



**STATE OF ALABAMA
STATE RECORDS COMMISSION
LOCAL GOVERNMENT RECORDS COMMISSION**

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ADAH Government Services Division staff request approval of the following additions or revisions to the county commissions' RDA.

Revisions to the County Commissions' Records Disposition Authority

Functional Analysis

Law Enforcement and Emergency Powers

Managing Emergencies. The Law Enforcement and Emergency Powers function of Alabama local government encompasses all objectives that pertain to ensuring public safety. Those having to do with law enforcement, fire protection, emergency communications, and emergency medical services are documented in other RDAs. This subfunction covers activities involved in responding to and managing natural disasters, as well as other actual or possible emergencies that threaten the community at large. In performing such activities, county emergency management agencies cooperate with both the Alabama Emergency Management Agency and federal authorities.

Records Appraisal

13. Managing Emergencies

Minutes, Agendas, and Packets of the Local Emergency Planning Committee and/or Emergency Management Oversight Board (13.01). These records document proceedings of the committee and/or board responsible for oversight and advice on emergency management functions within the county. They may include minutes, agendas, and packet materials; staff reports; correspondence with local, state, and federal agencies; and related documentation. These records provide primary documentation of emergency management programs and planning among various jurisdictions in and beyond the county.

- 13.01 Minutes, Agendas, and Packets of the Local Emergency Planning Committee and/or Emergency Management Oversight Board.** **PERMANENT** These records document proceedings of the committee responsible for oversight and advice on emergency management functions within the county. They may include minutes, agendas, and packet materials; staff reports; correspondence with local, state, and federal agencies; and related documentation.

Staff and Planning Meeting Minutes, Notes, and Packets (13.02). The agency may hold regular or periodic meetings with staff and other agencies, stakeholders, and partners to plan operations or review events. These records may include notes of meetings and informational materials reviewed by staff.

13.02 Staff and Planning Meeting Minutes, Notes, and Packets. The agency may hold regular or periodic meetings with staff and other agencies, stakeholders, and partners to plan operations or review events. These records may include minutes or notes of meetings and informational materials reviewed by staff. Retain for useful life.

County Emergency Operations Plans, Procedures, and Guidelines (13.03). These records consist of comprehensive emergency management plans, emergency operations plans, continuity of operations (COOP) plans, and standard operating procedures (SOP's) and guidelines (SOG's) created by each county EMA. They establish a framework for ensuring that the jurisdiction is adequately prepared to deal with various categories of emergencies. According to federal requirements, emergency operations plans must be updated regularly. Copies of all county emergency operations plans are provided to the state EMA, which maintains them permanently under its RDA. However, the approved plans are deemed by the county EMA officials staff consulted to have the importance to warrant permanent retention at the local level.

13.03 County Emergency Operations Plans and Guides. These records consist of emergency management plans, continuity of operations (COOP) plans, and standard operating plans (SOPs) and guidelines (SOGs) created by each county EMA. They establish a framework for ensuring that the county is adequately prepared to deal with various categories of emergencies. **PERMANENT**

Emergency and Disaster Incident Records (13.04). These records document planning and response activities taken during and after emergencies that occur within the county EMA's jurisdiction. They may include action plans, photographs, incident reports, damage reports, response reports, weather event files, correspondence, and related records, exclusive of those covered in Disaster Public Assistance Files (13.05). Besides their utility to the EMA in planning the future management of similar emergencies, these records have historical value in documenting memorable disasters occurring in the county.

13.04 Emergency and Disaster Incident Records. These records document planning and response activities taken during and after emergencies that occur within the county EMA's jurisdiction. They may include action plans, photographs, incident reports, damage reports, response reports, weather event files, correspondence, and related records, exclusive of those covered in Disaster Public Assistance Files (13.05 below). **PERMANENT**

Disaster Public Assistance Files (13.05). County EMA staff coordinate with state and federal authorities to obtain grants/loans for restoring public systems and facilities after a disaster. This series documents the application and disbursement of federal assistance to communities within the county EMA's jurisdiction. Typical records include applications for assistance, briefing

materials, project worksheets, correspondence, documentation of funds disbursed, and monthly claims for reimbursement of expenses. The Code of Federal Regulations (44 CFR 13.42) mandates three-year retention of these records.

13.05 Disaster Public Assistance Files. This series documents the application and disbursement of federal assistance to communities within the county EMA's jurisdiction. Typical records include applications for assistance, briefing materials, project worksheets, correspondence, documentation of funds disbursed, and monthly claims for reimbursement of expenses. Retain 3 years after federal audit is conducted.

13.06 Emergency Exercise and Training Records. These records document the performance of federally mandated emergency training exercises for assessment by the state EMA, as well as participation in live or online training courses. Included may be exercise scenarios and sequences of events, training schedule calendars and course announcements, lists of participants or attendee rosters, evaluations and critiques, and quarterly reports on training and exercise activities submitted to the state EMA.

a. Quarterly training and exercising reports submitted to the state EMA Retain 3 years after submission to the AEMA.

b. All other records Retain for useful life.

Public Education Program Records (13.07). These records related to the design and implementation of emergency management educational and outreach programs presented by the county EMA. They may include planning documentation, program descriptions, instructional materials, course outlines, enrollment and attendance records, presentations, audio and video materials, and course evaluations. Only planning documentation is appraised as permanent.

13.07 Public Education Program Records. These records related to the design and implementation of emergency management educational and outreach programs presented by the county EMA. They may include planning documentation, program descriptions, instructional materials, course outlines, enrollment and attendance records, presentations, audio and video materials, and course evaluations.

a. Planning documentation (policies, procedures, standards, and publications) PERMANENT

b. All other records Retain for useful life.

Hazardous Materials Incident Reports. These records detail all responses to hazardous materials incidents. The report contains the date and type of incident, the name and address of the party involved, and the incident’s disposition (such as the recovery of costs involved). Because environmental consultants frequently contact local EMA offices when conducting Phase I impact studies, these reports have long-term importance and are recommended for permanent retention.

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| 13.08 | Hazardous Materials Incident Reports. These records detail all responses to hazardous materials incidents. The report contains the date and type of incident, the name and address of the party involved, and the incident’s disposition (such as the recovery of costs involved). | PERMENENT |
| 13.09 | Tier II Reports. These records are reports filed by companies and businesses subject to SARA Title II (Community Right to Know Act), detailing chemicals (hazardous materials) stored in their facilities. | Retain 1 year after replacement by current Tier II report. |
| 13.10 | EMA Volunteers Files. These records document the use of volunteers by the county EMA. They may include selection criteria, application forms, credentialing information, and files on individual volunteers. | Retain 6 years after separation of volunteer. |

15. Administering Internal Operations—Managing Finances

Records Documenting County Funding of Non-Profit Agencies. These records were added to the municipal RDA in April, 2015. They are also appropriate for inclusion in the county commissions’ RDA. Records in the series include applications, contracts, reports, and financial records. The current schedule for Grant Project Files (14.08) cover only grants awarded to, not by, the county.

Records Documenting County Funding of Non-Profit Agencies (14.11). Counties may award funds annually or periodically to non-profit agencies within their corporate limits. Along with policy-related records establishing the program, records involved in this process may include: county funding guidelines and application forms, contracts with funded agencies, non-profit agencies’ verification of insurance coverage, agencies’ funding implementation reports, and related financial records. Proposed disposition requirements for these records are based on—but not identical to—those for similar records already in the RDA (grant files, contracts, etc.)

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| 15.11 | Records Documenting County Funding of Non-Profit Agencies. These records document funds awarded by county governments to non-profit agencies within their corporate limits. They may include: | |
| | a. Resolutions, or other directives establishing program requirements, policies, and guidelines | PERMANENT |
| | b. Guidelines and Application forms for each funding cycle
(<u>Note</u> : Disposition applies to one file copy.) | PERMANENT |

15.11

c. Applications for funding

Unsuccessful applications

Retain 3 years.

Successful applications

Retain in agency's project file.

d. Contracts with funded agencies

Retain 10 years.

e. Project files of funded agencies

(Note: For non-profit agencies that receive ongoing funding, municipalities may wish to retain project files from earlier funding cycles.)

Retain 2 years following audit.

f. Interim implementation reports by funded agencies, final financial reports and documentation, and correspondence (including correspondence with unsuccessful applicants)

Retain 2 years following audit.

g. Final narrative reports by funded agencies

PERMANENT

Steve Murray, Chairman
Local Government Records Commission

Date

By signing below, the agency acknowledges receipt of the retention periods and requirements established by the records disposition authority.

Chair
_____ County Commission

Date