrs. from date of admission. ⁴
Administrative Orders			Permanent

³ Original paper copies of all electronic records will still need to be retained for the duration of the retention period unless properly disposed of pursuant to the procedures adopted by the Public Records Administration for the State of Rhode Island.

⁴ The Supreme Court Rules contain some conflicting provisions regarding these records. The Note following Article II, Rule 1 "Admission on examination" states that "[a]ll applications of bar applicants will be destroyed either (a) seven (7) years from date of admission or (b) five (5) years from the last examination taken." Article II, Rule 3(h) "Admission to the bar: committee on character and fitness" states that "[t]he entire petition/questionnaire of each applicant shall be maintained for a period of no less than ten (10) years from the date of filing the petition/questionnaire [for the Committee on Character and Fitness in connection with the bar application], and thereafter destroyed in accordance with Supreme Court retention policies."

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Type of Document and Brief Description	Special Considerations or Recommendations	Previous Retention Policy	2011 Retention Policy
Executive Orders			Permanent
Miscellaneous Attorney Licensing Records ⁵			5 years
Attorney Registration Statements			Retained by Disciplinary Counsel's Office
Attorney Registration receipts and cashier reports			Retain until next registration year.
<i>Office of ADR/ Appellate Mediation:</i>			
Mediation Case Files			3 years
<i>Supreme Court Committees, Commissions and Boards:</i>			
Appointment Records			20 years
Board of Bar Examiners Bar Examination Answer Booklets		5 years	5 years Sixty (60) days after publication of exam results
Comm. on Character and Fitness		5 years	5 years
Unauthorized Practice of Law Comm.			5 years
Commission on Judicial Tenure and Discipline			Permanent
Judicial Advisory Board			10 years
Other Commissions, Committees, Panels and Task Forces			5 years
<i>Mandatory Continuing Legal Education (MCLE)</i>			
Attorney education records			7 years
Judicial education records			Permanent
<i>Office of Disciplinary Counsel/ Disciplinary Board</i>			
Records relating to complaint terminated by a dismissal or by a dismissal with a letter of suggestion			7 years from date of dismissal ⁶
Records relating to complaints terminated by a dismissal with a letter of admonition			10 years
Attorney Registration Statements			3 years
<i>Miscellaneous</i>			
Case files - Asst. to Chief Justice		2 years	2 years
Justices' files		5 years	5 years

⁵ This includes Attorney Reinstatement and Resignation records.

⁶ See Article III, Rule 4(d)(5) of the Supreme Court Rules.

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SUPERIOR COURT			
<i>Administration:</i>			
Policies and Procedures			Permanent
Statistical Records and Annual Reports			Permanent
Special Plans, Publications, Studies and Reports			Retain one copy permanently
Speeches	"If speeches are taped, retain tape for 6 months after transcription. If not transcribed, retain tapes permanently." GRS 1.9		Retain final copy permanently
Certificates of Records Destruction			Permanent
Fiscal Records		2 years after audit	2 years after audit
<i>Criminal:</i>			
Appeal Folders	Warrants should be checked.	10 years	10 years
Indictment Folders		30 years	30 years
Card Index Files	Optical disk or alternative media after 10 years ⁷	Permanent	Permanent
Index Books	Optical disk or alternative media after 10 years	Permanent	Permanent
Docket Books	Optical disk or alternative media after 10 years	Permanent	Permanent
Exhibits		Destroy after appeal	Destroy 30 days after completion of appeal
Central Registry Fiscal Records		2 years after audit	The later of 2 years after audit or 5 years after escheatment
<i>Civil:</i>			
Index Books	Optical disk or alternative media after 10 years	Permanent	Permanent
Docket Books	Optical disk or alternative media after 10 years	Permanent	Permanent
Judgment Books	Optical disk or alternative media after 10 years	Permanent	Permanent
Case Folders		20 years	20 years
Exhibits		Destroy under 30 day rule	Destroy 30 days after completion of appeal
Depositions		Retain for 30 days after end of case.	Destroy 30 days after completion of appeal
<i>General:</i>			
Administrative Orders			Permanent
Executive Orders			Permanent

⁷ Original paper copies of all electronic records will still need to be retained for the duration of the retention period unless properly disposed of pursuant to the procedures adopted by the Public Records Administration for the State of Rhode Island.

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Jury Records			As directed by the Presiding Justice pursuant to RIGL § 9-9-27.
<u>Steno Notes</u> ⁸ :- Court Reporters and Electronic Court Reporters		12 years	12 years
<u>Steno Notes</u> ⁹ :- Freelance Court Reporters and Freelance Electronic Court Reporters			12 years ¹⁰
Steno Transcripts		Permanent	12 years
Naturalization	Presently on microfilm	Permanent	Permanent

⁸ RIGL § 8-5-4 calls for the preservation of all used notebooks, notes and recordings taken by court reporters. The statute states that “the clerk shall not be required to preserve the notebooks and notes and recordings beyond the period of fifteen (15) years.”

⁹ See RIGL § 8-5-4.1.

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FAMILY COURT			
<i>Administration:</i>			
Policies and Procedures			Permanent
Statistical Records and Annual Reports			Permanent
Special Plans, Publications, Studies and Reports			Retain one copy permanently
Speeches	"If speeches are taped, retain tape for 6 months after transcription. If not transcribed, retain tapes permanently." GRS 1.9		Retain final copy permanently
Certificates of Records Destruction			Permanent
Fiscal Records		2 years after audit	2 years after audit
<i>Domestic:</i>			
Index Books	Optical disk after 5 years or other alternative media	Permanent	Permanent
Docket Books	Optical disk after 5 years or other alternative media	Permanent	Permanent
Case Folders	Optical disk after 5 years or retain: Property Settlement Decision pending entry of Final Decree, plus all orders after Final Decree	20 years	50 years
Criminal Index Cards	Optical disk after 5 years or other alternative media	Permanent	Permanent
Misdemeanor Folders		10 years	20 years
Felony Folders		30 years	20 years
U.C.C.A. Cards	Optical disk after 5 years of other alternative media	Permanent	Permanent
U.C.C.A. Folders	Optical disk prior to 1979 (1) Special needs case folders. (2) Long term education folders maintained at Family Court	20 years	20 years
Exhibits: Domestic	See Admin. Order 96-12.; application of the Order for purposes of retention schedule is for Domestic cases only.		30 days after either the time for filing a notice of appeal has elapsed, or 30 days after the final determination of the appeal.
<i>Juvenile:</i>			
Adoption Index Books	Optical disk after 5 years or other alternative media	Permanent	Permanent
Adoption Docket Books	Optical disk after 5 years or other alternative media	Permanent	Permanent

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Adoption Case Folders	Optical disk. Petition Report of Adoption	Permanent	Permanent
Mary Moe Index		Permanent	Permanent
Mary Moe Case Folders		15 years	5 years
Civil Ct. Cert. Index	Optical disk after 5 years or other alternative media	Permanent	Permanent
Civil Ct. Cert. Folders		25 years	20 years
Admin. Appeals Index	Optical disk after 5 years or other alternative media	Permanent	Permanent
Admin. Appeals Folders		10 years	10 years
Juvenile Index Books		Permanent	Permanent
Juvenile Docket Books		Permanent	Permanent
Juvenile Case Folders		Permanent	50 years
Exhibits			30 days after either the time for filing a notice of appeal has elapsed, or 30 days after the final determination of the appeal.
<i>Reciprocal:</i>			
Index Books		Permanent	Permanent
Docket Books		Permanent	Permanent
Paternity Case Folders		Permanent	Permanent
Child Support Case Folders		23 years	23 years
<i>CASA:</i>			
Index Cards		Permanent	Permanent
Case Folders		Permanent	20 years
<i>Family Services:</i>			
Family Services Investigator/Counselor Case Folders		5 years	5 years
<i>General:</i>			
Administrative Orders			Permanent
Executive Orders			Permanent
<u>Steno Notes</u> ¹¹ ; Court Reporters and Electronic Court Reporters		12 years	12 years
<u>Steno Notes</u> ¹² ; Freelance Court Reporters and Freelance Electronic Court Reporters			12 years
Steno Transcripts		Permanent	12 years

¹¹ RIGL § 8-5-4 calls for the preservation of all used notebooks, notes and recordings taken by court reporters. The statute states that “the clerk shall not be required to preserve the notebooks and notes and recordings beyond the period of fifteen (15) years.”

¹² See RIGL § 8-5-4.1

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DISTRICT COURT			
<i>Administration:</i>			
Policies and Procedures			Permanent
Statistical Records and Annual Reports			Permanent
Special Plans, Publications, Studies and Reports			Retain one copy permanently
Speeches	"If speeches are taped, retain tape for 6 months after transcription. If not transcribed, retain tapes permanently." GRS 1.9		Retain final copy permanently
Certificates of Records Destruction			Permanent
Fiscal Records		2 yrs. after audit	2 yrs. after audit
<i>Criminal:</i>			
Index Books	Optical disk after 5 yrs. or alternative media. ¹³	Permanent	Permanent
Docket Books	Optical disk after 5 yrs. or alternative media.	Permanent	Permanent
Misdemeanor Folders		10 years	10 years
Exhibits		Destroy after appeal	30 days after conclusion of case or appeal
<i>Civil:</i>			
Index Books	Optical disk after 5 yrs or alternative media	Permanent	Permanent
Docket Books	Optical disk after 5 yrs or alternative media	Permanent	Permanent
Case Folders		25 years	20 years
Small Claims		25 years	20 years
Admin Appeal		10 years	20 years
Exhibits		Destroy under 30 day rule	30 days after conclusion of case or appeal
<i>General:</i>			
Administrative Orders			Permanent
Executive Orders			Permanent
Steno Notes ¹⁴ : Court Reporters and Electronic Court Reporters		12 years	12 years
Steno Notes ¹⁵ : Freelance Court Reporters and Freelance Electronic Court Reporters		12 years	12 years
Steno Transcripts		Permanent	12 years

¹³ Original paper copies of all electronic records will still need to be retained for the duration of the retention period unless properly disposed of pursuant to the procedures adopted by the Public Records Administration for the State of Rhode Island.

¹⁴ RIGL § 8-5-4 calls for the preservation of all used notebooks, notes and recordings taken by court reporters. The statute states that "the clerk shall not be required to preserve the notebooks and notes and recordings beyond the period of fifteen (15) years."

¹⁵ See RIGL § 8-5-4.1

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Type of Document and Brief Description	Special Considerations or Recommendations	Previous Retention Policy	2011 Retention Policy
WORKERS' COMPENSATION COURT			
<i>Administration:</i>			
Policies and Procedures			Permanent
Statistical Records and Annual Reports			Permanent
Special Plans, Publications, Studies and Reports			Retain one copy permanently
Speeches	"If speeches are taped, retain tape for 6 months after transcription. If not transcribed, retain tapes permanently." GRS 1.9		Retain final copy permanently
Certificates of Records Destruction			Permanent
Fiscal Records		2 years after audit	2 years after audit
<i>Clerk's Office:</i>			
Docket Books (w/ memoranda) ¹⁶		Permanent	Permanent
Index Books		Permanent	Permanent
Case Files		25 years	20 years
<i>General:</i>			
Administrative Orders			Permanent
Executive Orders			Permanent
<u>Steno Notes</u> ¹⁷ : Court Reporters and Electronic Court Reporters		12 years	12 years
<u>Steno Notes</u> ¹⁸ : Freelance Court Reporters and Freelance Electronic Court Reporters			12 years
Steno Transcripts		Permanent	12 years

¹⁶ "RIGL § 28-35-59 Records of proceedings. – The proceedings in all cases before the workers' compensation court under chapters 29 – 38 of this title are deemed matters of record, but they are not required to be recorded at large, but are filed and numbered in the office of the administrator of the workers' compensation court, and a docket only, or short memorandum of the cases, shall be kept by the administrator in books provided for the purpose."

¹⁷ RIGL § 8-5-4 calls for the preservation of all used notebooks, notes and recordings taken by court reporters. The statute states that "the clerk shall not be required to preserve the notebooks and notes and recordings beyond the period of fifteen (15) years."

¹⁸ See RIGL § 8-5-4.1

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TRAFFIC TRIBUNAL			
<i>Administration:</i>			
Policies and Procedures			Permanent
Statistical Records and Annual Reports			Permanent
Special Plans, Publications, Studies and Reports			Retain one copy permanently
Speeches	"If speeches are taped, retain tape for 6 months after transcription. If not transcribed, retain tapes permanently." GRS 1.9		Retain final copy permanently
Certificates of Records Destruction			Permanent
Fiscal Records		2 years after audit	2 years after audit
<i>Clerk's Office</i> ¹⁹			
Index Files/Books	Optical disk after 5 yrs. or other alternative media.	Permanent	Permanent
Docket Files/Books	Optical disk after 5 yrs. or other alternative media.	Permanent	Permanent
Case Files		5 years	3 years
Summary sheets		3 years	3 years
<i>General:</i>			
Administrative Orders			Permanent
Executive Orders			Permanent
Steno Notes ²⁰ : Court Reporters and Electronic Court Reporters		12 years	12 years
Steno Notes ²¹ - Freelance Court Reporters and Electronic Court Reporters			12 years
Steno Transcripts		Permanent	12 years

¹⁹ The Records Retention Schedule for Municipal Court Records issued by the Office of the Secretary of State calls for the retention of traffic court summonses for 3-5 years depending upon the type of ticket and resolution of the matter. At the least, the records should be retained until a successful audit plus one (1) year according to Records Retention Schedule LG12.

²⁰ RIGL § 8-5-4 calls for the preservation of all used notebooks, notes and recordings taken by court reporters. The statute states that "the clerk shall not be required to preserve the notebooks and notes and recordings beyond the period of fifteen (15) years."

²¹ See RIGL § 8-5-4.1