

DPL Division of Planning

The Division of Planning, established in 1978 (PL 1978, chapter 228 and codified in RIGL § 42-11-10), succeeded the Policy Committee created on December 20, 1963.¹ The Division currently includes three programs: the Statewide Planning Program (consisting of the State Planning Council and the Office of Statewide Planning), the Housing and Community Development Program (consisting of the Housing Resources Commission and the Office of Housing and Community Development), and the Water Resources Board.²

DPL1 State Planning Council

DPL1.1 State Planning Council Meeting Records

The State Planning Council was established by Executive Order # 16 on June 22, 1970 and codified into law by RIGL 42-11-10. Its main purpose is to ensure that a broad range of interests and viewpoints is represented in the state's planning process. The Council consists of members from state agencies and local government as well as public members, as appointed by the Governor (see RIGL 42-11-10(e)). State law (RIGL 42-11-10 (d) requires that the Council prepare a State Guide Plan, which serves to centralize, integrate, and monitor the state and local long-range goals, policies, plans, and related implementation activities. The Division of Planning provides support to the Council.

State law requires the Council's participation in the siting of certain kinds of facilities. Currently, these include solid waste disposal facility sitings, which must obtain certificates of approval from the Council (RIGL § 23-18.9-9); major energy facility sitings, which require Council advisory opinions (Energy Facility Siting Board, RIGL § 42-98-9), and water transmission and intersystem facilities, which require Council approval (Water Resources Board, RIGL § 45-15.2-4(d).) Another major example is determining the consistency of projects of the Economic Development Corporation and its subsidiaries with the State Guide Plan (RIGL 42-64-14).

The State Planning Council also serves in various other capacities as the state representative for purposes related to responding to federal requirements, particularly in the areas of state transportation planning and economic development. In 1962, Congress enacted legislation requiring the establishment and federal funding of state Metropolitan Planning Organizations (MPOs). MPOs are state transportation policy-making organizations made up of representatives from the state's local government and governmental transportation authorities. The State Planning Council was designated as the MPO for Rhode Island by letter of the Governor dated February 21, 1974, and reaffirmed by letter of the Governor dated June 9, 1992. As Rhode Island's State Metropolitan Planning Organization, the Council has responsibilities related to state transportation planning. The purpose of the state

¹ The predecessor of the Division of Planning was the Policy Committee of the Rhode Island Comprehensive Transportation and Land Use Planning Program, as established by Section 3 of the Inter-Agency agreement between the Rhode Island Development Council and Department of Public Works dated May 27, 1964, as amended on March 25, 1965 (Rhode Island Public Transit Authority) and on July 12, 1965 (Department of Business Regulation).

² The Water Resources Board has a separate schedule, which was completed before it was merged with the Division of Planning in 2011.

MPO is to ensure that state transportation projects and programs receiving federal funds are based on a continuing, cooperative, and comprehensive planning processes. The MPO reviews and approves several types of projects and plans. These include the annual Unified Transportation Planning Work Program, the Long Range Transportation Plan, and the four-year program of transportation investments, known as the Transportation Improvement Program (TIP).

The Council, in conjunction with two of its committees, also serves as Rhode Island's Comprehensive Economic Development Strategy (CEDS) Committee. CEDS is a federal program of the Department of Commerce's Economic Development Administration (EDA).³ Pursuant to the Public Works and Economic Development Act of 1965 (42 U.S.C. § 3162), the EDA administers a CEDS grant program, which is designed to bring together the public and private sectors in the creation of an economic roadmap to diversify and strengthen state and regional economies. Under this program, the Statewide Planning Program calls for local and regional entities to develop and submit project proposals to use federal funds to implement some of the state's long-range economic development objectives and policies. The Division develops and coordinates a review process in order to make recommendations to the CEDS Committee (i.e. the Council). The CEDS Committee evaluates applications and endorses projects that then become eligible for grants from the federal Economic Development Administration.

This record series consists of documentation of the Council's actions, including records related to its several roles for purposes of various federal programs requirements (e.g. MPO and CEDS.) It includes the State Guide Plan as well as Council agendas, minutes of meetings, public notices and related reports, advisory opinions, decisions and orders, hearing records, project approvals, and certifications of planning consistency (with the State Guide Plan) for a wide variety of government projects and plans submitted to the Council for its consideration. The minutes also include a range of advice and recommendation documentation submitted to the Council by the Division of Planning. The Council also receives advice, assessments, and recommendations on projects, plans, and studies from the Council's standing and temporary advisory committees (See Series 1.2, below). All of the above documentation is filed with the appropriate Council meeting minutes file.

Retention: See GRS1.7 Meeting Minutes.

DPL1.2 State Planning Council Advisory Committees Records

The State Planning Council has several advisory committees to assist it in its work. These include permanent and standing committees as well as special, temporary advisory committees. These committees are made up of a membership appointed by the Council to represent diverse interests and viewpoints as required in the state planning process and in the preparation or implementation of plans. State law (RIGL § 42-11-10(f)(5)) requires that the Council establish a permanent committee comprised of public members from different

³ Originally known as the Overall Economic Development (OED) Program (April 29, 1971), the EDA renamed the OED program "Comprehensive Economic Development Strategy" program in 1999.

geographic areas of the state representing diverse interests as well as officials of state, local, and federal government. The permanent committee is known as the Technical Committee.

The Council's regulations also call for the establishment of a standing Transportation Advisory Committee. This committee was established to assist the Council with setting goals, identifying issues, analyzing the advantages and disadvantages of alternative courses of action, evaluating impacts, recommending policies, strategies, or projects, and monitoring progress or results of actions taken. Also required by law is The Rhode Island Geographic System Executive Committee (RIGL § 42-11-10(f)(6)) In addition to the above, state law authorizes the Council to establish temporary special advisory committees, as required. These committees perform various state planning activities in support of the Council's pursuit of its mission. Special committees are appointed to assist the Council, standing committees, or staff in a specific functional or operational area, and usually for a limited period of time. All advisory committee advice and recommendations documents are filed with the State Planning Council's records.

This record series may include agendas, minutes of meetings, public notices, and related correspondence, public hearing records, application documentation, and advisory opinions and recommendations.

a) Standing Committees records

Retention: Permanent.

b) Special, Temporary Committees records

Retention: Permanent.

c) RIGIS Executive Committee records

Retention: Permanent.

DPL2 Office of Statewide Planning

This office serves as the principal staff to the State Planning Council. Statewide Planning is subdivided into several units responsible for transportation, land use, comprehensive and consistency planning and review, and a planning information center. Each unit is responsible for preparing materials, reviewing documents, conducting research, and coordinating various aspects of the state planning process specific guidelines, standards, strategies, programs, and findings, and they also in support of the State Planning Council. They recommend to the State Planning Council prepare drafts of and guidance on the adoption, revision, and updating of the State Guide Plan.

DPL2.1 Program Reports, Technical Reports, Studies, Issue Briefs, and Guides

The Statewide Planning Program prepares a variety of reports. Program Reports are detailed topical reports that usually include policy guidance. The State Planning Council may adopt program reports as elements of the State Guide Plan. Statewide Planning also prepares Technical Reports, which are a series of numbered papers that are used to present technical information -- data and data analysis as well as issues, patterns, trends, and forecasts --

derived from various studies performed by staff. Technical Reports are frequently prepared to support the work of developing or revising elements of the State Guide Plan; however, since they do not usually contain policy statements, they do not go through the State Planning Council's approval process prior to release.

In addition to Program Reports and Technical Reports, the office also produces a wide variety of other reports, studies, and background documents for various purposes that complement, supplement, summarize, or publicize an element, or a particular aspect of an element, of the State Guide Plan. Other material may advise policy-makers, provide census analysis, or offer technical assistance or guidance. This series also includes various working documents such as reference materials, preliminary data, and working document drafts of materials in preparation for completion of various final reports and studies.

Retention: Retain one copy permanently.

DPL2.2 Local Comprehensive Plan Consistency Review Records

Since 1972, Rhode Island has required all its municipalities to have local comprehensive plans. The 1988 Rhode Island Comprehensive Planning and Land Use Regulation Act (RIGL § 45, Chapter 22.2) as amended (the Act) established a standardized comprehensive planning program. The Act describes local comprehensive plans as statements (in text, maps, illustrations, or other media of communication) designed to provide a basis for rational decision-making regarding the long-term physical development of municipalities. The Act also established uniform requirements for plan contents, a new municipal approval process, and requirements for State standards setting, review, and approval. The plans address “future land use, which considers development in the context of land capability, protection of natural resources, promotion of a balance of housing choices, economic development, as well as the preservation and protection of open space, recreational, historic and cultural resources, and the orderly provision of facilities and services.”

Under RIGL § 45-22.2, the chief of the Statewide Planning Program is responsible for coordinating the review and approval of local comprehensive plans and amendments. Plans must also be updated or revised within statutorily specified periods of time. Plans and amendments to plans are reviewed to ensure that the goals of the Act have been met. This involves ensuring that all required elements of the plan are complete, and that all plans, elements and amendments are consistent with all relevant elements of the *State Guide Plan*. The chief is also responsible for ensuring that each municipality's plan is compatible with the goals and policies of the state, its departments and agencies, and also with the plans of contiguous municipalities. As part of the review process, therefore, Statewide Planning also solicits comments from regional and state agencies, contiguous municipalities, and other interested parties. Records include local comprehensive plans, periodic required reports on plan implementation, the chief's findings, and related correspondence.

Retention: Retain while the local comprehensive plan is in effect, plus ten (10) years.

Note: Each town retains a permanent copy of its Local Comprehensive Plan as per LG11.3 Comprehensive Community Plans

DPL2.3 Intergovernmental Review (IGR) of Federal Grant Applications and Direct Federal Actions

Federal Executive Order 12372 establishes an “Intergovernmental Review of Federal Programs” (IGR) process. This Order requires the federal government to include consultation of state and local governments and affected communities in two kinds of project reviews. These include reviews of planned federal actions to be undertaken in each state (“Direct Federal Actions” and Army Corps of Engineer projects and permits) and, second, applications for federal funding for selected activities and projects. Gubernatorial Executive Order number 83-11 designates the Statewide Planning Program as the Single Point of Contact (SPOC) / Clearinghouse Coordinator to administer Rhode Island’s project review process. The Division reviews applications and solicits comments from state and local officials and agencies as well as private organizations and stakeholders that may be affected by a proposed federal activity or project. Meetings may also be held to resolve outstanding issues.

The records include Division of Planning assessments, copies of completed grant applications and supporting project summaries, environmental impact statements, project narratives, maps, and site plans, comments from solicited stakeholders, meeting notes, and associated correspondence with grant applicants and grant-reviewing parties and, finally, recommendations forwarded to the applicant and/or federal agency.

Retention: Retain three (3) years.

Note: Record copies of grant application files exist with grant applicants. **(LG2.8.9 Grant Files)**

DPL2.4 Interagency Advisory Reports, Findings, and Recommendations

State law, executive order, State Guide Plan provision, or voluntary agreement may result in requests for State Guide Plan consistency or other types of evaluations that do not go through the State Planning Council. For example, RIGL 37–6–2(b) 4 states that the State Properties Committee must consult the Division of Planning concerning the evaluation of State office leasing proposals. The records in this series consist of planning and project proposals received from state agencies, Statewide Planning evaluation documentation, and related working documents.

Retention: Retain five (5) years after completion of audit.

DPL2.5 Working Documents

This series includes reference materials, working drafts, and data collected during the preparation and processing of documents in Series DPL2.1, DPL2.2, DPL2.3, and DPL2.4.

Retention: Retain three (3) years.

DPL2.6 Aerial Images

The Office of Statewide Planning houses several sets of aerial images representing various geographical locations and features in Rhode Island. The images consist of sets of photopositive photographs made intermittently between 1939 and 1992 (1938, 1951-52, 1962 (partial), 1972, 1976, 1981, 1988, and 1992). These photographs were taken by private aerial photography services, except for the 1951-52 photos, which were taken by the Directorate of Intelligence, US Air Force. Also included are several sets of photonegatives and images on Mylar, which were produced using the same techniques as the aerial photographs.

Retention: Permanent.

DPL3 Housing and Community Development Program

DPL3.1 Housing Resources Commission Records

The Rhode Island Housing Resources Commission (HRC) was established by statute in 1998 (RIGL 42-128). It is an agency within the Division of Planning with responsibility for developing plans, policies, standards, and programs and providing technical assistance for meeting the housing needs of Rhode Islanders. It is also mandated to identify opportunities for housing-related financial assistance made available by agencies of the federal government. The HRC's membership includes representatives from the financial, real estate, housing construction, and legal services sectors as well as individuals from public corporations, non-profit home placement services (such as Rhode Island Housing) and housing organizations advocating for various communities. The Commission's membership also includes representatives from state agencies and local government, including officials from the Division of Planning. The chief of the Division of Planning's Office of Housing and Community Development (see **DPL3.4**) also serves as the HRC's executive director. The records include minutes of meetings and supporting documentation

a) Non-substantive correspondence and memoranda, and correspondence requiring no response

Retention: Retain one (1) year.

b) All other correspondence

Retention: Permanent.

c) Program establishment and development records

Retention: Permanent.

d) Meeting records

Retention: See GRS1.7 Meeting Minutes.

DPL3.2 Interagency Council on Homelessness Records

The Rhode Island Interagency Council on Homelessness (RI-ICH) was established by Executive Orders in 2005 and 2007, after being authorized as an agency in 2005 (RIGL 40-17-2.) Its purpose is to address homelessness by bringing together executive level personnel

from state agencies as well as non-governmental entities to develop and implement strategies and programs for assuring a coordinated, effective response to reducing homelessness. The Office of Housing and Community Development (OHCD) (see DPL3.4) is responsible for providing space and operational support for the Council (Interagency Council on Homelessness Memorandum of Agreement, June 21, 2011, between HRC/OHCD, Corporation for Supportive Housing, Rhode Island Housing, and the United Way of Rhode Island.) The Chair of the RI-ICH is the Chief of the Office of Community and Housing Development.⁴

The records consist of meeting minutes and supporting materials as well as correspondence.

a) Non-substantive correspondence and memoranda, and correspondence requiring no response

Retention: Retain one (1) year.

b) All other correspondence

Retention: Permanent.

c) Program establishment and development records

Retention: Permanent.

d) Meeting records

Retention: See GRS1.7 Meeting Minutes.

DPL3.3 Continuum of Care Records

The Continuum of Care (CoC) comprises a set of federal competitively awarded programs created to address the problems of homelessness in a comprehensive manner. The programs currently include the Supportive Housing Program (SHP), the Shelter Plus Care (S+C) Program, and the Section 8 Moderate Rehabilitation Single-Room Occupancy (SRO) Program. Since 1994, the federal department of Housing and Urban Development (HUD) has required stakeholders within each community to come together to annually submit a single comprehensive, coordinated Continuum of Care (CoC) application for competitive federal housing grants rather than allowing individual providers in a community to each submit a separate application for funding. Thus, HUD's Continuum of Care program describes a planning process around which states are encouraged to form organizations to carry out continuous and coordinated community planning and to update homelessness related plans and data. Due to its small geographic extent, Rhode Island is a single Continuum of Care community, with one CoC organization. The 1998 statute creating the HRC also required the establishment of an Office of Homelessness Services and Emergency Assistance (RIGL § 42-128-9.) This office carries out the HRC's homelessness policy and coordination responsibilities, including the state's CoC responsibilities. The CoC consists of representatives from seven standing committees and includes a wide representation from public and private organizations, service providers, and homeless sub-populations. These individuals meet to review annual objectives and to ensure they are being met. At quarterly

⁴ The RI-ICH Web location is currently the HRC web site.

meetings of the Office of Homelessness, committees review their progress and receive support and suggestions to further their work. Rhode Island Housing (Rhode Island Home Mortgage and Financing Corporation) serves as the state's lead applicant to HUD for funding of homelessness programs falling under the Continuum of Care. The HRC's Office of Homelessness provides staffing for the CoC to ensure coordination with other homelessness efforts, whenever possible.

The Housing Resources Commission is the lead applicant for CoC funding. However, RI Housing handles the fiscal agent and program administration responsibilities. Most CoC records are maintained at RI Housing. The Office of Homelessness establishes the format for conducting meetings, develops meeting agendas, protocols, and conflict resolution procedures, defines roles and responsibilities, maintains group process and ensures a continuing focus on goals, objectives, and action steps, and undertakes various studies and projects. The records may consist of minutes of meetings, grant files, federal reports, and monitoring and progress reports on statewide homelessness programs.

a) Non-substantive correspondence and memoranda, and correspondence requiring no response

Retention: Retain one (1) year.

b) All other correspondence

Retention: Permanent.

c) Program establishment and development records

Retention: Permanent.

d) Meeting records

Retention: See GRS1.7 Meeting Minutes.

e) Grant files

Retention: See GRS1.18 Grant Program Files.

f) Plans, reports, and studies

Retention: See GRS1.5 Annual Reports and GRS1.6 Special Plans, Publications, Studies and Reports.

g) Policy records

Retention: See GRS1.1 Correspondence and Memoranda and GRS1.3 Policies and Procedures.

DPL3.4 Federal Homelessness Grant Program Application Records

This series concerns involvement of the Office of Housing and Community Development (OHCD) in applications for federal funds to address homelessness in Rhode Island. The OHCD was established as part of the Division of Planning in 2005 to consolidate the state's homelessness programs, and to coordinate their implementation with the Strategic Housing element of the State Guide Plan (See **DPL2.1**). The OHCD's principal homelessness

responsibilities include supporting the state's local emergency housing agencies combined with programs to prevent homelessness, and to help the homeless to transition to permanent housing. The state's homelessness programs depend largely on federal grants. These grant programs, embodied in federal legislation, vary over time as housing conditions and needs change across the country. Thus, the OHCD's organizational structure and homelessness programs may fluctuate in response to the establishment and closure of federal housing and homelessness funding programs, and the HRC's identification of new sources of funding.

The OHCD serves in two roles with respect to the state's homelessness programs. First, it serves as an applicant for and recipient of federal government formula and competitive housing grants, largely from HUD. Depending on the federal grant program's eligibility and application requirements, the OHCD may serve in a lead or contributory role, and sometimes enters into various partnerships with other entities, including other state agencies, cities and towns, and private not-for-profit organizations. When OHCD is the lead agency, it serves as the state's grant applicant and prime recipient of awarded federal funds. Second, it also administers and distributes HUD grant funds to various local homelessness agencies with whom it enters into contracts for the delivery of services (DPL3.3). This series concerns its function as state applicant for federal grant funding.

A long-term *Consolidated Plan* and an *Annual Action Plan*, both required by HUD, and drawing on work from the Housing Resource Commission's Continuum of Care (See DPL3.3) serve as plans to address the state's housing issues. The *Consolidated Plan* is a three-to five-year strategy for implementing HUD formula-funded grant programs. The *Annual Action Plan* simultaneously serves to update the Consolidated Plan and also constitutes the state's annual application to HUD for Emergency Solutions Grant funding and for Community Development Block Grant Program grants, (as well as for several other state housing and homelessness programs with which the OHCD is not associated.)⁵

Several homelessness grant programs arise out of the 2009 federal HEARTH Act (Housing Emergency Assistance and Rapid Transition to Housing Act). This act encompasses the Emergency Shelter Grant program and Homelessness Prevention and Rapid Re-Housing Program (HPRP). The OHCD is responsible for developing those parts of the state application for funds made available competitively through the ESG and HPRP programs. The funds under this program are intended to target individuals and families who are homeless or at imminent risk for homelessness. These programs are also designed to reduce homelessness among particular groups such as low to moderate-income individuals and families, veterans, individuals with disabilities, and people with AIDS by providing local service agencies with the funding needed to deliver services to these homeless populations. The records in this series include homelessness-planning documents/ grant applications, and

⁵ The 2010-2015 Plan serves as an application for the Community Development Block Grant Program (CDBG), HOME Investment Partnership Program (HOME), Emergency Solutions Grant Program (ESG) (formerly "Emergency Shelter Grant" Program), and the Housing Opportunities for Persons with AIDS Program (HOPWA). The Consolidated Plan also serves as a broad planning document that sets priorities for allocating funding received through these programs throughout Rhode Island.

supporting documentation, correspondence with partner applicants, and various performance, financial, and other reports prepared in response to federal requirements.

a) Special plans, publications, studies and report

Retention: See GRS1.6 Special Plans, Publications, Studies and Reports.

b) Grant files

Retention: See GRS1.18 Grant Program Files.

DPL3.5 Local Homelessness Funding Application Process Records

This series covers records relating to OHCD's administration and distribution of federal funding to local homelessness organizations. The OHCD, as prime recipient of grant funds under certain federal homelessness assistance programs (See **DPL3.4**), reviews applications and makes awards to local applicant sub-recipients (state or local government agencies, local housing authorities, and private non-profit organizations) for the delivery of eligible homelessness - related services. Sub-recipients may, in turn, contract with other organizations and enterprises for the provision of shelter programs and related services. These projects may be designed to reduce homelessness among specific groups - for example, low to moderate-income individuals and families, veterans, disabled individuals, and people with AIDS. The Emergency Solutions Grant program funds may be used for renovation of emergency shelter facilities and for the operation of those facilities, as well as to finance support services for the shelter residents (including case management, child care, education, employment assistance and job training, legal, mental health, substance abuse treatment, transportation, and services for special populations). Under the federal Homelessness Emergency Assistance and Rapid Transition to Re-Housing Act (HEARTH) both components – Homeless Prevention and Rapid Re-Housing - fund relocation and stabilization services (including rental application fees, security deposits, utility deposits or payments, last month's rent and housing search and placement activities). Funds may also be used for short- or medium-term rental assistance for those who are at-risk of becoming homeless or transitioning to stable housing.

The HRC/OHCD is also part of a partnership (as of 2012) known as the Consolidated Homeless Fund Partnership (CHF). This partnership's membership consists of OHCD and Rhode Island's entitlement cities, that is, those communities that meet or exceed certain population and other HUD criteria (currently Providence, Pawtucket, and Woonsocket).

Managed by the HRC's Office of Homelessness, the partnership members jointly solicit grant applications from local agencies for available Emergency Housing funding. These funds are specially designated for entitlement communities by the terms of the federal grant obtained under the Annual Action Plan. By this means, it develops consistent policies and procedures to allow for more effective and efficient programs and services across state and municipal boundaries. (The state's non-entitlement, "small city" communities may also apply to the OHCD separately for HUD funds set aside for them.) The CHF partnership may also use federal funds to issue requests for proposals for particular projects and services on an as-required basis.

The records in this series include documentation of CHF and other sub-recipient applications to HRC/OHCD for federal grant funds. Records include Memoranda of Agreement with entitlement cities; documentation of applicant eligibility, proof of local government authorization for the program as well as information about local collaborative partners, other sources of funding, sub-recipient program policies and procedures; target population and geographic area served; agency capacity and experience; proposed program budgets, correspondence with agencies involved in developing the applications and OHCD application materials, documentation and certification of individual client eligibility; and award letters and facility inspection checklists and data. Files may also contain requests for proposals, vendor contracts, on-site inspection reports and certifications; sub recipient financial records, requests for payment forms, requisitions and general ledgers, and HUD Drawdown requests.

Retention: See GRS1.18 Grant Program Files.

DPL3.6 Homeless Management Information System Records

Congress directed HUD to work with jurisdictions receiving federal grant funding to gather data on homelessness by 2004. HUD developed a Homeless Management Information System (HMIS) to fulfill this requirement. Rhode Island launched its HMIS in July 2003. The HMIS is the data gathering, analysis and reporting mechanism for federally funded homelessness programs. The HMIS provides a web-based interface for data entry. HUD's grant eligibility requirements for funding include a demonstration of ability to participate in the HMIS system. The HMIS consists of client-level data collected and entered into the system by individual agencies that run emergency shelters, transitional housing, and permanent supportive housing.

The Rhode Island Coalition for the Homeless (RICH) acts as the lead HMIS agency. As a prime recipient (a principal federal grantee) and distributor of homelessness-related federal grants funds in Rhode Island, however, OHCD supports the collection of HMIS data, and periodically validates data entered into the HMIS by sub-recipients. This data also helps the Continuum of Care (see DPL3.3) to identify and substantiate the state's requests for CoC program funding. It also draws on this information to produce standard and customized HMIS homelessness prevention and rapid re-housing reports for each of the homelessness grant programs. These may include reports required by federal legislation, for example Electronic Streamlined Non-Competing Award Process reports (eSNAP) for HUD's Homelessness Applications and Grants Management System, as well as "1512" reports to FederalReporting.gov on job creation required by the American Reinvestment and Recovery Act. These reports contain information on client populations, levels of service usage, and performance outcomes. The series includes data about individual organizations delivering services (name, site information, bed capacity, target populations); program type (Emergency Solutions/ HPRP, and other homelessness programs not managed by OHCD); "universal data elements" recording details of individual client personal identification (name, gender, veteran status, ethnicity, and housing status); and client history information (income sources and benefits, disabilities, health condition, mental health, domestic violence, substance abuse, HIV/AIDS).

a) Quarterly and annual reports (E-SNAP)

Retention: Permanent.

b) All other data

Retention: The Division of Planning's Housing program is not responsible for the retention of data used to generate reports. The staff of the Rhode Island Coalition for the Homeless administers the HMIS system.

**DPL3.7 Community Development/Neighborhood Stabilization Program
/Historic Preservation Grant Records**

The records in this series cover OHCD's management, administration, and distribution of various pools of federal funding for neighborhood housing and community development programs, including funds periodically designated for rebuilding communities. OHCD is involved in federal programs whose purpose is to promote the stabilization, revitalization, and redevelopment of communities and neighborhoods experiencing economic and social distress. For this purpose, the OHCD receives federal formula funding targeting community development under the Community Development Block Grants program (CDBG). CDBG forms one component of the state's consolidated application to HUD. The state distributes these funds to units of general local government and not directly to citizens or private organizations. Using federal data on population, poverty, incidence of overcrowded housing, and age of housing, OHCD develops a matrix to identify and rank the state's eligible communities according to their level of need. The OHCD, however, has discretion to distribute funds partly on an "entitlement" basis and partly on a competitive basis.

Funds are available for a broad range of activities, including acquisition of property for public purposes; construction or reconstruction of streets, water and sewer facilities, neighborhood centers, recreation facilities, and other public works; demolition and rehabilitation of public and private buildings; enhancement of public services; planning activities; assistance to nonprofit entities for community development activities; and assistance to private, for profit entities to carry out economic development activities (including assistance to micro-enterprises). Several other more specific programs fall under the umbrella of CDBG grants. The CDBG-Disaster Recovery (CDBG-DR) grant program specifically supports recovery from presidentially declared disasters – the floods of 2010 and Hurricane Sandy. It provides "necessary expenses related to disaster relief, long-term recovery, and restoration of infrastructure, housing, and economic revitalization..." Disaster-related activities are those that are able to demonstrate a logical connection between the impacts of the covered disaster and the activity's contribution to community recovery.

The Neighborhood Stabilization Program (NSP) was initiated in 2008 in response to the national home foreclosure crisis. It is administered under the regulations established for the CDBG program. NSP is a federal program established for the specific purpose of revitalizing and stabilizing communities hardest hit by residential foreclosures and abandonment. Funding has been made available to states and Entitlement Communities by the federal government through three rounds of NSP formula-based grant funding.⁶ The

⁶ Funding has so far been made available to the states under three rounds of NSP formula-based grant funding, each round authorized by successive federal legislative acts (Housing and Economic Recovery Act of 2008, the

State of Rhode Island has received NSP1 and NSP3 funding. The NSP program's objective is to increase the availability of affordable homes and rental housing and community infrastructure by providing financing to support developers' cost of purchase and redevelopment of foreclosed and abandoned homes and residential properties. Projects that have the greatest impact in areas with the highest level of need receive priority. Other factors considered in the review process include: capacity of the applicant to undertake the proposed project; feasibility of the project; timeliness of the project to expend funds in accordance with NSP regulations, and other resources projects, which leverage NSP resources, will receive priority consideration. Detailed NSP project files are maintained by these organizations. Documentation retained by OHCD may include plot plans, property deeds and evidence of site control, letters of funding commitment, local board resolutions authorizing applications; photographs of property; marketing plans, environmental review documentation, invoices and payment requests, client population information, and forms related to affirmative housing.

Both the Disaster Recovery (CDBG-DR) and Neighborhood Stabilization Programs (NSP) are supplemental allocations, meaning that they have been funded for a given year only and are not ongoing programs like CDBG.

Finally, the OHCD administers a federal Department of Agriculture Housing Preservation Grant (HPG) Program. This program focuses on rural regions of the state, as defined by the Department of Agriculture. It provides assistance to homeowners to help cover the cost for the repair or rehabilitation of individual housing, rental properties, or co-ops owned and/or occupied by very low- and low-income rural persons. As in the CDBG program, communities submit applications to OHCD for assistance for HPG assistance, with the majority of project files maintained locally.

The records maintained by OHCD for the CDBG, NSP, and HPG programs may include, but are not limited to, applications and supporting documentation; requests for proposals from local agencies and organizations, various Environmental Requests for Release of Funds and documentation; correspondence from eligible applicants; documentation from parties designated to review applications, and training materials for prospective applicants. The files may also include applicant budget documentation; documentation of local citizen participation in the application/project development process; decision letters, contract documents, minutes of meetings, financial accounting records; monitoring and compliance documentation (for example compliance with labor standards and environmental requirements); contracts with municipal authorities acting on behalf of applicants. Also included may be copies of "1512" reports to FederalReporting.gov. on job creation required by the American Investment and Recovery Act, progress reports and final performance reports sent to HUD; and unsuccessful grant applications from housing developers, community development corporations and non-profits. Also included is documentation pertaining to temporary or permanent displacement of individuals and families as result of HPG-related projects.

American Recovery and Reinvestment Act of 2009, and the Consumer Protection Act - Dodd-Frank Act of 2010.)

a) Federal competitive grant application records

Retention: See GRS1.18 Grant Program Files.

b) NSP plans and reports

Retention: Permanent.

c) Records of local applications to OHCD

Retention: See GRS1.18 Grant Program Files.

DPL3.8 Integrated Disbursement and Information System (IDIS)

IDIS is a nation-wide HUD database. It is a real-time, mainframe-based computer application that provides up-to-date information on HUD programs. It serves principally as a financial management system that supports several federal housing programs, including the CDBG program, HOME, and ESG programs. It allows HUD to track expenditures by activity type. The state or local governments determine which of the eligible activities under each of these grant programs will best serve the needs of their community. The Consolidated Plan and Annual Action Plans⁷ (see DPL3.3) preparation is partly based on IDIS data.

The IDIS, in addition, to being a planning tool, enables grantees to request installments of grant funding from HUD. OHCD uses the IDIS to draw program funds, which the state then distributes to sub-grantees of federal (Community Housing and Development (CPD) formula grant programs, including the OHCD's ESG and CDBG. HUD also requires that the state report accomplishment data on activities completed using the funds. This might include jobs created, individuals served, housing units created or assisted. As a primary grantee, the OHCD provides current information regarding homelessness prevention, rapid re-Housing, administration, and data collection and evaluation activities as required by HUD. The OHCD prepares activity reports based on IDIS-entered data.

Retention: IDIS is administered and maintained by the Federal Government.

DPL3.9 State Housing Grant Program Records

In addition to administering federally funded housing programs, the HRC/OHCD also receives state funds (or administers them on behalf of other state entities) for certain state housing-related programs. This series covers records documenting these state funded housing programs. Building Homes Rhode Island provides bond-financed state funds for the construction, rehabilitation, and operation of affordable homes and apartments. The HRC issues requests for proposals for construction and renovation work. Eligible applicants include developers, non-profit organizations, and community housing development organizations; private for-profit entities, limited partnerships, any of the state's incorporated cities and towns, Public Housing Authorities, Redevelopment agencies and any joint venture including one of these entities. The HRC reviews applications for completeness and then sends copies to Rhode Island Housing (Rhode Island Housing and Mortgage Financing Corporation), which determines eligibility and conformance with certain threshold

⁷ HUD. A Desk Guide for Using IDIS to Prepare the *Consolidated Plan*, the *Annual Action Plan*, and CAPER/PER

requirements, and to the Historic Preservation Commission, which reviews all properties that are of historic significance. The Division of Planning staff also reviews applications for consistency with relevant elements of the State Guide Plan (see DPL1.1), and for consistency with local comprehensive plans (see DPL2.2).

Applications from eligible developers include company identification information, resolutions of the Board of Directors, Owner, or other governing body of the applicant authorizing submission of the Proposal, descriptions of the proposed development, a site plan and preliminary schematic plans, evidence of ownership or site control, identification and evidence of other financing commitments, evidence of compliance with local zoning and environmental regulations where applicable or identification of applicable requirements for which the developer will need permitting, and a proposed project schedule; anticipated project completion date, projected date for commencement of rehabilitation or construction activities, development schedule, project budget and personnel information. The records consist of HRC review materials and decision letters, developers' proposals and supporting documentation, including, but not limited to, site plans, architectural and contractor plans, company profile information, financing documents, budgets, insurance documentation, HRC site visit documentation, and correspondence with other application reviewers, and related correspondence with stakeholders. (Rhode Island Housing oversees the administration of the project implementation once awards have been made.)

A second state-funded program, the Neighborhood Opportunities Program (NOP), was established in 2001. The NOP aims to increase the availability of decent, safe, sanitary and affordable rental housing to eligible low and moderate income or physically disadvantaged individuals and families, and to provide funding to revitalize local neighborhoods. It does this by subsidizing developers' cost of acquisition, construction, or rehabilitation of rental housing. It also supports neighborhood revitalization by contributing funding for the rehabilitation of vacant buildings or lots and providing gap financing to assist in the redevelopment of vacant or underutilized commercial or industrial properties; for acquiring, developing, constructing, rehabilitating, or replacing commercial, mixed-use or community projects that enhance neighborhood revitalization. The program consists of several pools of dedicated funding, one for the production of units of permanent affordable rental housing for disabled families and individuals with very low income who are homeless or at risk of being homeless; a second pool to provide gap financing and operating support for the acquisition, construction, or rehabilitation of rental housing to ensure rents are affordable to individuals and families working at or near minimum wage, and a third to provide gap financing to acquire, clear, develop or rehabilitate vacant buildings or lots.

Eligible applicants for NOP funding include non-profit organizations with 501(c) 3 status, community housing development organizations, and private for-profit entities, limited partnerships, any of the state's incorporated cities and towns, and public housing authorities. This funding allows building owners to set rents at levels that are affordable to low-wage families or those with disabilities. OHCD participates in the NOP Funding Committee, which makes recommendations for funding to the Commission. The HRC designated Rhode Island Housing to administer and monitor these programs to ensure compliance with the requirements set forth in the applicable regulations. Program records are maintained by RI

Housing. Records may include, but are not limited to, Requests for Proposals, applications and supporting documentation from eligible applicants. Decision letters site visit reports, correspondence from review assessment partners., and contracts with entities awarded funding, periodic progress reports, and site inspection documents.

Retention: See GRS1.18 Grant Program Files.

DPL3.10 State Housing Acquisition and Rehabilitation Program (SHARP) Records

Under the state's Housing Acquisition and Rehabilitation Program (SHARP), CDBG funding is made available to non-entitlement (small city) communities to acquire and hold undeveloped real estate, vacant lots, developed properties, or a combination, for ultimate use as one to four units of affordable housing for nonprofits for up to twelve months. This program, administered by Housing Network RI's Community Housing Land Trust, provides loans enabling communities and their subgrantees to purchase and rehabilitate properties to be used as affordable housing in perpetuity. The program may be coupled with pre-agreement and/or a pool of funds to provide for the "gap" between the program income that can be generated through the sale of the property as affordable and the Interim Financing assistance. Program Funds and applications are approved and funded by OHCD using its pool of CDBG funding. The records consist of Housing Network application packages for approval and funding, decision letters, contracts, and requisitions for payment.

Retention: See GRS1.18 Grant Program Files.

DPL 3.11 Lead Inspection Records

The Housing Resources Commission serves as the lead state agency for lead hazard mitigation. This responsibility (currently with the Commission's Office of Healthy Housing) involves the implementation of the requirements of the state's Lead Hazard Mitigation Act (RIGL § 42-128.1). This involves a certification program for lead hazard mitigation. State laws and regulations require that homeowners and landlords take steps to have their property inspected for conformity to various standards as well as regulatory and legal requirements in order to obtain Certificates of Conformance. A Certificate of Conformance is proof that a unit has met the requirements of the Lead Hazard Mitigation Law. This means that a Licensed Lead Inspector or Lead Inspector Technician has performed an Independent Clearance Inspection on a property and that any lead hazards on the property have been corrected. It does not mean that the property is free of lead but rather that the property does not currently pose a hazard to tenants. Where conditions have not been met, inspectors are required to submit a written report to the HRC. Previously issued Certificates of Conformance must accompany these reports (Lead Hazard Mitigation Clearance Inspection Reports.) Documentation submitted may also include evidence that the owner has taken a lead hazard mitigation seminar, and documentation of results of any ordered test results provided by (Department of Health-approved) lead-testing laboratories. Under the Lead Hazard Mitigation Law, individual who own ten or more rental housing units must either get a Certificate of Conformance for each individual rental unit or, if they meet certain eligibility requirements, a Certificate of Presumptive Compliance for some or all of rental units. Lead inspection records kept at the HRC also include other kinds of certifications,

including, Independent Clearance and Affidavits of Completion of Visual Inspections. The HRC's lead inspection records are organized by inspector, company, and year. With the exception of the one year period of validity for Presumptive Compliance certificates, all inspection certifications remain valid for two years, or until units receive new occupants, whichever is sooner.

a) Certificates of Presumptive Compliance

Retention: Retain three (3) years.

b) All other certification documentation

Retention: Retain three (3) years.

DPL3.12 Lead Hazard Complaint Records

Tenants who receive no satisfaction from owners to whom they have sent an HRC-approved Notice of Deteriorating Conditions (chipping, peeling, cracking, chalking paint) can file a complaint with the HRC. The HRC reviews the case, may conduct an investigation, and then, if warranted, sends a notice of violation to property owners. If the owner fails to take corrective action within 30 days, the HRC issues a second notice of violation and also files a complaint with the city or town pursuant to the Housing Maintenance and Occupancy Code. Copies of the second notice are also sent to the Department of Health and the Office of the Attorney General. The HRC may recover the cost of inspections and filings from the property owner found to be in violation of the Lead Hazard Mitigation Standards. Records may include, but are not limited to, completed notices of deteriorating condition forms, notices of violation, inspection documentation, and monetary recovery documentation and related correspondence with tenants, property owners, and municipalities.

Retention: Permanent.

DPL3. 13 Lead Hazard Mitigation Training Provider Certification Records

In order to obtain certification as a training provider for the Lead Hazard Awareness Seminar or for Mitigation Inspector Training, individuals must submit an application to HRC for review, and then complete courses approved by the HRC. The application must include the required information in the HRC's prescribed Application for Certification forms, and meet requirements as listed on FORM HRC-PBLC 2. Requirements include but are not limited to: The name and address of the person(s) or organization that proposes to conduct the training course; identification and affiliation of course sponsor(s); the name of the responsible individual; criteria for instructors; documentation demonstrating that the applicant has employed or contracted with individuals, either on a full-time or temporary basis, a sufficient number of persons to serve as instructors (a minimum of two). Instructors must meet the training and experience criteria contained in the Form HRC-PB 2, Section 2 "Criteria for Instructors".

The HRC may at any time require additional information to determine whether an application meets the requirements of this section. Certifications expire on the last day of the month two (2) years from the date of issue by the HRC, unless sooner suspended or

revoked. Records include copies of lead class attendance records Copies of lead hazard mitigation Letters of Approval and Rejections, Class evaluation from participants

a) Approved applications and granted appeals

Retention: Retain until beginning of third calendar year after the application approved or the appeal granted.

b) Denied applications and denied appeals

Retention: Retain thirty days from date of denial, or until no longer required for any appeal, whichever is later.

c) Suspended and revoked certification files

Retention: Retain thirty days from date of denial or until no longer required for any appeal, whichever is later.

DPL3.14 Lead Hazard Mitigation Inspector Documentation

The HRC operates a Web-Based system that allows lead mitigation inspectors to issue Certificates of Conformance to property owners. To access the system, inspectors must provide HRC with a copy of the class certificate and the inspection reports to demonstrate compliance with the lead mitigation regulation. Records consist of copies of class certificates. (See **DPL3.13**)

Retention: Permanent.

DPL3.15 Intra-Governmental Review (Housing Review) Records

The HRC reviews applications seeking federal grant funds to ensure they are consistent with the State Housing Element and Area Housing Element provisions of the State Guide Plan. Records include copies of city and town comprehensive plans, grant applications (retained under various grant program files), and assessment documents transmitted by the HRC to Statewide Planning's Local Comprehensive Planning Program. (See **DPL2.2**). The Office of Healthy Housing is provided with copies of this documentation for comment to ensure that submitted plans comply with lead mitigation requirements.

Retention: Retain three (3) years.

DPL4.1 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 schedules. RIGL 38-1-10, 38-3-6, and 42-8.1-10

Retention: Permanent.