

RECORDS RETENTION SCHEDULE

LG17

Municipal Emergency Management Agencies

April 2016

Office of the Secretary of State
Rhode Island State Archives & Public Records Administration
Rhode Island Local Government Records Program
337 Westminister Street
Providence, Rhode Island 02903

Records Retention Schedule LG17

Municipal Emergency Management Agencies

This Records Retention Schedule has been developed by the Rhode Island Local Government Records Program of the State Archives in an effort to assist government officials in the proper management of public records.

The schedule consists of nineteen (19) separate sets of records, or series, recognized as those records generated by the municipal clerk. Included in each entry is a series number, records series title and description, and a retention period. For example,

LG17.1.1 (c) Local Concept Plans (PLC)

Includes emergency operations (EOP), continuity of operations (COOP), continuity of government (COG), hazard identification and risk assessment (HIRA), gap analysis, mitigation plans, training plans and metropolitan medical response plan (MMRS)

Retention: Retain until updated or superseded but no less than three years.

The retention periods set forth in this document are minimum periods and are the result of analysis on the part of the State Archives concerning the legal, fiscal, administrative, and historical value of the records. Because many retention periods are based on state and federal statute and regulation, updates to this schedule may be issued to incorporate any changes.

Proper procedures for the destruction of public records must be adhered to. Records that are eligible for destruction can only be legally destroyed with an approved "Certificate of Records Destruction" (§38-1-10, §38-3-6 (j), and §42-8.1-10). A Certification of Records Destruction form and instructions are included with this schedule. State Archives staff members are always available to answer questions you might have regarding any records issues.

Local government officials should also consult with the municipal solicitor to determine if any records eligible for destruction may be involved in current, pending or anticipated litigation, any government investigation or regulatory proceeding, or request under the Access to Public Records Act (RIGL §38-2).

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Rhode Island Local Government Records Program
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Providence, Rhode Island 02903
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**State of Rhode Island and Providence Plantations
Rhode Island State Archives & Public Records Administration**

CERTIFICATION OF RECORDS DESTRUCTION

1. Department			
2. Division		3. Date	
In accordance with the Authority granted by Title 38 of the Rhode Island General Laws these records have met the legal retention requirements and are eligible for destruction.			
4. Record Series Number (from schedule)	5. Record Series Title	6. Dates to/from	7. Volume
8. I certify that I have reviewed the above listed records and authorize their destruction. Dept. Head or Records Custodian _____ State Archivist _____ & Public Records Administrator _____			

Signed and executed Certificate is a permanent record. (§42-8.1-10)

Certification of Records Destruction

Instructions for completing the form. Numbers below correspond with blocks on the Certification of Records Destruction form, a copy of which is provided on the previous page. The form may be reproduced.

1. Department - means any state or local government entity. Include the name of your city or town.
2. Division - means any sub-unit of any department.
3. Date - the date your department prepared the form.
4. Record Series Number - enter the exact series number. Each series listed on retention schedules has a unique identifying number. Series numbers are preceded by the letters LG on municipal schedules and on General Schedules by the letters GS.
5. Record Series Title - enter the exact record series title, as listed on the retention schedule. Each series title should correspond to the one cited in the schedule. If your department uses different titles than those found in the schedules, you may want to add the local title in square brackets [] under each entry on the form.
Note: Using the precise record series number and title will expedite the approval process.
6. Dates to/from - enter the earliest and latest dates covered by the records proposed for destruction. In most cases just the year will suffice.
Note: *For purposes of calculating retention, do not count the year in which the records were created.* If the retention period of a particular series is qualified by wording such as "audit plus one year" or "three years after expiration," the date of the completed audit or the year of expiration needs to be also noted.
7. Volume - enter the volume of records to be destroyed. Volume is most easily measured by the number of inches or linear feet of records, although cubic foot measurements give a more accurate figure. A table of volumes and a cubic foot equivalency formula are provided below.
8. Department Head or Records Custodian - signature of the local official authorized to request records destruction.

Send the completed form to the Rhode Island State Archives. The Certificate will be reviewed, countersigned by the State Archivist/Public Records Administrator, and then returned. Upon receipt the records may legally be destroyed. The signed and executed Certification of Records Destruction must be retained as a permanent record under RIGL §42-8.1-10.

Table of Volumes

standard records storage box (15" x 12" x 10")	1.2 cubic foot
letter size file drawer	1.5 cubic feet
legal size file drawer	2 cubic feet
lateral file drawer	2.5 cubic feet

Cubic Foot Equivalency Formula

$$\frac{L \times W \times H \text{ (inches)}}{1728} = \text{cubic feet/unit}$$

LG17.1 Plans and Reports

LG17.1.1 Plans

Plans are maintained by the agency and relate to the core mission of the agency (mitigation, preparedness, response and recovery). Plans document policies, procedures, critical infrastructure, continuity of operations etc. Plans evolve and are updated as necessary.

a) Local Strategic Plans (PLS)

Includes assessments of critical infrastructure

Retention: Permanent. Retain one record copy signed or issued by department or division head.

b) Procedural Plans (PLP)

Includes procedural SOP (standard operating procedures) and procedural overview done as a requirement of the Local Concept Plan (PLC) for the Emergency Operations Plan. May include infrastructure including communications, volunteers, mass casualty and dam profiles. Field operating guides (FOGs), Weather SOP's including shelters, special events and contingency plans.

Retention: Retain until updated, and then review for historical or long-term reference value.

c) Local Concept Plans (PLC)

Includes emergency operations (EOP), continuity of operations (COOP), continuity of government (COG), hazard identification and risk assessment (HIRA), gap analysis, mitigation plans, training plans and metropolitan medical response plan (MMRS)

Retention: Retain until updated or superseded but no less than three years.

d) Local Operations Plan (PLO) & Emergency Support Functions (ESF)

Includes damage assessment, debris management, resource management, hazardous materials (HAZMAT), marine and railroad emergency and medical emergency, emergency action plans (EAPs) for specific infrastructure and agencies within the municipality

Retention: Retain until updated or superseded but no less than three years.

e) State and Federal Plans

Copies of plans created by the federal emergency management agency (Homeland Security/FEMA) and state emergency management agency (RIEMA) including the state emergency operations plan.

Retention: Retain until of no further administrative value

LG17.1.2 SARA Title III Tier II Inventory Reports

Annual filings of hazardous chemical inventory reports made by local employers to the Rhode Island Department of Labor per RIGL §28-21 with copies filed with the Rhode Island State Emergency Response Commission, municipal fire departments and local emergency management officials. May include attached business plans with locus maps, building plans, emergency response actions plans, integrated contingency plans and safety data sheets.

a) SARA Title III Tier II Inventory Reports

Retention: Retain three (3) years.

b) Business plans filed with the agency.

Retention: Retain current plan long as the employer does business in the municipality, plus seven (7) years.

c) All other records

Retention: Retain as long as the employer does business in the municipality, plus seven (7) years.

Note: The Rhode Island Department of Labor retains Tier II inventory reports and data thirty (30) years.

See also: LG9.3 Fire Department Records – Hazardous Materials

LG17.1.3 After Action Reports

Reports of actions taken in conjunction with training/drills and real events that may include but is not limited to a synopsis of the event or training, an overview of the operation, incident analysis, lessons learned, summary of damaged, lost or contaminated equipment and supplies, call for service reports and logs (call-in incidents with locations) and improvement reports. After action reports are required for reimbursements through grant-funded projects or federal assistance.

Retention: Retain reports relative to training and drills until of no further administrative value but no less than three years. Retain reports for real events and declared states of emergency permanently.

Note: Some records may be duplicated in grant files as required by the terms of the grant. See LG17.4.5 and LG17.4.6 for retention of grant records in this document.

LG17.1.4 Maps and Plans

Maps and plans received, created and maintained by the agency in conjunction with activities relating to mitigation, preparedness, response and recovery.

a) Maps created by the agency

Retention: Retain until of no further administrative value but no less than three (3) years then review for historical or long-term reference value.

b) Copies of maps created by Federal, State and other Municipal agencies

Retention: Retain until updated, superseded or until of no further administrative value.

LG17.2 Training Records and Exercises

LG17.2.1 Training Records and Exercises

Emergency management staff participates in and conduct and/or sponsor training activities for various constituencies. Purposes of training activities may include: staff continuing education and certifications, mutual aid, federal mandates, training as specified from federal grants and or programs relating to mitigation, preparedness, response and recovery. Records of training activities may include but are not limited to: training manuals, press releases, curriculum/training descriptions, and testing materials, names of attendees, schedules, syllabi, agendas and documentation, sign-in sheets, and names and qualifications of trainers.

a) Training manuals, curriculum/syllabi, and testing materials.

Retention: Retain until of no further administrative value but no less than three (3) years.

b) Staff certifications.

Retention: Retain until updated, superseded, recertification or separation. Summary information or copies may reside in the personnel folder.

c) Course evaluations relating to a)

Retention: Retain until data is compiled and report is complete but no less than one (1) year. See GRS5.4 – Surveys/Questionnaires

d) Professional organization conference records.

Retention: See GRS5.12 – Professional Organization Membership files

e) Press releases and related records

Retention: See GRS5.7 – Public Relations Records

f) All other records

Retention: Retain three (3) years.

Note: Some records may be duplicated in grant files as required by the terms of the grant. See LG17.4.5 and LG17.4.6 for retention of grant records in this document.

LG17.3 Facilities and Equipment

LG17.3.1 Testing Records

Records and logs that document periodic (monthly, quarterly) testing of equipment and systems such as notification, communication and warning systems (e.g. Reverse 911, Red Cross Emergency Notification System, Port Siren System, Chemical Detection Systems, Emergency Alert Systems, NOAA Weather, Emergency Management State Radio System, Rhode Island Broadcaster Association, Amber Alert) communications equipment (radios, phones, teleconference systems), mobile command systems, generators, social media accounts and Special Needs Registry Records may include but are not limited to: testing logs, vendor records (copies of invoices and purchase orders, vendor inspection reports),

correspondence or email regarding system maintenance, repairs and failures, tests schedules and/or calendars.

Retention: Retain three (3) years.

LG17.3.2 Vehicle and Equipment Records

Records relating to vehicles or equipment owned and/or serviced by the agency. May include title, registration, inspection, maintenance and repair records, checklists, operation manuals and incident/accident reports. May include checklists, fuel consumed, meter readings, mileage logs and sign-out sheets.

a) Inspection sheets, checklists, meter readings, mileage logs and sign-out sheets.

Retention: Retain three (3) years.

b) All other records

Retention: Retain one (1) year after disposal of vehicle and completion of municipal audit.

Note: See GRS4.6 – Vehicle Records

LG17.3.3 Equipment Inventory/Supply Records

Records, which document current supply/stock or provisions, stored as needed for various operations. Supplies for mobile command/emergency operations centers, storage containers, disaster recovery kits, and water trailers are periodically checked for supply levels and replenished as needed. Supplies may include but are not limited to include protective gear, potable water, first aid, communications and computer equipment, video and lighting equipment, and tools. Records may include but are not limited to inventory sheets and copies of purchasing records

Retention: Retain three (3) years.

See also LG2.8.8 Fixed Asset Records

LG17.4 Administration

LG17.4.1 Accreditation Records

The emergency management agency may become accredited under the Emergency Management Accreditation Program (EMAP). This program is a voluntary assessment and accreditation process for emergency management programs. Records generated for the accreditation process serve to assist the agency in the strategic planning and improvement of the agency's goals and focus it to its core mission. Records may include but are not limited to the accreditation application, advisory committee documentation, correspondence, assessment records and decisions.

Retention: Retain until next re-accreditation or five (5) years whichever is longer.

Note: Some records such as plans; policies and procedures may be duplicates of records in grant files created as required by the terms of the grant or in other series enumerated in this and other applicable schedules.

LG17.4.2 Contracts and agreements

Records of contracts or agreements relating to mutual aid, data and resource sharing, service agreements and memorandum of understanding.

Retention: Retain ten (10) years after expiration of contract or agreement
See LG2.4.3 Contracts

See Also: GRS7.11 Information management records (Data/Resource Sharing agreements)

LG17.4.3 Laws and Executive Orders

Copies of records that establish the legal authority of the agency and its programs. May include copies of public laws, regulations, council ordinances and executive orders.

Retention: Retain until of no further administrative value (GRS5.11 – Reference Material) or as needed for accreditation purposes.

Note: Original or record copies of ordinances issued by a municipal council, public laws passed by the general assembly, executive orders by the governor or mayor are retained as permanent records. Regulations promulgated by state agencies are maintained as permanent records by the agency, office or governing body that created the record. Filed copies of state regulations are also maintained by the Archives Division, Office of Administrative Records.

LG17.4.4 Directives and Orders/Policies

Official statements of policy, operating procedure, and standards. May include general or special orders.

Retention: Permanent - one record copy signed or issued by department or division head.

LG17.4.5 Grant Files

Records relating to the agency's development of grant proposals to state or federal agencies or other funding sources, as well as records related to the administration of its own grant programs or programs administered by the agency. Records may include, but are not limited to, grant applications and agreements, studies, notices, technical specification, drawings, plans, bid and contract records, accounting, banking, purchasing, and payroll records, bonds, monitoring and performance reports, expenditure and outlay reports, memoranda, and correspondence.

a) Grant applications and amendments, final performance, disposition and expenditure reports.

Retention: Permanent.

b) Financial and programmatic records, periodic performance reports, supporting documents, statistical records, other required and pertinent records

Retention: Retain ten (10) years from submission of closeout and final expenditure report or submission of annual financial status report for grants renewed annually.

c) Real property and equipment records

Retention: Retain ten (10) years from the date of disposition, replacement, or transfer of property/equipment.

**d) Income transaction records (earning of income) after grant support
(Where required by the terms of the grant)**

Retention: Retain ten (10) years from the end of fiscal year in which the income is earned.

e) Unsuccessful grant applications

Retention: Retain three (3) years.

Note: If any litigation, claim, negotiation, audit or other action has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.

Note: Any records related to a contract or liability under seal, or any judgment or decree by a federal or state court, should be retained for twenty years (RIGL §9-1-17).

LG17.4.6 Sub-recipient grant records

Local emergency management agencies receive sub-grant funding as sub-recipients through the state's emergency management agency, RIEMA. Types of federal grants, received and managed through RIEMA, may include but are not limited to: Public Assistance Grants, Hazard Mitigation Assistance Grants, Emergency Management Preparation Grants and the State Homeland Security Grant program. Records created by the local EMA include but are not limited to: reports, plans and forms as required by RIEMA or any other state agency where the local EMA is a sub-recipient as well as purchasing records (invoices, purchase orders, packing slips) and payroll records.

Retention: Retain for ten (10) years after the end of the sub-grant period (closeout date), or ten (10) years after audit (if applicable to OMB A-133 audit requirements) or ten (10) years after the completion of the municipal audit, whichever is later.

Note: If any litigation, claim, negotiation, or other action involving the records has been started before the expiration of the ten (10) year period, the records must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the ten (10) year period, whichever is later.

Note: For the retention of grant applications and amendments, final performance, disposition and expenditure reports that is not a sub-grant see: LG17.4.5– Grant files.

LG17.4.7 Independent Auditor's Reports

Audits performed in compliance with OMB Circular A-133 or as specified by the terms of the grant.

Retention: Retain ten (10) years.

Note: For the retention of municipal audit, see: LG2.1.9 - Audit Records and Financial Reports

LG17.4.8 Reports

Internally generated reports *not covered in other record series*, including reports and returns to municipal departments and state and federal agencies. Includes reports created by outside entities or consultants for the agency.

a) Daily and weekly reports

Retention: Retain one (1) year.

Note: Reports required in audit process must be retained one (1) year after audit is completed.

b) Monthly, quarterly and periodic reports

Retention: Retain three (3) years.

c) Annual and special reports and studies

Retention: Permanent.

Note: Official or record copy of annual reports generated by departments of municipal governments should be held by the agency that created the report.

LG17.4.9 Minutes

Record of meetings, including minutes, agendas, and calendars of the municipal Emergency Management Advisory Council.

Retention: Retain the official record permanently. Retain copies until of no further administrative value.

LG17.4.10 Reference Library

State or federal reports and guides, national standards, workbooks and other planning materials not created by or for the municipal agency.

Retention: Retain until updated, superseded or of no further administrative value.
See GRS5.11 – Reference Materials.

LG17.4.11 Certification of Records Destruction

Certification of Records Destruction forms (PRA 003) signed by 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(j), and § 42-8.1-10.).

Retention: Permanent.

See also:

GRS1 Executive, High-Level and Policy Making Records

GRS2 Legal Records

GRS3 Safety and Security Records

GRS4 Facilities Records

GRS5 Daily Operations Records

GRS6 Records Management Records

GRS7 Information Management Records

GS1 & GS2 (Fiscal and Payroll Records - if not fiscal authority)

GRS9 Personnel Records (if not delegated authority)

All general schedules are available at <http://sos.ri.gov/divisions/frequent-filers/records-management>