

**CPP1 Contractors' Registration Board**

**CPP1.1 Contractors' Registration/License Application Files**

Rhode Island state law (RIGL §5-65) requires that every contractor, remodeler, and most subcontractors who are in the business of building or repairing single-family homes, duplexes, residential structures with four dwelling units or less, or commercial structures, including commercial roofers, be registered/licensed with the Contractors' Registration Board. Anyone who demolishes or moves a residential structure must also register. This series documents the application process.

Files include information that contractors must provide to the board in order to become registered or licensed. This may include such documentation as driver's license or picture ID, workers' compensation account number, unemployment insurance account number and certificates, state withholding tax number, federal employee identification number, annual renewal forms, and proof of insurance.

Retention: Retain for ten (10) years after latest application for license/registration renewal.

**CPP1.2 Licensing – General Contractors Files**

The Contractors' Registration Board is mandated to issue licenses to practice to Rhode Island home inspectors, associate home inspectors, and home inspection companies, as well as to commercial roofers. The board also approves and/or administers qualifying examinations for home inspectors and commercial roofers. This series documents the licensing process.

Files include initial application forms, license renewal forms, attestations concerning experience, qualifying examinations results, as well as verifications of continuing education credits, safety courses (OSHA), certifications of liability and bonding, corporation papers, and insurance documentation. In addition, roofing companies must also provide lists of licensed employees. Individual licensee applicants must provide name(s) of any company that employs them.

Retention: Retain for ten (10) years after latest application for license renewal.

**CPP1.3 Contractor Violations Files**

The Contractors' Registration Board is mandated with two major functions: compliance and enforcement. This series concerns files related to the compliance function. The CRB ensures that commercial roofers and home inspectors comply with the requirements of state laws and regulations. Contractors conducting business in the state must be properly registered or licensed with the board. Contractors must also carry appropriate insurance and refrain from false advertising. This series documents violations by contractors, and/or home inspectors and roofing contractors for false or misleading advertising, for conducting business without proper registration and/or licensing, and for working without appropriate insurance. The methods for resolving

**Department of Administration**  
**Division of Capital Projects & Property Management**  
**Contractors' Registration Board**  
Records Retention Schedule

Proposed October 2005

these cases span a continuum of increasingly formal procedures, ranging from informal phone discussion, negotiation, and resolution through to formal hearings and orders, and, in the last resort, the assignment of unresolved cases to the Attorney General for criminal prosecution. Finally, these files may contain Action Against Registration (AAR) documentation concerning CRB action against registration/licenses following court judgments against a contractor.

Records consist of individual violation files. The content of these files depends on how far along the continuum of informal and formal remedies the conflict resolution process goes. All files include completed complaint forms and Face Sheets chronicling the case. Depending on the case, the files can also include records of administrative hearings, including notices of hearings, tapes of proceedings, Contractors' Registration Board investigative reports, completed waiving of jury trial forms, board findings and decisions, and correspondence with complainants and respondents, as well as respondent requests for exemptions. Where administrative hearings fail to resolve a case, the file will include copies of a Proposed Order sent to the respondent, and then a Final Order, where the respondent has failed to comply with or to appeal a Proposed Order. Cases that reach the Final Order stage include records documenting a sheriff's serving of a Demand Order. Failures to respond to Demand Orders result in the assignment of such cases and documentation to the Attorney General for criminal prosecution.

**a) Informal Resolution**

Retention: Retain three (3) years.

**b) Resolved Administrative Hearings - Audiotapes**

Retention: Discard after 30 days, unless appeal is filed with Board of Review within that time.

**c) Resolved Administrative Hearing Files**

Retention: Retain five (5) years after resolution.

**d) Resolved Proposed Order Files**

Retention: Retain five (5) years after resolution.

**e) Resolved Final Order Files**

Retention: Retain five (5) years after resolution.

**f) Criminal Prosecutions**

Retention: Retain five (5) years from scheduled date of arraignment.

**g) Unresolved Final Orders**

Retention: Retain ten (10) years from Final Order date.

**h) Action Against Registration (AAR) Files**

Retention: Retain ten (10) years after latest registration renewal.

**CPP1.4 Complaint Files**

The Contractors' Registration Board is mandated with two major functions: compliance and enforcement. This series concerns files related to the enforcement function. The CRB has responsibility for holding all registered or licensed contractors accountable for performance of commercial and/or residential construction-related work in accordance with applicable construction business standards. Claims files may include, but are not limited to employee claims for unpaid wages, subcontractor claims against general contractors, and contractors against subcontractors, homeowner claims against contractors, mechanics' lien claims, and testing claims for unpaid labor or materials supplied in conjunction with a particular structure. The methods for resolving these cases span a continuum of increasingly formal procedures, ranging from informal phone discussion and negotiation through to formal hearings and orders to the assignment of unresolved cases to the Attorney General for criminal prosecution.

Records consist largely of individual homeowners' complaints case files against contractors. The content of these files depends on how far along the continuum of informal and formal remedies the conflict resolution process goes. All files include completed complaint forms and Face Sheets chronicling the case. Depending on the case, the files can also include records of administrative hearings, including notices of hearings and tapes of proceedings. In addition, the files can include Contractors' Registration Board investigative reports, completed waiving of jury trial forms, board findings and decisions, and correspondence with complainants and respondents, as well as respondent requests for exemptions. Where administrative hearings fail to resolve a case, the file will include copies of a Proposed Order sent to the respondent, and then a Final Order, where the respondent has failed to comply with or to appeal a Proposed Order. Cases that reach the Final Order stage include records documenting a sheriff's serving of a Demand Order. Failures to respond to Demand Orders result in the assignment of the case to the Attorney General for criminal prosecution.

**a) Informal Resolution**

Retention: Retain three (3) years.

**b) Resolved Administrative Hearings - Audiotapes**

Retention: Discard after 30 days, unless appeal is filed with Board of Review within that time.

**c) Resolved Administrative Hearing Files**

Retention: Retain five (5) years after resolution.

**d) Resolved Proposed Order Files**

Retention: Retain five (5) years after resolution.

**e) Resolved Final Order Files**

Retention: Retain five (5) years after resolution.

**f) Criminal Prosecutions**

Retention: Retain five (5) years from scheduled date of arraignment.

**g) Unresolved Final Orders**

Retention: Retain ten (10) years from Final Order date.

**h) Action Against Registration (AAR) Files**

Retention: Retain ten (10) years after latest registration renewal.

**CPP1.5 Non-Registered/Non-Licensed Contractor Complaint Files**

The Contractors' Registration Board ensures that all contractors conducting business in the state are properly registered/licensed with the board, carry appropriate insurance, and meet established standards. The records document homeowner complaints lodged against unregistered or non-licensed contractors for violation of construction standards, and homeowners' complaints against those contractors who have performed work while not registered. Files include statement of complaint forms, written contracts, and violation tickets issued to contractors. In addition, the files may include proposed orders and final orders. Finally, the files include Face Sheets, which provide the chronology of actions taken during the case.

**a) Informal Resolution**

Retention: Retain three (3) years.

**b) Resolved Administrative Hearings: Audiotapes**

Retention: Discard after 30 days, unless appeal is filed with Board of Review within that time.

**c) Resolved Administrative Hearing Files**

Retention: Retain five (5) years after resolution.

**d) Resolved Proposed Order Files**

Retention: Retain five (5) years after resolution.

**e) Resolved Final Order Files**

Retention: Retain five (5) years after resolution.

**f) Criminal Prosecutions**

Retention: Retain five (5) years from scheduled date of arraignment.

**g) Unresolved Final Orders**

Retention: Retain ten (10) years from Final Order date.

**h) Action Against Registration (AAR) Files**

Retention: Retain ten (10) years after latest registration renewal.

**CPP1.6 Lapse of Insurance Violations Files**

Rhode Island law (RIGL §5-65) requires that contractors, home inspectors, and commercial roofers carry insurance covering their work. These files concern contractors who have no insurance, or who have allowed their insurance to lapse. Files include notices of lapsed insurance sent to the CRB by insurers, notices of violations, and copies of policy cancellation notices from insurers.

**a) Informal Resolution**

Retention: Retain three (3) years.

**b) Resolved Administrative Hearings: Audiotapes**

Retention: Discard after 30 days, unless appeal is filed with Board of Review within that time.

**c) Resolved Administrative Hearing Files**

Retention: Retain five (5) years after resolution.

**d) Resolved Proposed Order Files**

Retention: Retain five (5) years after resolution.

**e) Resolved Final Order Files**

Retention: Retain five (5) years after resolution.

**f) Criminal Prosecutions**

Retention: Retain five (5) years from scheduled date of arraignment.

**g) Unresolved Final Orders**

Retention: Retain ten (10) years from Final Order date.

**h) Action Against Registration (AAR) Files**

Retention: Retain ten (10) years after latest registration renewal.

**CPP1.7 Invalid Claims (NWJ) Files**

The Contractors' Registration Board receives claims from the public concerning contractor fraud and incompetence. The board is mandated to address those complaints that fall within its jurisdiction and competence. This series documents claims that the board cannot address either for jurisdictional or for procedural reasons, such as late filings or unregistered/unlicensed contractors. Files consist of statement of claim forms that have been improperly filed (e.g. filed after allowable period or concerning contractors or because the claim falls beyond the board's jurisdiction). The files also include copies of contracts between contractors and homeowners.

Retention: Retain three (3) years.

**CPP1.8 Board Minutes of Meetings**

Apart from its role in settling claims through administrative hearings and hearing appeals of Proposed Orders and Final Orders, the Board holds meetings on a regular basis to deliberate over administrative, legislative, and policy matters. Agenda items include approval of minutes of previous meetings, consideration of cases on appeal and oral argument, reports of executive director and staff, report on old business, reports on new business, public comment, and announcements. Records include files and audiotapes documenting these deliberations.

Included are agendas, minutes of meetings, and documentation tabled at meetings. Copies of agendas and minutes are filed with the Secretary of State on a regular basis, as required by law and regulation. The audiotapes record the board's meetings as well as its administrative hearings held on that day. The audiotapes are later used as an aid to completing the official minutes of the meetings.

**a) Audiotapes**

Retention: Destroy or re-use six (6) months after transcription and approval of minutes or proceedings.

**b) Minutes of Meetings**

Retention: Permanent.

**c) All other records**

Retention: Permanent.

**CPP1.9 Sub-Committees Minutes of Meetings and Records**

The board's sub-committees are established to address issues pertaining to legislative action, licensing requirements, forms revision, and profession and trade standards development. The records in this series consist of minutes of meetings, sub-committee documents, and correspondence.

Retention: Permanent.

**CPP1.10 Contractors' Registration Board Database**

The CRB maintains an electronic database that stores tracking and status information on individual contractors. The database spans the years 1989 onwards. The database contains records for each contractor registered or licensed with the board. The database includes the following tables/screens: contractor table includes basic data concerning each contractor (name, address, insurance carrier, insurance policy number, workers' compensation, driver's license number and issuance date), officer table, and voucher table; claim tables, job tables, and investigation table. Database output includes the following screens to track contractor and complaint histories: voucher payments, claim forms, mailed notices, claim description for each claim, complaints, job contract forms, investigation forms, claim status information, claim history, violation forms, and status changes. This data is currently available to the public through a dynamic page on the

**Department of Administration**  
**Division of Capital Projects & Property Management**  
**Contractors' Registration Board**  
Records Retention Schedule

Proposed October 2005

Board's website. Here, members of the public can access a contractor's record by contractor registration number, company name, or contractor name.

Retention: Retain most recent 5 years of data for each contractor.

**CPP1.11 Certificates of Records Destruction**

Certification of Records Destruction forms (PRA 003) 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 records retention schedules. (RIGL §38-1-10, §38-3-6(j), and §42-8.1-10.)

Retention: Permanent.