

# AGENCY GUIDE

## RULE WRITERS



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## RHODE ISLAND RULES AND REGULATIONS

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### What is the Rhode Island Code of Regulations?

The Rhode Island Code of Regulations (RICR) is the official publication of the rules promulgated by State agencies, boards, and commissions. The RICR is a uniform code that provides access to all Proposed and Final Regulations filed under the Administrative Procedures Act.

The Department of State's Administrative Records Office (ARO) manages the RICR, which is updated daily and available to the public online.

### What is the Administrative Records Office?

The ARO manages the process of regulations filed by State agencies with the Department of State to make government more transparent, accessible, and efficient.

### What is the Administrative Procedures Act?

[R.I. Gen. Laws Chapter 42-35](#), Administrative Procedures Act, governs the way Rhode Island State agencies, boards, and commissions may propose and promulgate rules.

### What are an agency's responsibilities?

All agency responsibilities regarding rules and regulations can be found in the Administrative Procedures Act ([R.I. Gen. Laws Chapter 42-35](#)).

### What do the OMB and the ARO review?

The [Office of Management and Budget](#) (OMB) facilitates the creation and refinement of regulations through a content review process to ensure a clear, predictable, and reliable regulatory system ([EO 15-07](#)).

The ARO facilitates a formatting review process for standardization and display in the RICR ([R.I. Gen. Laws § 42-35-4\(a\)](#)).

### What is "Content"?

"Content" means any text or graphics of the rulemaking records that impacts the meaning and/or intent.

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## CONTACT

✉ [rulesregs@sos.ri.gov](mailto:rulesregs@sos.ri.gov)

📞 401-222-2353

🌐 [sos.ri.gov](http://sos.ri.gov)

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## ADDRESS

**RI Department of State**  
Administrative Records Office  
33 Broad Street  
Providence, RI 02903

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# 1 | ADMINISTRATIVE RECORDS

## 1.1 History of Rhode Island Regulations

Date	Event
1956	<p><b><a href="#">Administrative Procedures Act (APA) Adopted</a></b></p> <p>For rules previously in effect, and going forward for Final Regulations, to be filed with the Department of State (DOS) and enacted on 01/01/1964.</p>
2000	<p><b>Rhode Island Small Business Regulatory Flexibility Act Adopted</b></p> <p>Small business regulatory review board established to consider requests from small business owners to review rules adopted by state agencies.</p>
2001	<p><b>Launch of 1<sup>st</sup> Online Regulation Database</b></p> <p>While paper regulations are still the official copy, the online database makes regulations available for public accessibility and reference only.</p>
2004	<p><b>APA Amended</b></p> <p>Regulations are now to be reviewed by the Governor’s Office and Economic Development Corporation (EDC) for small business impact before filing.</p>
2010	<p><b>Office of Regulatory Reform (ORR) Established (<a href="#">Executive Order 10-13</a>)</b></p> <p>ORR established within the EDC to improve regulatory process.</p>
2012	<p><b>ORR Moved to the Office of Management and Budget (OMB)</b></p>
2015	<p><b>ORR Review (<a href="#">Executive Order 15-07</a>)</b></p> <p>Requires most Executive departments, boards, and commissions with rulemaking authority to have rules reviewed by ORR before and after public comment.</p>
2016	<p><b>APA Amended</b></p> <p>Rewritten, based on <a href="#">Uniform APA</a>, to revise the rulemaking process.</p>
August 2018	<p><b>Launch of Rhode Island Code of Regulations (RICR)</b></p> <p>Administrative Records Office (ARO) reviews rules for formatting compliance, maintains final rulemaking record copies and official copies of regulations, and maintains the online system to file and display regulations for public accessibility.</p> <p><i>Prior to this time, only agencies were responsible for maintaining all rulemaking records. Now, both the agency and the ARO maintain all rulemaking records.</i></p>
2020	<p><b>Emergency Rules Extended (<a href="#">Executive Order 20-72</a>)</b></p> <p>Temporarily suspended a section of the APA allowing only one 60-day extension to allow for multiple extensions, if need be, due to the COVID-19 emergency.</p>

## 1.2 Administrative Records Definitions

For the purpose of this Guide, the following terms are defined as follows:

**“Advance Notice of Proposed Rulemaking”** means the process of when an agency may collect relevant information to a potential rule and may solicit comments and recommendations from the public ([R.I. Gen. Laws § 42-35-2.5](#) and [§ 3.3.4 of this Guide](#)).

**“Agency Head”** means the individual who has ultimate legal authority of an agency ([R.I. Gen. Laws § 42-35-1\(3\)](#)), is an RICR Filing System user, and may sign rules into effect.

**“Agency”** means “a state agency, authority, board, bureau, commission, department, district, division, institution, office, officer, quasi-public agency, or other political subdivisions created by the general assembly or the governor, other than the legislature or the judiciary, that is authorized by law of this state to make rules” ([R.I. Gen. Laws § 42-35-1\(1\)](#)).

**“Declaratory Order”** means a document issued by an agency that states whether a statute or regulation applies to the person or entity petitioning the agency for that decision. ([R.I. Gen. Laws § 42-35-8](#)).

**“Effective Date”** means the exact date a promulgation goes into effect.

**“Filer”** means a person approved by an agency to participate in the rulemaking process to file regulations for that agency.

**“Filing Date”** means the exact date a promulgation is filed with the Department of State.

**“Guidance Document”** means “a record of general applicability developed by an agency which lacks the force of law but states the agency’s current approach to, or interpretation of, law or describes how and when the agency will exercise discretionary functions” ([R.I. Gen. Laws § 42-35-1\(9\)](#)).

**“Notice of Proposed Rulemaking”** means a document published in the RICR for notification to interested parties of a Proposed Rule. The notice must contain the items described in [R.I. Gen. Laws 42-35-2.7](#).

**“Promulgate”** means “the process of writing a new rule, or amending or repealing an existing rule”, beginning “with filing the Notice of Proposed Rulemaking...and ending



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upon the Effective Date of the rule” ([R.I. Gen. Laws § 42-35-1\(16\)](#)).

“**Promulgation**,” with respect to a rule filed in the RICR Filing System, means the specific Adoption, Amendment, or Repeal that is being promulgated.

“**Public Comment Period**” means a period of time after the Notice of Proposed Rulemaking is published in the RICR during which a person may submit comments on the Proposed Rule.

“**Public Hearing**” or “**Hearing**” means a meeting regarding a proposed rule which is open to the public, during which members of the public are invited to give testimony or otherwise submit comments on the Proposed Rule. The hearing is recorded and kept as part of the Rulemaking Record for that rule. A hearing may not be scheduled earlier than ten (10) days after the Notice of Proposing Rulemaking is published in the RICR or later than five (5) days prior to the end of the Public Comment Period.

“**Rhode Island Code of Regulations**” or “**RICR**” (*pronounced are-aye-see-ARE*) means the official publication of Rhode Island Regulations promulgated by agencies that is managed by the Department of State’s Administrative Records Office, which is updated daily and available to the public on the Department of State’s [website](#).

“**RICR citation**” means the unique number assigned to a rule that includes the Title, Chapter, Subchapter, and Part numbers ([§ 2.3 of this Guide](#)) that is used by agencies and the public to identify rules.

“**RICR Filing System**” or “**RICR System**” means the [online filing system](#) that allows agencies to file regulations directly with the Department of State.

“**Rule**” or “**Regulation**” means “the whole or a part of an agency statement of general applicability that implements, interprets, or prescribes law or policy or the organization, procedure, or practice requirements of an agency and has the force of law” ([R.I. Gen. Laws § 42-35-1\(19\)](#)). “Regulation” has the same meaning and is used interchangeably. Rules may be described by the status in which they are in, including the following:

“**Active Rule**” means a rule that was promulgated in accordance with the APA and is currently in effect and enforceable by the agency.

“**Final Rule**” means a rule that was promulgated in accordance with the APA and currently is, or was at one time, in effect and enforceable by the agency.

“**Inactive Rule**” means a rule that was previously promulgated in accordance with the APA and in effect that is no longer in effect and enforceable by the

agency.

**“Proposed Rule”** means a rule that is in the promulgation process that has not yet gone into effect to become a Final Rule.

**“Terminated Rule”** means a Proposed Rule that was in the promulgation process but was discontinued by the agency before going into effect.

**“Rules Coordinator”** means the designated individual at an agency who has knowledge of all Proposed Rules, maintains rulemaking records for the agency as required in [R.I. Gen. Laws § 42-35-2.3](#), responds to public inquiries regarding all agency rules ([R.I. Gen. Laws § 42-35-2.1](#)).

**“Rulemaking Agenda”** means the record an agency must maintain for proposed rules, which is also available in the RICR for each agency ([§ 2.6.3 of this Guide](#)), that states or contains the items described in [R.I. Gen. Laws § 42-35-5.1](#).

**“Rulemaking Record”** means the group of records agencies are required to maintain for each rule, which must contain the records described in [R.I. Gen. Laws § 42-35-2.3](#).

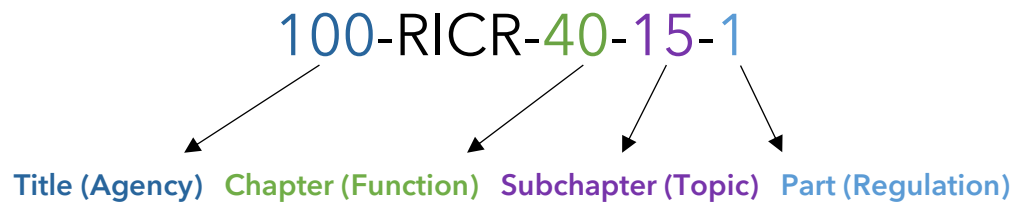
**“Terminate”** or **“Termination”** means the irreversible process of ending a rule in the middle of the promulgation process before an Effective Date is set, which stops the Proposed Rule from displaying in the RICR (if it had already gone into the Public Comment Period), removes the rule from the RICR user’s Work Queue, and if the rule was an Adoption it prevents that Part number from being used again.

# 2 | RHODE ISLAND CODE OF REGULATIONS

## 2.1 About the RICR

The Rhode Island Code of Regulations (RICR) is the official publication of rules promulgated by State agencies, boards, and commissions. The Department of State’s Administrative Records Office (ARO) manages the RICR, which is updated daily and available online at <https://rules.sos.ri.gov/organizations>.

Each rule published in the RICR is given a unique citation (XXX-RICR-XX-XX-X) which includes numbers for the Title, Chapter, Subchapter, and Part:



To view the additional information regarding the rulemaking process, definitions for the RICR, and FAQs, visit: <https://rules.sos.ri.gov/organizations/help>.

## 2.2 RICR Classification System

The Rhode Island Code of Regulations (RICR) is a classification system that orders regulations by agency. Each agency is organized by its Title, then further organized into Chapters, Subchapters, and Parts, with each Part organized by Sections. All number representations for Titles, Chapters, Subchapters, or Parts must be whole numbers (decimal points are not permitted).

All rules are assigned an RICR citation using the Title, Chapter, Subchapter, and Part numbers. Sections may be cited after the Part number. For additional information, see [§ 4.2.1.3 of this Guide](#).

### 2.2.1 Title

A Title is the entity name, represented by a three-digit number for agencies with specific rulemaking authority granted by R.I. Gen. Laws.

The numbering scheme begins with 100 and increases by multiples of 2, 5, or 10, based on the entity type and its relationship to other entities in the RICR. The three-digit indicator allows for growth over time, including the placement of new agencies near related agencies (e.g., Title 210 has sub-agencies represented by 212, 214, etc.).

100-RICR-40-15-1  
↑

### 2.2.2 Chapter

A Chapter is a core function of the agency, which is represented by a two- or three-digit number.

Agencies can distinguish between functions by assigning a Chapter number using a skip ten (10) method (e.g., 10, 20, 30..., 110, etc.). This skip method allows room to insert new functions near related functions in the future. *Agencies may use "00" and "N/A" as the Chapter name if there is no need to differentiate a topic.*

100-RICR-40-15-1  
↑

## 2.2.3 Subchapter

A Subchapter is a topic area within the core function of the agency, which is represented by a two- or three-digit number.

Agencies can distinguish between topics by assigning a Subchapter number using a skip five (5) method (e.g., 05, 10, 15, etc.). Agencies may use “00” and “N/A” as the Subchapter name if there is no need to differentiate a topic.

100-RICR-40-15-1



## 2.2.4 Part

A Part is the individual rule regulating a specific topic, which is represented by a one-, two-, or three-digit number.

Agencies can distinguish between specific topics by assigning a Part number using a skip one (1) method without a leading zero (e.g., 1, 2, 3, etc., not 01, 02, 03, etc.).

Parts cannot be renumbered to accommodate repealed Rules, nor can Part numbers be reused if terminated before becoming effective. Once a Part number is used, it is in the RICR Filing System database and part of the permanent rulemaking records.

100-RICR-40-15-1



## 2.2.5 Section

Sections are the individual headings that make up a Part (rule), divided into six (6) levels, including four (4) paragraph levels:

1. **RICR Heading 1** (ex., #.1, #.2, #.3, etc.)
2. **RICR Subheading/Subchapter** (ex., #.#.1, #.#.2, #.#.3, etc.)
3. **RICR Paragraph 1** (ex., A., B., C., etc.)
4. **RICR Paragraph 2** (ex., 1., 2., 3., etc.)

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5. **RICR Paragraph 3** (ex., a., b., c., etc.)

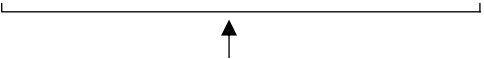
6. **RICR Paragraph 4** (ex., (1), (2), (3), etc.)

Agencies should make every attempt to limit the number of section levels to no more than four (4) paragraph levels to reduce regulatory volume while maintaining readability. In the rare case where additional levels are required, there are two (2) additional paragraph levels available:

7. **RICR Paragraph 5** (ex., (A), (B), (C), etc.)

8. **RICR Paragraph 6** (ex., (i), (ii), (iii), etc.)

100-RICR-40-15-1.2(B)(3)(e)(2)(A)(ii)



# 3 | WRITING REGULATIONS



## 3.1 Regulation Drafting Guidance

For resources and guidance on regulatory drafting and other required content components, refer to the Office of Management and Budget’s [online resources](#).

Questions about the OMB content review process can be directed to the agency’s assigned analyst or contact OMB directly at [omb.regsubmission@omb.ri.gov](mailto:omb.regsubmission@omb.ri.gov).

## 3.2 APA Requirements

### 3.2.1 Petition for Promulgation of Rules

Each agency must promulgate a rule providing an explanation of the procedure for an individual to petition the agency to promulgate a rule ([R.I. Gen. Laws § 42-35-6](#)). The Rule must contain the following:

1. The form of the petition; and
2. The procedure for its submission, consideration, and disposition.

The Department of State has provided a sample [Petition for Promulgation of Rules Regulation](#), intended as a tool for agencies’ use in promulgating their own rule as required in [R.I. Gen. Laws § 42-35-6](#). *Agencies are not required to use the sample when promulgating their rule.*

### 3.2.2 Petition for Declaratory Order

Each agency must promulgate a rule providing an explanation of the procedure for an individual to petition the agency to publish a Declaratory Order ([R.I. Gen. Laws § 42-35-8](#)). The Rule must contain the following:

1. The form of the petition; and
2. The procedure for its submission, consideration, and disposition.

The Department of State has provided a sample [Petition for Declaratory Order Regulation](#), intended as a tool for agencies’ use in promulgating their own rule as required in [R.I. Gen. Laws § 42-35-8](#). *Agencies are not required to use the sample when promulgating their rule.*

### **3.2.3 Conduct of Public Hearings**

Each agency must promulgate a rule providing the way public hearings are conducted ([R.I. Gen. Laws § 42-35-2](#)).

The Department of State has provided a sample [Conduct of Public Hearings Regulation](#), intended as a tool for agencies' use in promulgating their own rule as required in [R.I. Gen. Laws § 42-35-2](#). *Agencies are not required to use the sample when promulgating their rule.*

### **3.2.4 Concise Explanatory Statement**

When filing a Final Rule, each agency must issue a concise, explanatory statement ([R.I. Gen. Laws § 42-35-2.6](#)). The statement must contain the following:

1. Reasons for the Adoption, Amendment, or Repeal;
2. Reasons for not accepting arguments made in testimony or comments;
3. Reasons for changes in text between the Proposed and Final Rule filed; and
4. Regulatory analysis prepared under [R.I. Gen. Laws § 42-35-2.9](#).

The Department of State has provided a sample [Concise Explanatory Statement](#), intended as a tool for agencies' use when filing their rule as required in [R.I. Gen. Laws § 42-35-2.6](#). *Agencies are not required to use the sample when filing their rule.*

# 4 | **FORMATTING REGULATIONS**

## 4.1 Required Formatting

Formatting requirements ensure rules display interactively correctly in the RICR and so that the RICR has a uniform style for public accessibility using ADA standards.

### 4.1.1 Track Changes

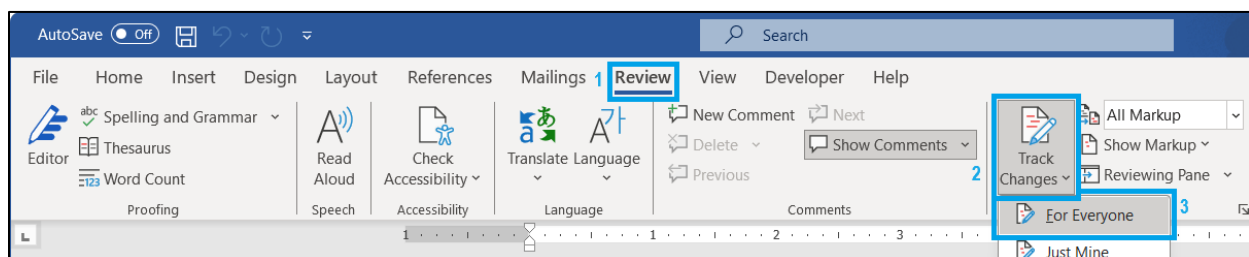
All text changes must be notated using Microsoft Office’s Track Changes feature:

- **Adoptions** must display all text underlined, as the entire document is new text.
- **Amendments** must display a combination of underlined and struck out text.
- **Repeals** must display all text struck out, as the entire document is deleted text.

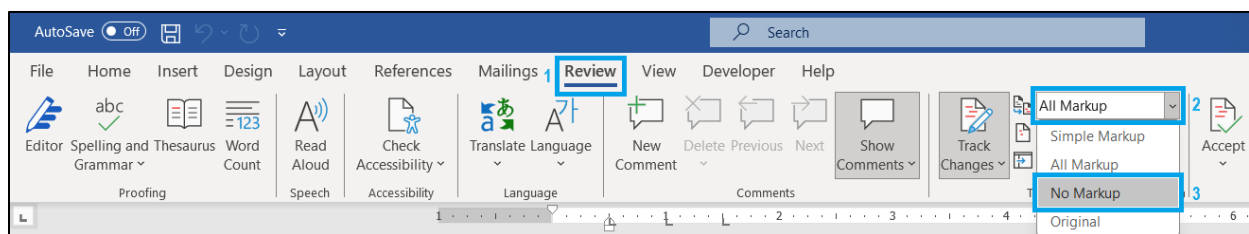
Track Changes will display the following once text is added, moved, or deleted:

- Added text: Example
- Moved text – original location (if text is highlighted and dragged): ~~Example~~
- Moved text – new location (if text is highlighted and dragged): Example
- Deleted text: ~~Example~~

To turn on Track Changes, click **Review > Track Changes > For Everyone**:



Before making any changes, click **Review > All Markup > No Markup** for ease of use:



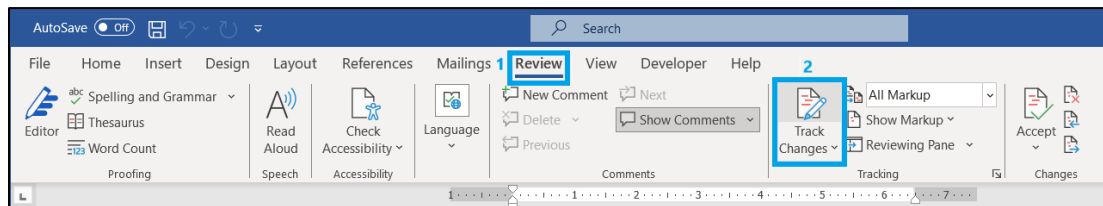
This will show what the rule will look like once all changes are accepted so the document is easier to edit. Switch back to **All Markup** for the changes to display.

### 4.1.1.1 Track Changes FAQ

#### What if an adoption didn't use Track Changes?

To fix a document to ensure all text is underlined using Track Changes:

1. If already on, turn off **Track Changes** by clicking **Review > Track Changes**:



2. Highlight all text (**Ctrl+a**) and cut (**Ctrl+x**) to delete and copy the text.
3. Turn on **Track Changes** by clicking **Review > Track Changes** (see above).
4. Paste (**Ctrl+v**) the text back into the document, which will underline all text.

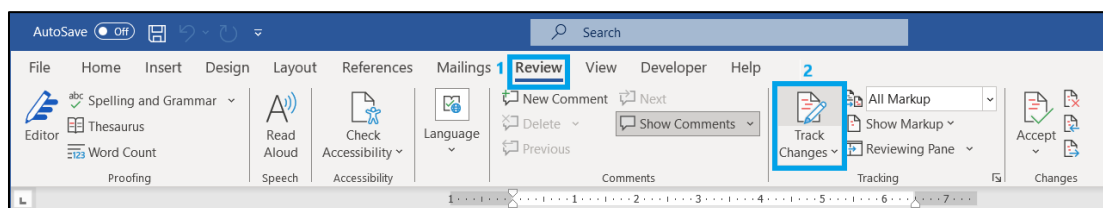
#### What if an amendment didn't use Track Changes?

The easiest way to ensure text is correctly underlined or struck out using Track Changes is to download the rule from the RICR Filing System again, turn Track Changes on, and manually replicate all changes from the previously used document to the new document.

#### What if a repeal didn't use Track Changes?

To fix a document to ensure all text is struck out using Track Changes:

1. Highlight all text (**Ctrl+a**) and cut (**Ctrl+x**) to delete and copy the text.
2. Turn off **Track Changes** by clicking **Review > Track Changes**:



3. Paste (**Ctrl+v**) the text back into the document.
4. Turn on **Track Changes** by clicking **Review > Track Changes** (see above).
5. Highlight all text (**Ctrl+a**) and press **Delete** or **Backspace** on the keyboard, which will strike out all text.

## 4.1.2 RICR Template

The [RICR Template](#) has regulation document, margin, and font requirements built in:

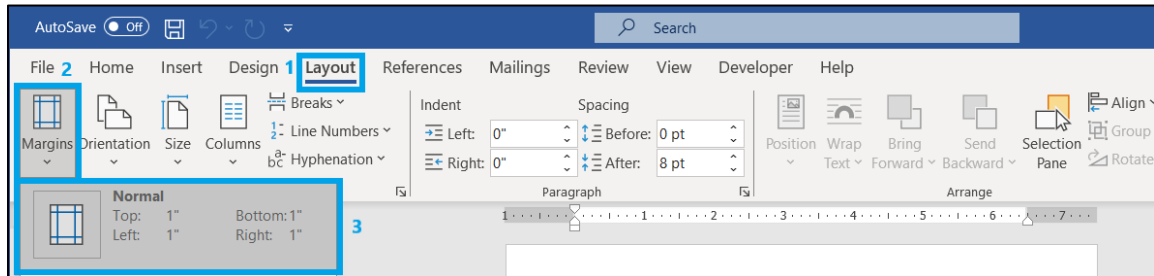
### Document Requirements:

Rules must use the **Word Document** file type (.docx) upon saving.

### Margin Requirements:

Rules must be set to use **Normal** (1") margins. To verify or to fix the margins:

1. Click **Layout > Margins**, and if not set to **Normal**, click within the text, highlight all text (**Ctrl+a**), and click **Margins > Normal** to correct the margins:



### Font Requirements:

Each RICR style ([§ 4.1.3 of this Guide](#)) will automatically format text with the required font, font color, font style, font size, and font spacing.

*The below is for informational purposes only to identify when a style is not correctly implemented, not to be manually implemented within a rule. **RICR styles are required.***

	RICR Number	RICR Title Number	RICR Chapter Number	RICR Subheading/ Subchapter	RICR Part	RICR Heading 1	RICR Paragraph 1-6
<b>Font:</b>	Arial						
<b>Color:</b>	Black (Hex #000000)						
<b>Style:</b>	Bold	Bold	Bold	Bold		Bold	
<b>Size:</b>	12	14	12	12	12	14	12
<b>Spacing:</b>	Before: 12 pt	Before: 12 pt	Before: 12 pt	Before: 12 pt	Before: 12 pt	Before: 12 pt	Before: 12 pt
	After: 10 pt	After: 0 pt	After: 6 pt	After: 6 pt	After: 6 pt	After: 3 pt	After: 0 pt

### 4.1.2.1 Proposed Adoptions

Adoptions must be drafted using the RICR Template. [Click here](#) to download.

*If an adoption is drafted outside of the RICR Template, contact the [Administrative Records Office](#) for assistance merging the drafted text into the RICR Template.*

#### To get started:

1. Open the RICR Template and replace the first five lines with the applicable regulation information in uppercase text:

<b>###-RICR-##-##-#</b>
<b>TITLE ### – AGENCY NAME</b>
<b>CHAPTER ## – CHAPTER NAME</b>
<b>SUBCHAPTER ## – SUBCHAPTER NAME</b>
<b>PART # – PART NAME</b>

- a. Replace the first line with the **RICR Citation**.  
(i.e., 216-RICR-10-05-1)
- b. Replace the second line with the **Title Number** and **Agency Name**.  
(i.e., TITLE 216 – DEPARTMENT OF HEALTH)
- c. Replace the third line with the **Chapter Number** and **Name**.  
(i.e., CHAPTER 10 – PUBLIC HEALTH ADMINISTRATION)
- d. Replace the fourth line with the **Subchapter Number** and **Name**.  
(i.e., SUBCHAPTER 05 – PRACTICES AND PROCEDURES)
- e. Replace the fifth line with what the **Part Number** and **Name** will be\*.  
(i.e., PART 1 – ACCESS TO PUBLIC RECORDS)

*\*Always check the RICR Filing System to ensure the Part number is available before drafting the rule.*

2. For each new section, replace # with the Part number and replace **Heading** with the section name (i.e., **#.1 Heading** > **7.1 Authority**):

<b>#.1 Heading</b>
--------------------

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3. OPTIONAL: If using subsections, replace # with the Part Number and replace **Subheading** with the subsection name (i.e., **X.1.1 Subheading > 7.1.1 Use**):

**#.1.1 Subheading (optional)**

4. Add each paragraph of text (a.k.a. section) based on the correct paragraph level ([§ 4.1.3.1 of this Guide](#)) using the corresponding enumeration designation ([§ 4.1.4 of this Guide](#)):

A. Paragraph 1

1. Paragraph 2

a. Paragraph 3

(1) Paragraph 4

(A) Paragraph 5

(i) Paragraph 6

- a. Every section must have its own corresponding enumeration designation for citation purposes and to display correctly in the RICR.
5. Hit **Enter** or **Return** on the keyboard once to start a new section.  
*Do not insert an additional hard return in between paragraphs by hitting **Enter** or **Return** on the keyboard twice.*
6. **Save As** using the correct file name ([§ 4.1.5 of this Guide](#)).

**Do not accept any changes before uploading to the RICR Filing System.**

By leaving on **Track Changes**, this displays the proposed changes and ensures the final Rulemaking Record ([R.I. Gen. Laws § 42-35-2.3](#)) includes changes between the Proposed and Final Regulations.



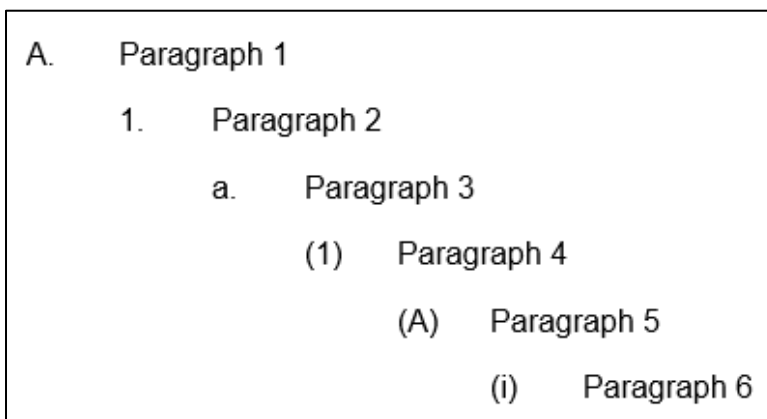
### 4.1.2.2 Proposed Amendments

Amendments must be drafted using the currently active promulgation’s Final Rule document.

By downloading the document directly from the RICR Filing System, this ensures the correct document is used to draft the new promulgation for the same Part.

**Rules Coordinators and Filers in the RICR Filing System have to download the document directly. Once downloaded:**

1. Open the document, ensure **Track Changes** is turned on ([§ 4.1.1 of this Guide](#)), and add, edit, or delete text as needed.
2. If adding new sections, add based on the correct paragraph level ([§ 4.1.3.1 of this Guide](#)) using the corresponding enumeration designation ([§ 4.1.4 of this Guide](#)):



- a. Every section must have its own corresponding enumeration designation for citation purposes and to display correctly in the RICR.
  - b. Ensure enumeration designations and citations are updated as needed if sections are added between other sections.
  - c. Hit **Enter** or **Return** on the keyboard once to start a new section.  
*Do not insert an additional hard return in between paragraphs.*
3. If deleting entire sections, replace section text with “Repealed.” to ensure citations are not invalidated by renumbering the entire rule. For example:  
3.2 Repealed.

4. **Save As** using the correct file name ([§ 4.1.5 of this Guide](#)).

**Do not accept any changes before uploading to the RICR Filing System.**

By leaving on **Track Changes**, this displays the proposed changes and ensures the final Rulemaking Record ([R.I. Gen. Laws § 42-35-2.3](#)) includes changes between the Proposed and Final Regulations.

### 4.1.2.3 Proposed Repeals

Repeals must be drafted using the currently active promulgation’s Final Rule document.

By downloading the document directly from the RICR Filing System, this ensures the correct document is used to draft the new promulgation for the same Part.

**Rules Coordinators and Filers in the RICR Filing System have to download the document directly. Once downloaded:**

1. Open the document, ensure **Track Changes** is turned on ([§ 4.1.1 of this Guide](#)), highlight the text (**Ctrl+a**), and hit **Delete** or **Backspace** on the keyboard to delete all text.
2. **Save As** using the correct file name ([§ 4.1.5 of this Guide](#)).

**Do not accept any changes before uploading to the RICR Filing System.**

By leaving on **Track Changes**, this displays the proposed changes and ensures the final Rulemaking Record ([R.I. Gen. Laws § 42-35-2.3](#)) includes changes between the Proposed and Final Regulations.

#### 4.1.2.4 Final Regulations

Final Regulations must be drafted using the exact Proposed Rule that was displayed in the RICR during the Public Comment Period, if applicable.

- **If formatting changes were not required** from the Administrative Records Office (ARO), this means the agency must use the document that was uploaded in the RICR Filing System for the Public Comment Period.
- **If formatting changes were required** from the ARO, this means the document used for the Public Comment Period is different than what the agency uploaded, and the correct document must first be downloaded to draft the Final Regulation.

**Rules Coordinators and Filers have to identify which document to use in the RICR Filing System and then download the correct document.**

Once the correct document is identified to draft the Final Regulation, use the steps in [§ 4.1.2.2 of this Guide](#) to amend the text (*not permitted for Direct Final Rulemaking*), and **Save As** using the correct file name ([§ 4.1.5 of this Guide](#)).

**Do not accept any changes before uploading to the RICR Filing System.**

By leaving on **Track Changes**, this ensures the final Rulemaking Record ([R.I. Gen. Laws § 42-35-2.3](#)) includes changes between the Proposed and Final Regulations.

The ARO will apply any required formatting corrections, accept all changes\*, and upload the Final Regulation during the final rule review, which is the version that will be displayed in the RICR.

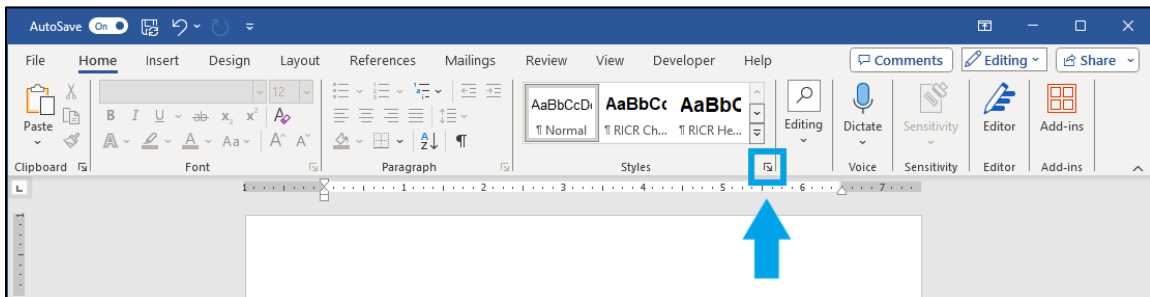
*\*Changes will not be accepted for Emergency Regulations.*

### 4.1.3 RICR Styles

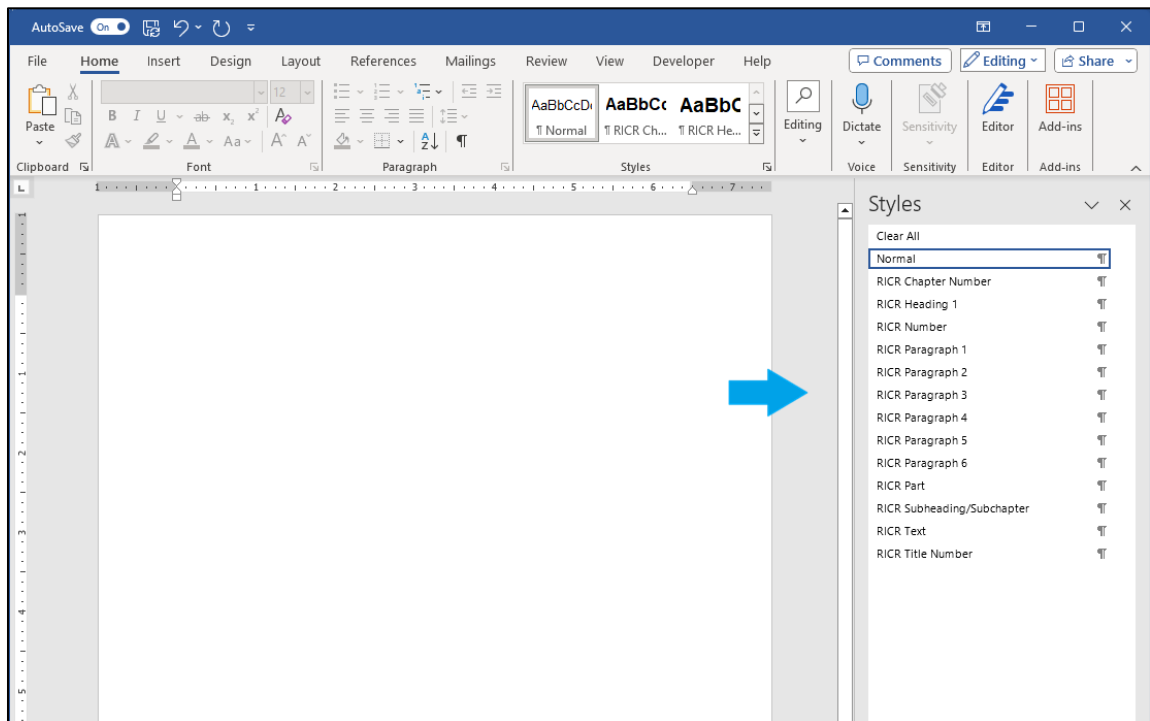
All regulation text must use a corresponding RICR style to format the text. The RICR styles must be applied using the Styles window within the Home tab ribbon, not the Design tab ribbon, within Microsoft Word.

**To open the Styles window:**

1. Click the small arrow at the bottom-right corner of the Styles section:



2. This will pop out the Styles window. If the Styles window is floating above text, click and drag the Styles window to the upper-right side of the Microsoft Word document to lock the window to the sidebar to prevent the floating window from covering text:



### 4.1.3.1 Required Styles

All approved RICR styles begin with “RICR” then the name of the style:

RICR Style Name	Used For	Additional Information
<b>RICR Number</b>	RICR citation	Format: ###-RICR-##-##-#
<b>RICR Title Number</b>	Agency number & name	Title number set by the ARO ex. 280 - Department of Revenue
<b>RICR Chapter Number</b>	Function number & name	Do not use leading zeros ex. 20 - Division of Taxation
<b>RICR Subheading/Subchapter</b>	Topic number & name	Use leading zeros ex. 05 - Banks
<b>RICR Part</b>	Rule number & name	Do not use leading zeros ex. 1 - Bank Deposits Tax
<b>RICR Heading 1</b>	Heading title	Starting with Part#.1 (i.e., 2.1)
<b>RICR Subheading/Subchapter*</b>	Subheading title	Starting with Part#.1 (i.e., 2.3.1)
<b>RICR Paragraph 1</b>	Section level 1 text	Starting with “A.”
<b>RICR Paragraph 2*</b>	Section level 2 text	Starting with “1.”
<b>RICR Paragraph 3*</b>	Section level 3 text	Starting with “a.”
<b>RICR Paragraph 4*</b>	Section level 4 text	Starting with “(1)”
<b>RICR Paragraph 5**</b>	Section level 5 text	Starting with “(A)”
<b>RICR Paragraph 6**</b>	Section level 6 text	Starting with “(i)”
<b>RICR Text</b>	Table text	<i>For use within tables only</i>

\*Optional level, available to use if needed.

\*\*Agencies should make every attempt to limit the number of section levels to no more than four (4) paragraph levels to reduce regulatory volume while maintaining readability.

Section levels must use the letter/number and include a period after or be within parentheses, not both. No period should be added if the style uses parentheses (i.e., use “(1)”, not “(1.)”).

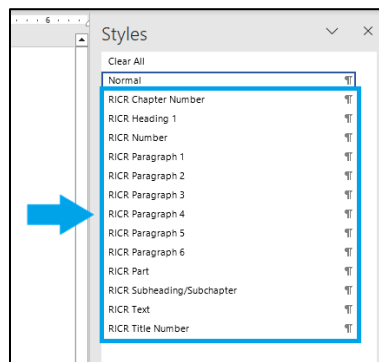
**Any style not listed above is prohibited, as the text will not display in the RICR.**

### 4.1.3.2 Using Styles

There are two ways to apply RICR styles, to either apply the style first before typing or to apply it after typing or pasting text.

#### To apply the RICR style before typing text:

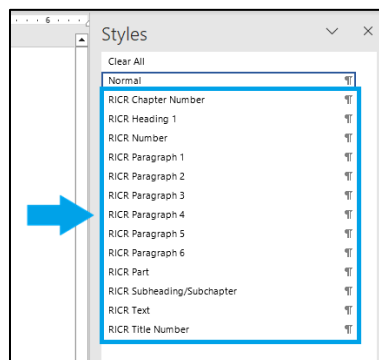
1. Click the corresponding **RICR style** in the Styles window to apply the required formatting:



2. Type text as needed.

#### To apply the RICR style after typing or pasting text:

1. Highlight the text.
2. Click the corresponding **RICR style** in the Styles window to apply the required formatting:



3. Depending on what formatting may have carried over from pasting, the RICR style may have to be clicked twice to first remove previous formatting and then again to apply the correct formatting.

### 4.1.3.3 Style Exceptions

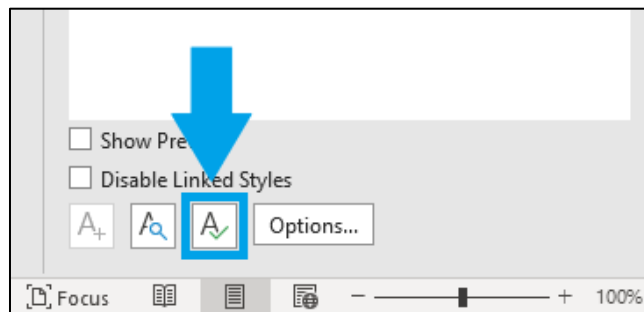
Bold, italics, and underlining may not be used for emphasis. Only the following limited exceptions are permitted:

- *Italics* for Latin, legal, scientific, or medical terminology; or
- **Bold** for headings within tables.

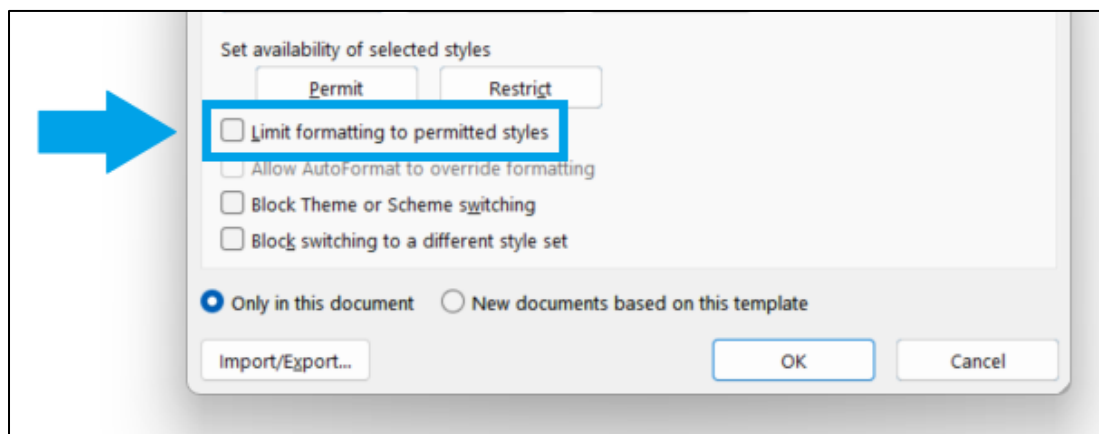
**NOTE:** For ease of use, complete the following steps after all other content is added, edited, or removed, to avoid repeating the process of applying limited exceptions multiple times.

**To apply a limited exception:**

1. Click the **A** icon with a **green** checkmark at the bottom of the Styles window to manage styles:



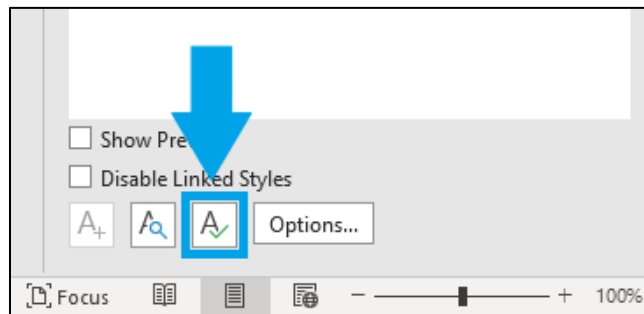
2. In the **Restrict** tab, uncheck **Limit formatting to permitted styles**, and click **OK** to temporarily allow non-RICR styling:



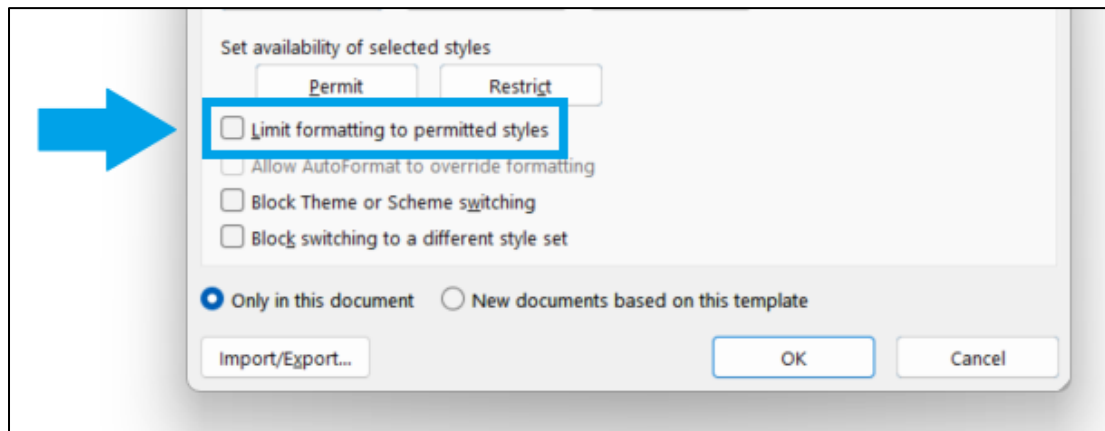


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3. Highlight the applicable text and apply the exception formatting, as permitted above.
4. After all text has had exception formatting applied, click the **A** icon with a **green** checkmark at the bottom of the Styles window to manage styles again to reset the required RICR styles:



5. In the **Restrict** tab, check **Limit formatting to permitted styles**, and click **OK** to continue editing the document:

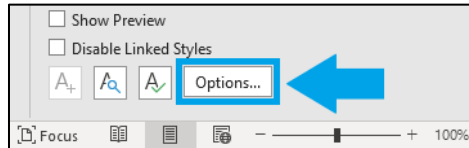


### 4.1.3.4 RICR Styles FAQ

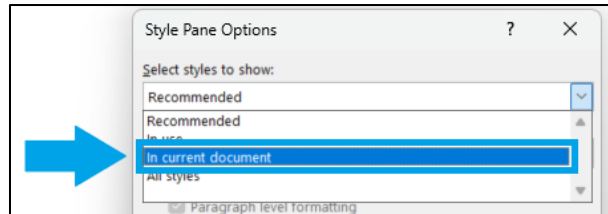
#### What if extra non-RICR styles are displaying?

If extra styles are displayed in the Styles window, complete the following to lock the document to only display the required RICR styles for ease of use:

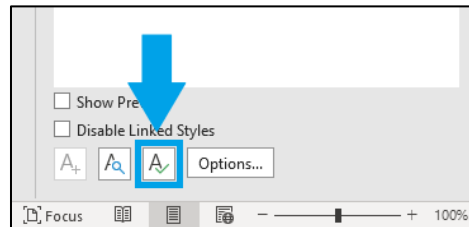
1. At the bottom of the Styles window, click **Options**:



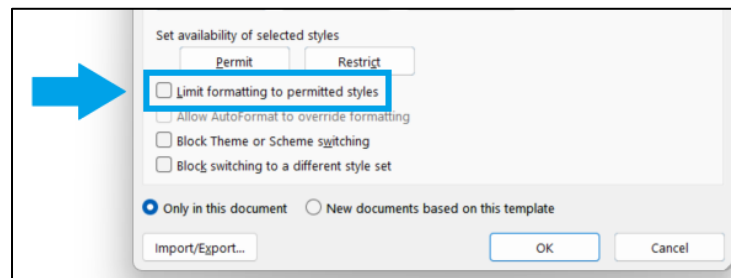
2. In the **Select styles to show** dropdown, select **In current document**, and click **OK** to display all styles currently used in the document.



3. Click the **A** icon with a **green** checkmark at the bottom of the Styles window to manage styles:



4. In the **Restrict** tab, check **Limit formatting to permitted styles**, and click **OK** to continue editing the document:



5. If additional styles still display, [email the Administrative Records Office \(ARO\)](#) to update the document to remove the additional styles.

### What if there are missing RICR styles?

If there are missing RICR styles after completing the above, there are two options:

- **Adoptions & Repeals**

Download the [RICR Template](#) and copy and paste the text into the downloaded document using the steps found in [§ 4.1.1.1 of this Guide](#) to ensure all text is either underlined for adoptions or struck out for repeals.

- **Amendments**

[Email the document to the ARO](#) requesting all missing RICR Styles to be merged into that document.

## 4.1.4 Section Enumeration Designations

Each section (paragraph) in a rule must have its own corresponding number or letter designation for citation purposes and to display correctly in the interactive RICR.

Section levels must use the associated letter/number and either include a period after or be within parentheses, as listed in the table in [§ 4.1.3.1 of this Guide](#). No period should be added if within parentheses (i.e., use "(1)", not "(1.)").

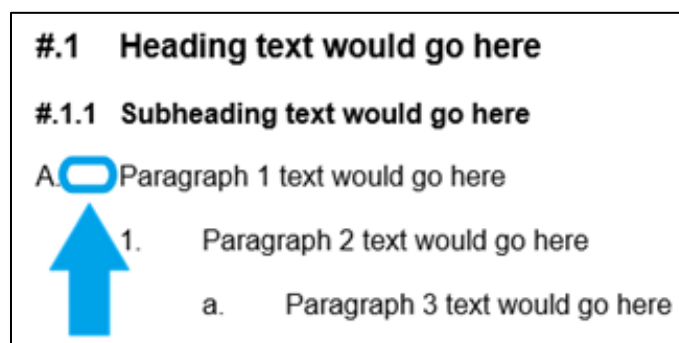
Enumeration designations must be sequential (i.e., "A.", "B.", "C.", etc.). Do not skip letters or numbers when assigning initial section enumeration designations within Adoptions, or when adding sections in Amendments.

### 4.1.4.1 Adding Enumeration Designations

Enumeration designations must be added manually, as automatic numbering is not permitted ([§ 4.3.1 of this Guide](#)).

#### To add an enumeration designation:

1. Use the table in [§ 4.1.3.1 of this Guide](#) to determine the starting enumeration designation for the heading or paragraph level needed.
2. Click the location in the document where text needs to go and apply the associated RICR style for the heading or paragraph level.
3. Type the starting enumeration designation, as noted in the table.  
*Do not add a space after the enumeration designation or before the text.*
4. Insert one (1) **Tab** on the keyboard after the enumeration designation to align the section text.  
*Do not use the ruler or a tab before the enumeration designation to align.*



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5. Type text to complete the section or paste text and apply the correct RICR style ([§ 4.1.3.2 of this Guide](#)).
  - a. The subsequent lines of text in the section will automatically indent, and no additional inserted tabs are necessary until the next section.
6. Repeat steps 1 through 5 as needed, increasing the enumeration designation sequentially for each subsequent section.
  - a. For letters, if sections surpass the end of the alphabet, continue by using double letters sequentially (i.e., "AA.", "BB.", "CC.", etc.).

### **When deleting an entire section:**

1. Keep the enumeration designation.
2. Replace section text with "Repealed." to ensure citations are not invalidated by renumbering the entire rule. For example:
  - 3.2 Repealed.

## 4.1.5 File Naming Conventions

For ease of identification and to distinguish files within the RICR Filing System, use the following file naming conventions, which will also assist in agency folder organization.

### Adoptions

- **Drafts**  
###-RICR-##-##-#\_DATE\_ADT\_v#  
*ex. 100-RICR-10-10-1\_2025-01-01\_ADT\_v2.docx*
- **Proposed**  
###-RICR-##-##-#\_DATE\_ADT\_AGYProposed  
*ex. 100-RICR-10-10-1\_2025-01-01\_ADT\_AGYProposed.docx*
- **Final**  
###-RICR-##-##-#\_DATE\_ADT\_AGYFinal  
*ex. 100-RICR-10-10-1\_2025-01-01\_ADT\_AGYFinal.docx*

### Amendments

- **Drafts**  
###-RICR-##-##-#\_DATE\_AMD\_v#  
*ex. 100-RICR-10-10-1\_2025-01-01\_AMD\_v2.docx*
- **Proposed**  
###-RICR-##-##-#\_DATE\_ADT\_AMDProposed  
*ex. 100-RICR-10-10-1\_2025-01-01\_AMD\_AGYProposed.docx*
- **Final**  
###-RICR-##-##-#\_DATE\_ADT\_AMDFinal  
*ex. 100-RICR-10-10-1\_2025-01-01\_AMD\_AGYFinal.docx*

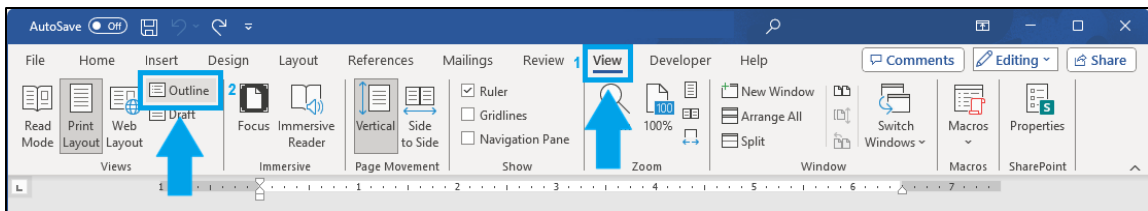
### Repeals

- **Drafts**  
###-RICR-##-##-#\_DATE\_RPL\_v#  
*ex. 100-RICR-10-10-1\_2025-01-01\_RPL\_v2.docx*
- **Proposed**  
###-RICR-##-##-#\_DATE\_RPL\_AGYProposed  
*ex. 100-RICR-10-10-1\_2025-01-01\_RPL\_AGYProposed.docx*
- **Final**  
###-RICR-##-##-#\_DATE\_RPL\_AGYFinal  
*ex. 100-RICR-10-10-1\_2025-01-01\_RPL\_AGYFinal.docx*

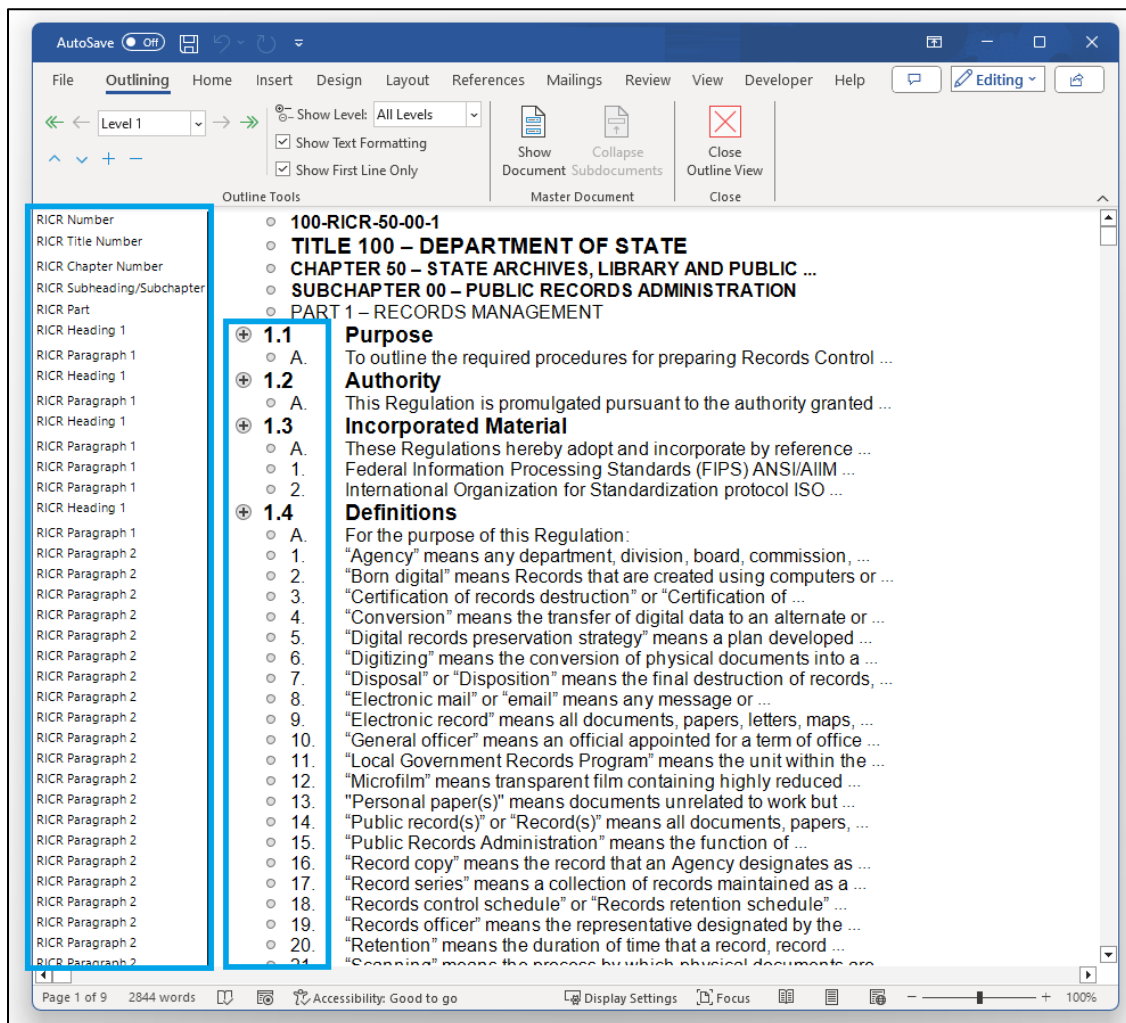
## 4.1.6 How to Verify Required Formatting

To verify all text is using an RICR style and every section has an enumeration designation:

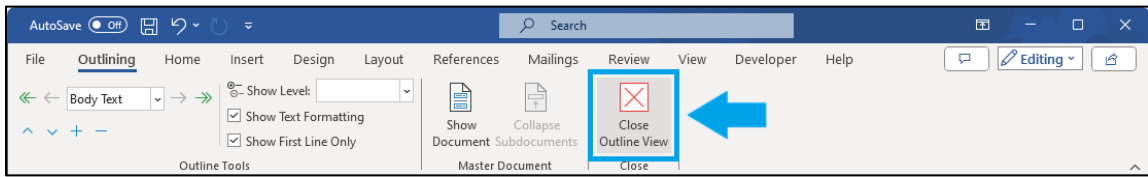
1. Click **View > Outline**:



2. Scroll to check that all text has the correct **RICR style** applied (first column) and every section has an **enumeration designation** (second column):



3. To exit back to normal view, click within the line of text to the right of the second column to see it in normal view and click **Close Outline View**:



4. Repeat steps 1 through 3 to fix each section as necessary to use the correct RICR style and add any missing enumeration designations.



## 4.2 Permitted Formatting

The following content may be used within rules. If used, the content must be formatted as described below to display the rule correctly in the RICR to view the rule interactively and to ensure consistency across all promulgated regulations.

For questions regarding **permitted content**, contact the Office of Management and Budget at [omb.regsubmission@omb.ri.gov](mailto:omb.regsubmission@omb.ri.gov).

For questions regarding **the formatting of permitted content**, contact the Administrative Records Office at [rulesregs@sos.ri.gov](mailto:rulesregs@sos.ri.gov).

### 4.2.1 Citations

Citations are permitted if formatted per [§ 4.2.1.3 of this Guide](#) to ensure a consistent, uniform system throughout the RICR so other agencies and the public can easily identify and locate the original source.

The citation formats outlined have taken into consideration:

- Ease for the non-lawyer reader;
- Ease for the non-lawyer agency drafter;
- Ease for the out-of-state reader;
- How other states cite within their rules; and
- The requirements of the Rhode Island Administrative Procedures Act.

**NOTE:** Many citations include the section symbol (§). The section symbol must always have a space before and after when used. To insert a section symbol, use shortcut **Alt+0167** on the keyboard.

If citing multiple sections, the citation must include two section symbols with no space between (i.e., R.I. Gen. Laws §§ 42-35-1 and 42-35-3.2).

### 4.2.1.1 Direct Citation vs Incorporation by Reference

The Rhode Island Administrative Procedures Act (APA) allows agencies to incorporate certain source materials by reference ([§ 4.2.1.2 of this Guide](#)).

To determine if materials should be directly cited or incorporated by reference, the type of source material needs to be identified. The following source materials may be incorporated by reference without having to include the incorporated material in full ([R.I. Gen. Laws §§ 42-35-3.2\(a\)\(1\) through \(3\)](#)):

- (1) Federal rules, codes, or standards published in full in the Federal Register or the Code of Federal Regulations;
- (2) Federal rules, codes, or standards that have been properly incorporated by reference in the Federal Register as part of a duly promulgated final rule or in the Code of Federal Regulations pursuant to federal legal requirements; and
- (3) Published codes, standards or guidelines of any nationally recognized scientific or technical association or organization.

This means the following published sources may be incorporated by reference:

- Code of Federal Regulations (C.F.R.);
- United States Code (U.S.C.);
- Materials incorporated in the C.F.R.; or
- Codes, standards or guidelines published by nationally recognized scientific or technical associations or organizations.

By incorporating these materials by reference, this allows agencies to give any of the above full legal effect and force of law so that the agency can enforce compliance.

Only the following published sources may be cited without formally incorporating:

- Rhode Island statute;
- Rhode Island regulation; or
- Federal statute.

Since **State and Federal statutes** already have the force of law behind them, they do not need to be incorporated formally.

Since **Rhode Island Regulations** are analogous to state statutes, in that they already have the force of law behind them on a statewide level, they do not need to be incorporated formally, which helps to avoid conflicting rules in the RICR.

**NOTE:** Guidance documents, agency policies, or agency guidelines may not be cited or incorporated by reference.

### 4.2.1.2 Incorporation by Reference

The APA allows for agencies to incorporate certain materials by reference without having to publish the entirety of the material within a rule ([R.I. Gen. Laws § 42-35-3.2](#)).

If agencies incorporate materials by reference within a regulation, that agency “shall maintain a copy of the material and shall allow public inspection of the material and provide copies of any non-copyrighted material to the public... If any material to be incorporated by reference has been copyrighted, the agency shall upon request provide information about the publisher and the citation to the material.” ([R.I. Gen. Laws § 42-35-3.2\(e\)](#))

#### 4.2.1.2.1 How to Incorporate Materials by Reference

**To incorporate source materials by reference:**

1. Create a section labeled, “Incorporated Materials”.

**NOTE:** It is recommended for the consistency of regulations published in the RICR to insert this section between the “Authority” and “Definition” sections of a rule.

However, there may be circumstances where it is appropriate to incorporate materials by reference in the body of the Regulation. For example, when a material is referenced only once within that Part.

2. Create subsections for each source material to be incorporated.
3. Use the following language:

“These Regulations hereby adopt and incorporate [citation (date)] by reference, not including any further editions or amendments thereof and only to the extent that the provisions therein are not inconsistent with these Regulations.”

4. Replace the bracketed language with:
  - a. The citation ([§ 4.2.1.3 of this Guide](#)); and
    - i. If citing materials published by nationally recognized scientific or technical associations or organizations, per the APA, include both the name of the association or organization and the title of the material in the citation.
  - b. The date of the code edition or scientific/technical material being cited in parentheses directly following the citation.

**NOTE:** The most recent version of the source material should be incorporated. *If a rule references a prior year, changing the year is a substantive change that requires an Amendment.*

### **Example Incorporated Materials Section:**

#### **3.3 Incorporated Materials**

- A. These Regulations hereby adopt and incorporate 16 C.F.R. § 444.1 (2014) by reference, not including any further editions or amendments thereof and only to the extent that the provisions therein are not inconsistent with these Regulations.
- B. These Regulations hereby adopt and incorporate the American Medical Association’s “Standards for Taking Blood Samples” (2001) by reference, not including any further editions or amendments thereof and only to the extent that the provisions therein are not inconsistent with these Regulations.
- C. These Regulations hereby adopt and incorporate the “National Geological Society Guidelines for the Safe Gemstone Excavation” (2015) by reference, not including any further editions or amendments thereof and only to the extent that the provisions therein are not inconsistent with these Regulations.

#### **4.2.1.2.2 How to Cite Incorporated Materials**

Once a source material is incorporated by reference, it may be cited within the body of the rule by citing the Incorporated Materials section.

##### **To cite to the Incorporated Materials section:**

1. Add the following language:

“[text referencing source material], incorporated above at § [number] of this Part.”

2. Replace the bracketed language with:

- a. The leading text that references the source material; and
- b. The Subsection number of the specific incorporated material.

##### **Examples of Citing the Incorporated Materials Section:**

- (A) Phlebotomists must maintain their syringes in the manner prescribed in “Standards for taking Blood Samples”, incorporated above at § 3.3(B) of this Part.
- (B) Geologists must mine for diamonds in accordance with “National Geological Society Guidelines for the Safe Gemstone Excavation”, incorporated above at § 3.3(C) of this Part.

### 4.2.1.3 Direct Citation Formats

When including a direct citation within a rule, use the tables found in [§§ 4.2.1.3.1 – 4.2.1.3.6 of this Guide](#) to determine how to format the citation.

**NOTE:** If citing a rule that has not yet been filed with the Department of State and published in the RICR, cite the title of the rule enclosed in quotation marks instead of the citation formats listed below.

*For example:*  
 “Department of Health Rules and Regulations Regarding Health Care Workers”

Once the rule is filed and published in the RICR, the citation may then be changed to the formats found in the below tables via a Technical Revision ([§ 3.3.6 of this Guide](#)).

#### 4.2.1.3.1 RICR: Same Title

For all citations to the Rhode Island Code of Regulations within the same Title as the Part the citation is in, use the following tables to determine the correct required citation format:

Within the Same Title		
Component	Format	Citation Formatting Example
<b>Title</b>	this Title	this Title
<b>Chapter</b>	Chapter ## of this Title	Chapter 20 of this Title
<b>Subchapter</b>	Subchapter ##-## of this Title	Subchapter 20-15 of this Title
<b>Part</b>	Part ##-##-# of this Title	Part 20-15-7 of this Title
<b>Section</b>	§ ##-##-#.# of this Title	§ 20-15-7.2 of this Title
<b>Subsection</b>	§ ##-##-#.#(X) of this Title	§ 20-15-7.2(A) of this Title
<b>Additional Subsections</b>	§ ##-##-#.#(X)(#)(x)(#)(X)(x) of this Title	§ 20-15-7.2(A)(1)(a)(1)(A)(i) of this Title

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Within the Same Chapter		
Component	Format	Citation Formatting Example
<b>Chapter</b>	this Chapter	this Chapter
<b>Subchapter</b>	Subchapter ## of this Chapter	Subchapter 15 of this Chapter
<b>Part</b>	Part #-# of this Chapter	Part 15-7 of this Chapter
<b>Section</b>	§ #-#.# of this Chapter	§ 15-7.2 of this Chapter
<b>Subsection</b>	§ #-#.#(X) of this Chapter	§ 15-7.2(A) of this Chapter
<b>Additional Subsections</b>	§ #-#.#(X)(#)(x)(#)(X)(x) of this Chapter	§ 15-7.2(A)(1)(a)(1)(A)(i) of this Chapter

Within the Same Subchapter		
Component	Format	Citation Formatting Example
<b>Subchapter</b>	this Subchapter	this Subchapter
<b>Part</b>	Part # of this Subchapter	Part 7 of this Subchapter
<b>Section</b>	§ #.# of this Subchapter	§ 7.2 of this Subchapter
<b>Subsection</b>	§ #.#(X) of this Subchapter	§ 7.2(A) of this Subchapter
<b>Additional Subsections</b>	§ #.#(X)(#)(x)(#)(X)(x) of this Subchapter	§ 7.2(A)(1)(a)(1)(A)(i) of this Subchapter

Within the Same Part		
Component	Format	Citation Formatting Example
<b>Part</b>	this Part	this Part
<b>Section</b>	§ # of this Part	§ 2 of this Part
<b>Subsection</b>	§ #(X) of this Part	§ 2(A) of this Part
<b>Additional Subsections</b>	§ #(X)(#)(x)(#)(X)(x) of this Part	§ 2(A)(1)(a)(1)(A)(i) of this Part

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Within the Same Section or Subsection		
Component	Format	Citation Formatting Example
<b>Section</b>	this Section	this Section
<b>Subsection</b>	this Subsection	this Subsection
<b>Specific Section</b>	§ # of this Part	§ 2 of this Part
<b>Specific Subsection</b>	§ #(X) of this Part	§ 2(A) of this Part
<b>Specific Additional Subsections</b>	§ #(X)(#)(x)(#)(X)(x) of this Part	§ 2(A)(1)(a)(1)(A)(i) of this Part

**4.2.1.3.2 RICR: Different Title**

For all citations to the Rhode Island Code of Regulations within a different Title than the Part the citation is in, use the following table to determine the correct required citation format:

Component	Format	Citation Formatting Example
<b>Title</b>	Title ### of this Code	Title 216 of this Code
<b>Chapter</b>	Chapter ###-## of this Code	Chapter 216-20 of this Code
<b>Subchapter</b>	Subchapter ###-##-## of this Code	Subchapter 216-20-15 of this Code
<b>Part</b>	###-RICR-##-##-#	216-RICR-20-15-7
<b>Section</b>	###-RICR-##-##-#.#	216-RICR-20-15-7.2
<b>Subsection</b>	###-RICR-##-##-#.#(X)	216-RICR-20-15-7.2(A)
<b>Additional Subsections</b>	###-RICR-##-##-#.#(X)(#)(x)(#)(X)(x)	216-RICR-20-15-7.2(A)(1)(a)(1)(A)(i)



### 4.2.1.3.1 Rhode Island Statutes

Component	Format	Citation Formatting Example
<b>Title</b>	R.I. Gen. Laws Title #	R.I. Gen. Laws Title 9
<b>Chapter</b>	R.I. Gen. Laws Chapter #-#	R.I. Gen. Laws Chapter 9-19
<b>Section</b>	R.I. Gen. Laws § #-#-#	R.I. Gen. Laws § 9-19-39
<b>Subsection</b>	R.I. Gen. Laws § #-#-#(x)	R.I. Gen. Laws § 9-19-39(b)
<b>Additional Subsections</b>	R.I. Gen. Laws § #-#-#(x)(#)	R.I. Gen. Laws § 9-19-39(b)(4)

### 4.2.1.3.2 Rhode Island Public Laws

Style	Format	Citation Formatting Example
<b>Full</b>	[name], Pub. Laws [session #]-[chapter #]	An Act Relating to Towns and Cities - Retirement of Municipal Employees, Pub. Laws 10-275
<b>Short</b>	Pub. Laws [session #]-[chapter #]	Pub. Laws 10-275

### 4.2.1.3.3 Code of Federal Regulations

Component	Format	Citation Formatting Example
<b>Title</b>	C.F.R. Title #	C.F.R. Title 7
<b>Subtitle</b>	# C.F.R. Subtitle X	7 C.F.R. Subtitle B
<b>Chapter</b>	# C.F.R. Subtitle X Chapter X	7 C.F.R. Subtitle B Chapter VIII
<b>Subchapter</b>	# C.F.R. Subtitle X Chapter X Subchapter X	7 C.F.R. Subtitle B Chapter VIII Subchapter A
<b>Part</b>	# C.F.R. Part #	7 C.F.R. Part 868
<b>Subpart</b>	# C.F.R. Part # Subpart X	7 C.F.R. Part 868 Subpart C
<b>Section</b>	# C.F.R. § #.#	7 C.F.R. § 868.208

#### 4.2.1.3.4 United States Code

Component	Format	Citation Formatting Example
<b>Title</b>	U.S.C. Title #	U.S.C. Title 7
<b>Chapter</b>	# U.S.C. Chapter #	7 U.S.C. Chapter 13
<b>Subchapter</b>	# U.S.C. Subchapter #-X	7 U.S.C. Subchapter 13-IV
<b>Section</b>	# U.S.C. § #x	7 U.S.C. § 347a
<b>Full Citation</b>	[name], # U.S.C. § #x	Disadvantaged agricultural areas, 7 U.S.C. § 347a

#### 4.2.1.3.5 Federal Public Laws

Style	Format	Citation Formatting Example
<b>Full</b>	[name], Pub. L. No. [congress #]-[law #]	Foreign Assistance Act of 1961, Pub. L. No. 87-195
<b>Short</b>	Pub. L. No. [congress #]-[law #]	Pub. L. No. 87-195

#### 4.2.1.3.6 All Other Citations

For any citations not listed in this Guide, refer to [The Blue Book: A Uniform System of Citation](#) for how to format all other citations to ensure a consistent, uniform system throughout the RICR so other agencies and the public can easily identify and locate the original source.

If the citation includes an acronym, the full name should be written out in its first use within a Part and include the acronym in parentheses directly following. The acronym may then be used within the rest of the Part.

## 4.2.2 Definitions

Definitions are only permitted if:

1. The “Definitions” section is placed towards the beginning of the rule;
2. Each definition is given its own section and enumeration designation;
3. The sections are arranged alphabetically by the words or terms being defined;
4. Each section includes:
  - a. The words or terms being defined within quotation marks;
  - b. Capitalizing the first letter of the first word within the quotation marks, with all subsequent words lowercase, unless the words or terms being defined are proper nouns;
  - c. The word “means” directly following the words or terms being defined; and
  - d. The definition of the words or terms directly following the word “means”.

**Definition Example:** “Writing” means a record inscribed on a tangible medium.

The following symbols may not be used within words or terms being defined:

- Dashes [- or -];
- Slashes [/ or \]; or
- Parentheses [( or )].

Instead, separate the words or terms by inserting the word “or” in between:

**Incorrect**

“Individualized education plan/IEP”  
means...

**Correct**

“Individualized education plan” or “IEP”  
means...

**NOTE:** Always cite the “Definitions” section itself within a rule, not to specific definitions. That way, if definitions need to be added when promulgating amendments, the “Definitions” section can be renumbered without invalidating citations to specific definitions.

### 4.2.3 Graphics, Figures, Images, and Maps

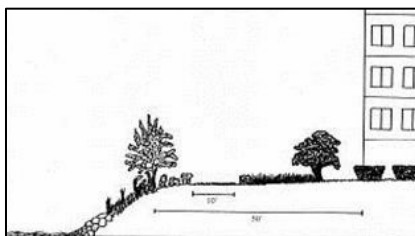
Graphics, figures, images, and maps are only permitted if the visual:

1. Fits within the margins of the rule;
2. Is set to **In Line with Text** (right-click on visual > click **Wrap Text** > click to set style);
3. Is treated as a section by using the next level paragraph RICR style to align the visual with the previous section text;
  - a. For example, if the title or text above the visual uses **RICR Paragraph 2**, the visual itself should use **RICR Paragraph 3** to align with the text, not the enumeration designation;
4. Has a title for interactive display accessibility (see below note); and
5. Includes Alt Text for accessibility and for those using assistive technology to access the rule:
  - a. To insert Alt Text, right-click on the visual and click **View Alt Text**;
  - b. Type text into the box describing the visual, its context to the section/rule, and include contact information where additional information can be requested and click X to close the side window. *Do not use the “Generate alt text for me” feature.*

#### Alt Text Example:

##### **Visual:**

1. Structural Shoreline Protection Standards for Coastal Greenways



**Alt Text:** “Image of land next to a building, the slope from the land to the coast, and the measurement for the coastal greenway, as described in § 2.2 of this Part. For additional information contact [insert contact information here].”

Visuals that contain only text must be converted to text, when possible, for public accessibility and to be searchable.

If visuals expand beyond the margins, they should be uploaded instead as an

appendix with a reference within the rule to view the appendix.

**NOTE:** Visuals should only be used when there is no other way of displaying the information, as they do not display interactively on the Part's RICR webpage, and will only display within the downloadable PDF in the Regulation tab.

Adding a title indicates a visual is there, and that the PDF should be viewed.

## **4.2.4 Hyperlinks**

Hyperlinks are permitted to link to other Parts in the RICR, the Code of Federal Regulations, United States Code, Guidance Documents, forms published on an agency website, or Incorporated Materials, as appropriate.

Hyperlinks are only permitted if:

1. Links direct the user to the correct, active webpage; and
2. If linking to other Parts in the RICR, links go to the Part’s RICR webpage, not the PDF, to avoid continuity issues if/when a rule is amended.

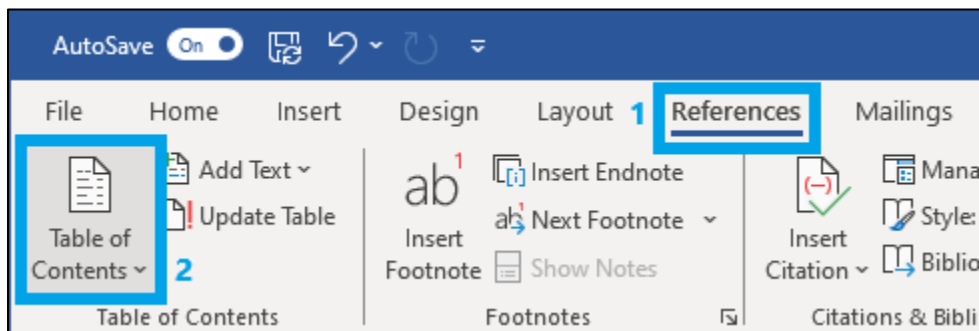
## 4.2.5 Table of Contents

Table of Contents (TOC) are only permitted if:

1. The rule is longer than thirty (30) pages;
2. The rule begins with the RICR citation information with the TOC inserted immediately following;
3. A page break, using **RICR Text** style, is inserted immediately after the TOC and the first heading of the rule begins at the top of the next page.

**To insert a TOC:**

1. Click **References** > **Table of Contents** > choose a built-in TOC or custom TOC (if using custom TOC, **Formats** must be "From template"):



2. All TOC text must use Arial font and black (hex #000000) font color.

## 4.2.6 Tables

Tables are only permitted if the table:

1. Uses the RICR style **RICR Text**;
2. Fits within the margins of the document;
3. Is aligned with the text of the section, not the enumeration designation;

a. **Correct:**

Table is aligned with the paragraph text, not the enumeration designation.	
Table Text 1	Table Text 2



b. **Incorrect:**

Table is aligned with the enumeration designation, not the paragraph text, and is not within the document margins.	
Table Text 1	Table Text 2



4. Is added directly after text, and not as its own section (see below note); and
5. Abides by the following options:

**Permitted**

Borderless cells

Shading

**Prohibited**

Partial borders

**NOTE:** Tables must be inserted directly below text with no hard returns in between, not as its own section, otherwise it will not display interactively on the Part’s RICR webpage.

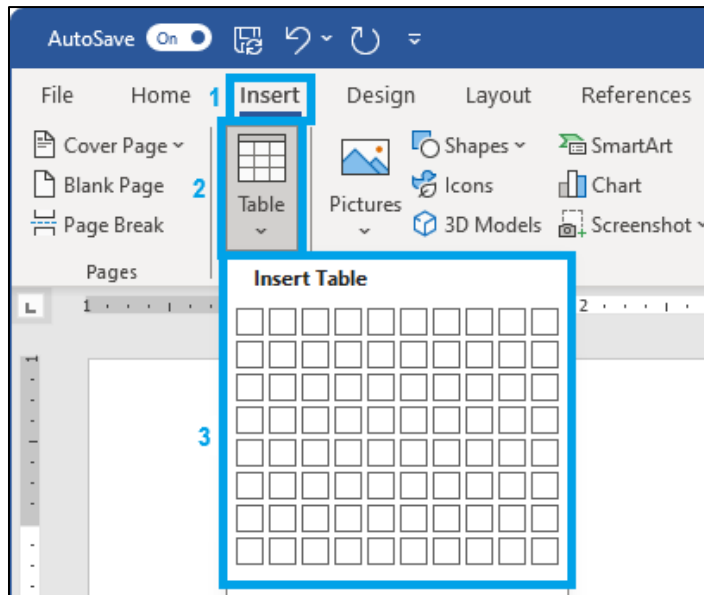
If need be, the text before the table may be just a title (i.e., “Table 1”).



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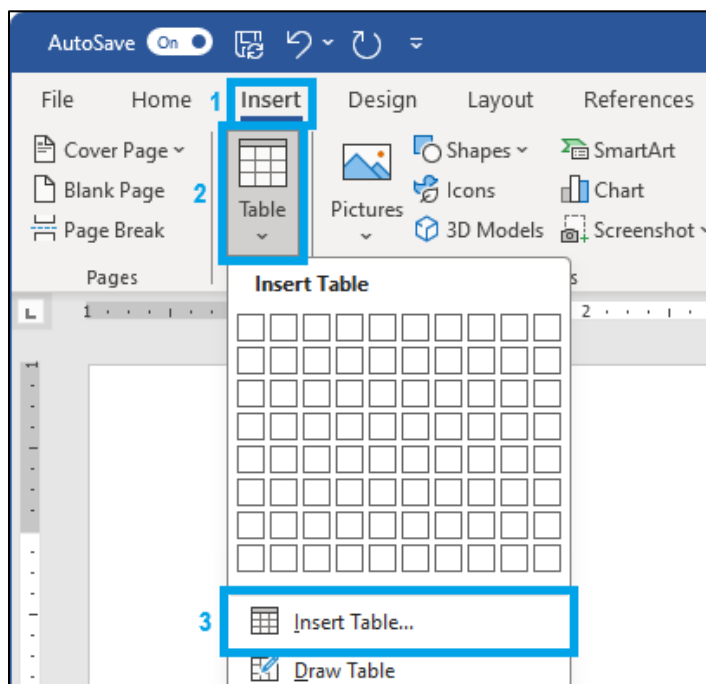
To create a new table, either complete step 1 or step 2:

1. Click **Insert > Table** and use the simple table creator to select the correct number of rows and columns by dragging the mouse over the boxes and clicking once the correct number of rows and columns are highlighted:



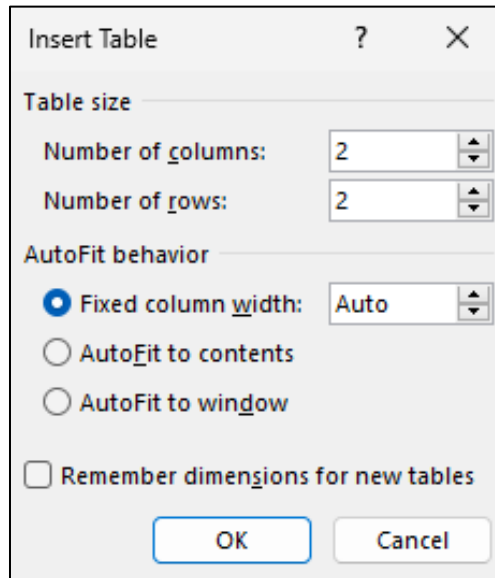
OR

2. Click **Insert > Table > Insert Table**:



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- a. Enter the number of columns and rows, ensure the AutoFit behavior is set to **Fixed column width: Auto**, and click **OK**:



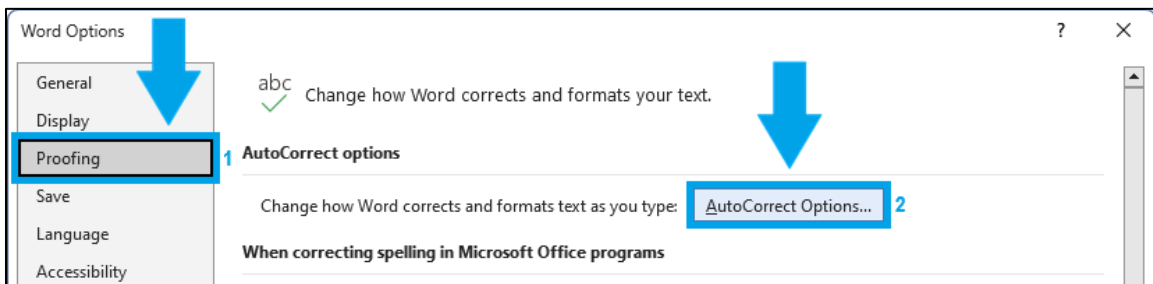
## 4.3 Prohibited Formatting

### 4.3.1 Automatic Numbering

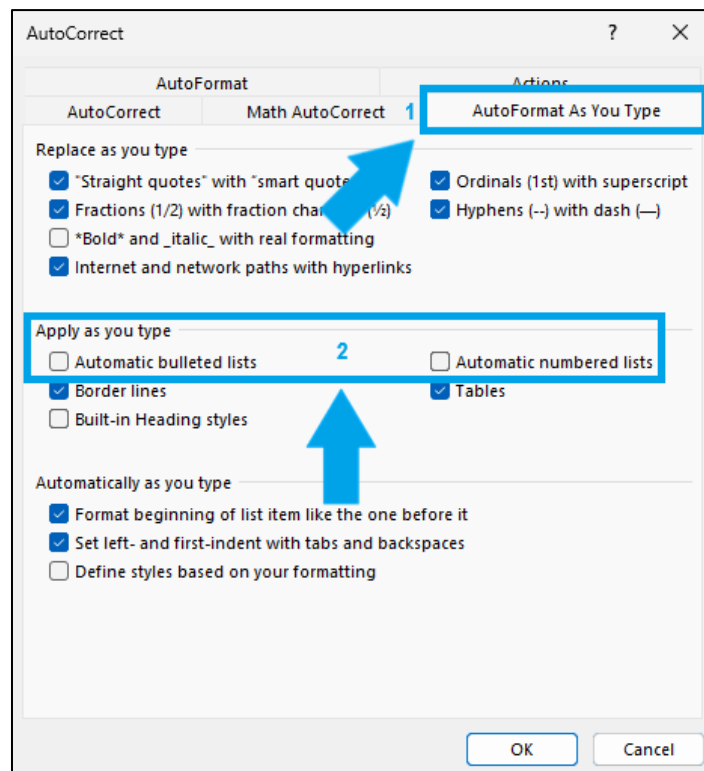
Automatic numbering is not permitted.

If the document tries to initiate automatic numbering, turn off that feature within the document by completing the following:

1. Click **File > Options** and then click **Proofing > AutoCorrect Options...**:



2. Click **AutoCorrect Options > AutoFormat As You Type**, uncheck **Automatic bulleted lists** and **Automatic numbered lists**, and click **OK**:



## 4.3.2 Bulleted Lists

Bulleted lists are not permitted, including but not limited to:

- Circle Bulleting
- Hollow Circle Bulleting
- Square Bulleting
- ❖ Diamond Bulleting
- Arrow Bulleting
- ✓ Checkmark Bulleting
- Dash Bulleting
- 🚩 Image Bulleting

Lists must be formatted into separate sections with corresponding enumeration designations. For example:

### **Incorrect**

- A. The Department of State requires that all Filers:
- Read the Agency Guide to Administrative Records;
  - Comply with the requirements found therein; and
  - Contact the Administrative Records Office with any questions.

### **Correct**

- A. The Department of State requires that all Filers:
1. Read the Agency Guide: Administrative Records;
  2. Comply with the requirements found therein; and
  3. Contact the Administrative Records Office with any questions.

### **4.3.3 Enumerations Within Paragraphs**

Enumerations within paragraphs are not permitted. Enumerations must be formatted into separate sections with corresponding enumeration designations. For example:

**Incorrect**

- A. The Department of State requires that all Filers (1) read Agency Guide: Administrative Records; (2) comply with the requirements found therein; and (3) contact the Administrative Records Office with any questions.

**Correct**

- A. The Department of State requires that all Filers:
1. Read Agency Guide: Administrative Records;
  2. Comply with the requirements found therein; and
  3. Contact the Administrative Records Office with any questions.

### 4.3.4 Headers/Footers

Headers and footers are not permitted.

### 4.3.5 Manual Alignment & Spacing

Using the space bar, tab key, or ruler to manually align sections, or adding hard returns between sections, is not permitted. *The RICR styles ([§ 4.1.3 of this Guide](#)) will automatically align text and add spacing between sections.*

### 4.3.6 Manual Emphasized Text

Using formatting for emphasis is not permitted, including:

1. **Bolded** text\*;
2. *Italicized* text\*; and
3. Underlined text.

*\*Permitted only for noted RICR style exceptions ([§ 4.1.3.3 of this Guide](#)).*

### 4.3.7 Page Numbers

Page numbers are not permitted within **Final Rules**.

Page numbers within **Proposed Rules** are only permitted if:

1. They are in the bottom-right corner of the footer; and
2. They are removed before submitting the Final Rule.

### 4.3.8 Watermarks

Watermarks are not permitted within **Final Rules**.

Watermarks within **Proposed Rules** are only permitted if:

1. They do not impede the readability of the Rule; and
2. They are removed before submitting the Final Rule.