

Alabama County Commissions



Functional Analysis & Records Disposition Authority

**Revision Approved by
the Local Government
Records Commission
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Functional and Organizational Analysis of Alabama County Commissions

Sources of Information

Representatives of Alabama County Commissions
Representatives of Alabama Emergency Management Agencies
Alabama Administrative Code
Alabama Department of Environmental Management
Alabama Government Manual (1998)
Association of County Commissions of Alabama
Code of Alabama 1975
Martin, David. *Alabama's State and Local Governments* (1988)
McCurley, Robert L., Jr. *Handbook for Alabama County Commissioners* (1997)

Historical Context of Alabama County Commissions

Counties are political subdivisions of our state, organized to assist in the local administration of state functions. Historically, they evolved from the form of local government established in England before the Norman Conquest of 1066. Counties were first established in the American colonies during the 17th century and were especially important in the southern colonies. There are more than three thousand counties now in the United States.

Washington County was the first Alabama county, created in 1800, or two years after the territory now forming the states of Alabama and Mississippi was organized into the Mississippi Territory. The territorial legislature (first of the Mississippi Territory and, after 1817, of the Alabama Territory) created additional counties as the area was settled. By the time Alabama entered the Union in December 1819, 29 counties had been organized. The legislature continued to establish counties as the need arose, primarily in the 1830's and 1860's, so that the entire territory of the state was organized into 66 counties by the time the current Constitution was adopted in 1901. Presently, there are 67 counties in the State of Alabama.

The first local government system in Alabama was the county court system. In 1821, this system was changed to increase the number of justices, which led to the establishment of a new court, the Court of County Commissioners. This arrangement provided for a certain amount of separation between the administrative and judicial functions of government at the county level. The new commissioners were assigned administrative and legislative functions, such as control over roads, ferries, and bridges and the management of public buildings. In 1866, additional responsibilities were added to include governing local election administration, licensing, and record-keeping. Formerly, counties operated under a system of district road commissioners, each of whom had his own road crew. Only thirteen Alabama counties still retain this system; elsewhere, a county engineer has generally assumed the duties of the road commission. To this day, however, the state legislature continues to control county government activities, as matters apparently of purely local importance must often be submitted for legislative action in the form of local bills and local constitutional amendments.

Agency Organization

For many purposes (such as allocating funds), the county commission is the governing body of the county. The commission consists of three to nine members and may include the probate judge. The commissioners are elected and serve a four-year term, as prescribed in the Code of Alabama 1975, Section 11-3-1. However, the same section provides that local laws may change their tenure to some other term of years. Section 12-13-30 authorizes the probate judge to serve a six-year term. The probate judge is elected by the county at large, but a more restricted form of residence applies to most commissioners. Normally, counties are divided into districts, and a commissioner is elected in each district. In a few counties, commissioners may be elected on a county-wide basis, without regard to residence. If the probate judge does not serve as chairperson of the commission, the chairperson may be elected on a county-wide basis or selected by the commissioners themselves. Commission members can only be removed by impeachment proceedings held in the county's circuit court. To qualify for the office of county commissioner, an individual must be a resident of the county or district he or she would represent and a qualified elector of the county. Commissioners must file a bond (made by a surety or guaranty company authorized by law to conduct business in the state) and take an official oath of office. They cannot hold another office while serving as commissioner.

County commissioners are charged with many responsibilities. In order to address the needs of the county, most county commissions employ an individual usually referred to as the county administrator. The administrator generally manages the county's day-to-day business. Since the commissioners may not be present during day-to-day operations, they rely heavily on the administrator to keep them informed by maintaining a close working relationship. County administrators are primarily financial managers. Their duties include: preparing budgets, supervising financial record-keeping, monitoring revenues and expenditures, making investments, and preparing financial reports. The county administrator also monitors the results of state and federal legislation that affects the county, working with the county attorney to stay informed of the courts' and attorney general's interpretations of legislation affecting county operations. In order for the commission to operate smoothly, the administrator hires personnel and assigns job responsibilities.

Agency Functions and Subfunctions

The Code of Alabama 1975, in Sections 11-3-10 and 11-3-11, establishes many of the powers and duties of county commissions. Additional authority for county commission actions is found elsewhere in Title 11 and, indeed, throughout the Code. The mandated function of the commission is to direct, control, and maintain the property of the county as it may deem expedient according to the law. The county commission determines where the courthouse(s) will be in each county and designates the location of each official's office. The commission oversees the establishment of new roads and bridges, and makes changes to existing roads or bridges, in order to improve travel throughout the county. The commission levies taxes; examines and settles claims against the county; audits accounts of all county officers having care, management, or disbursement of county funds; and contracts for county services. Generally, the county commissions' duties fall under the Policy & Statute Development, Public Services, Economic & Community

Development, Regulation, and Administrative Support Operations functions herein identified for Alabama local government.

In the performance of their authorized or mandated functions, county commissions may engage in the following subfunctions:

Policy and Statute Development

Making and Implementing Policy. The county commission establishes policy for the county by adopting resolutions that embody policy decisions. Resolutions are adopted during the commission's regular meetings. The public may attend those meetings and contribute ideas and opinions that may influence the commission's decisions. Special meetings may be called by the commission when special issues or needs arise. Public hearings may be held at this time. Policy decisions by the commission are made in accordance with state and federal regulations.

Authorizing Revenue Collection and Collecting Revenue. Counties are delegated limited powers of taxation by the state. The commission levies taxes authorized by the state constitution or by local and general acts of the legislature. Property taxes continue to be a major source of county revenue; but the county also receives a portion of its revenue from other sources, such as the business license tax, gasoline tax, automobile license tax, corporate franchise tax, privilege licenses, occupational tax, sales tax, alcoholic beverage tax, severance tax, TVA distribution, mineral documentary tax, and fees for services. At its discretion, the commission allocates percentages of taxes and fees collected to fund various county functions. The assessment and collection of taxes is, of course, the responsibility of the county tax assessor and tax collector, or of a revenue commissioner in counties wherein the offices have been combined. However, in some counties, such as Montgomery County, the county's sales tax office is separate from the county taxation office. In these counties, the county commission is responsible for the records of the county taxation office.

Facilitating Elections. Under Title 17, Chapter 5A of the Code of Alabama 1975, each county commission is responsible for establishing and defining the boundaries of electoral precincts, voting districts, and polling places for the county. Along with the county board of registrars, it coordinates with the state reapportionment task force and supplies information to the U.S. Census Bureau in order to ensure that the county's electoral precincts and districts remain equitable. The county commission also purchases voting machines, maintains them, and pays the costs of individual elections.

Public Services

Providing Utility and Sanitation Services. The commission provides for citizens of the county to receive various utility and sanitation services, either by establishing a county department to administer the service or by contracting with private vendors. The commission also directs the acquisition of water, sewer, and sanitation services for county property and residents of the county.

Building and Maintaining Roads and Bridges. The commission provides for building roads and bridges throughout the county. Most counties maintain road departments that usually employ a sizeable number of people to build and maintain roads and bridges. The commission may also contract for portions of this service (such as spreading asphalt). The commission monitors roads and bridge improvement projects to continue making travel safe for all citizens. The commission controls travel safety by posting speed limits on streets and highways that fall under its jurisdiction.

Providing Public Transportation Systems and Facilities. This subfunction pertains to the operation and maintenance of airports, public transit systems, and other public transportation services or facilities that some counties provide to citizens. (Other counties support municipal or regional entities that provide such services.) The operation of some facilities, such as airports, may be subject to state and federal requirements and administered by autonomous authorities.

Providing Senior Services. Counties may provide services to their senior citizens, either in cooperation with area councils on aging or independently. Such services (sometimes conducted through local non-profit agencies, volunteers, or vendors) may include: operating senior centers that provide meals, health and welfare programs, and recreational and social opportunities; providing transportation services; supporting senior citizen discount programs; providing counseling, case work, referrals, and other social services; offering home health care through the Medicaid Waiver Program; providing in-home services, such as house cleaning and escorted shopping; employing federal funds to provide job or volunteer opportunities; and investigating complaints about residential health care facilities.

Economic and Community Development

Planning and Improving Community Development. Most county commissions participate in the planning function through a regional planning commission, under statutes authorizing the county commission to develop a master plan for the county's physical development (Code of Alabama 1975, Sections 11-85-1 through 11-85-7). The Code of Alabama 1975, Sections 11-81-140 through 11-81-150, authorizes the commission to issue public improvement revenue bonds for county improvements. The types of improvement undertaken may include building or improving parks, airports, docks, hospitals, public markets, tennis courts, swimming pools, golf courses, agricultural facilities, etc.

Recruiting Business and Industry. The object of this subfunction is to attract new business ventures to the county. County governments may cooperate with regional planning commissions, municipalities, and non-government agencies such as chambers of commerce and tourism councils, in promoting county resources to potential businesses and residents. Counties may operate civic centers and industrial parks as sites to attract business conferences and industrial development.

Regulation

Zoning and Regulating Subdivisions. As a general rule, Alabama counties do not possess the comprehensive planning and zoning authority necessary to control the development and use of territory lying outside the boundaries of incorporated municipalities. However, there are provisions of law under which particular aspects of the physical development of nonmunicipal territory may be planned and controlled to a significant degree. Each county governing body is authorized to adopt a comprehensive land management and use program for flood-prone areas and to regulate subdivisions in the county lying outside the corporate limits of municipalities. (See the Code of Alabama 1975, Title 11, Chapter 24.)

Licensing/Permitting and Inspecting. The commission issues licenses and permits to regulate some activities conducted within the county's jurisdiction. The commission regulates such county services and facilities as building and housing construction, code enforcement, utilities (gas, water, sewer), health and sanitation, fire prevention, and recreational facilities. A few counties employ license commissioners to issue licenses and permits for the commission and collect the associated fees. Inspections are conducted by county license inspectors responsible for enforcing codes and regulations.

Vaccinating and Controlling Domestic Animals. Under the Code of Alabama 1975, Section 3-7A-7, "it shall be the duty of each and every county in the state to provide a suitable county pound and impounding officer for the impoundment of dogs and cats found running loose in violation of the provisions of this chapter." Section 3-7A-2 requires "every owner of a dog or cat" to have the animal immunized against rabies by the county's rabies control officers or a "duly licensed veterinarian." Besides providing immunizations, counties may maintain a "dog pound" and mobile animal control units to pick up stray animals and, eventually, destroy those not claimed.

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.

Administrative Support Operations

Constructing County Buildings and Managing Office Space. This subfunction encompasses the responsibility of constructing courthouses and other county buildings. The Code of Alabama 1975, Section 11-3-11, authorizes the commission to build and manage property owned by the county and to designate office areas by placing personnel at each location in the building. The commission's responsibilities in this area extend to county government as a whole and therefore warrant designation as a separate subfunction, rather than inclusion under the property management activity of the Administering Internal Operations subfunction.

Administering Internal Operations. A significant portion of the county commission's and county administrator's work includes general administrative, financial, and personnel activities performed to support its programmatic areas. These activities include:

Managing the agency. Activities include internal office management activities common to most government agencies, such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems technology.

Managing finances. Activities include budgeting (preparing and reviewing a budget package; preparing and passing a budget; documenting budgetary amendments and performance; and reporting on established budget categories); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; assisting in the audit process; investing; and issuing bonds.

Managing human resources. Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees, such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, promoting, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining.

Managing properties, facilities, and resources. Activities include inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities, leasing and/or renting offices or facilities; providing security for property owned by the agency; insuring property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis Of Record-Keeping Systems and Records Appraisal of Alabama County Commissions

Agency Record-Keeping Systems

Alabama county commissions most often operate hybrid record-keeping systems composed of paper, microfilm, and electronic records. Paper records are normally stored on-site in county courthouses and annexes, but some counties maintain off-site back-up copies of microfilm or computerized record-keeping media. Generally speaking, counties tend to lack adequate space and a suitable environment for preserving records. Many are now adopting digital imaging technology to reduce the volume of paper records they must store.

Records Appraisal

The following is a discussion of the three major categories of records created and/or maintained by Alabama county commissions: temporary records, permanent records, and records no longer created.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal, and administrative requirements have been met. Records discussed here have been added or revised in disposition since the last revision of the RDA.

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.

Facilities/Buildings Security Records (17.07). These records document the county's efforts to provide security to members of the public using its buildings and facilities, as well as to monitor the admission of staff and visitors to these areas. They may include visitors' logs or sign-in sheets, staff swipe card logs, alarm system logs, recordings of security monitoring or response, and any other records documenting security staff's response to alarms or emergencies. In this edition of the RDA, retention requirements are lengthened to six months for security recordings that do not become part of a case file, in compliance with recently approved requirements for such recordings held by other local government jurisdictions.

II. Permanent Records. The Government Records Division recommends the following records as permanent:

Making and Implementing Policy

Administrative Correspondence (1.01). This correspondence documents the formulation of policy or rule-making decisions by the county commission or other county officials. It may reflect the influence of citizens on policy development, include statistical or technical information of long-term administrative value, and document planning activities conducted by the county commission and allied agencies, such as state or federal authorities or the area's regional planning commission.

County Commission Minutes, Meeting Agendas, and Packets (1.02). These records document meetings of the county commission. The Code of Alabama 1975, Section 11-3-18, mandates that the commission's chairman record the proceedings at its meetings. Minutes, along with meeting agendas and packet materials reviewed by the commission (copies of budgets, work plans, and other background information), are essential to document the evolution of commission policy and procedures. Under the provisions of the Code of Alabama 1975, Section 36-25A-2, commission work sessions are defined as open meetings. A note has therefore been added to the schedule stating that minutes and related records of work sessions are included in the disposition.

Resolutions (1.04). Commission policy statements, regulatory actions, and other decisions on matters that affect the county are embodied in the form of resolutions passed at commission meetings. Annual budgets, and amendments to the budgets, also take the form of resolutions. Along with meeting minutes, resolutions are the county commission's primary legislative records. They are essential for documenting policy development and are therefore appraised as permanent.

Administrative Codes and Regulations (1.05). In performing various administrative and regulatory duties, the county commission may approve detailed codes and regulations to supplement its resolutions. Codes and regulations in such areas as industrial development, public health, medical service, utilities, waste disposal, may be based on state and federal requirements or cooperative agreements with nearby municipalities. (See Title 11, Chapter 80 of the Code of Alabama 1975.) Under Code Sections 11-13-1 and -2, the county commission may periodically codify its resolutions, legislative acts of local application, and administrative codes and regulations.

Authorizing Revenue Collection and Collecting Revenue

Permanent documentation of this subfunction is found in commission resolutions authorizing revenue collection. The actual collection of revenue is permanently documented in general ledgers/trial balances and audit reports, listed under the Administering Internal Operations subfunction, and in records maintained by county taxation officials.

Facilitating Elections

Maps of County Electoral Precincts (3.01). Under the Code of Alabama 1975, Section 17-5A-3, "each county governing body shall provide and maintain at all times a suitable map showing the current geographical boundaries with designation of precincts and a legal description of the geographical boundaries of each precinct. Each county governing body shall send a copy of each

map, with description attached, to the county board of registrars, the probate judge, and the [state] reapportionment task force.” These records are therefore permanent, although the disposition permits the destruction of duplicate copies as soon as they are superseded.

Providing Utility and Sanitation Services

Utility Board/Commission Meeting/Hearing Minutes, Agendas, and Packets (4.01). These records include meeting and hearing minutes of the board or commission overseeing the operation of the county’s public utilities, except for those under the sole jurisdiction of incorporated towns or cities. Such records, like those of other boards and commissions, are permanent because they are essential to document decisions of the board. The records also include a copy of the meeting agenda and any background materials (packets) distributed to or reviewed by the utility board or commission. This series has been retitled to conform with identical records listed in the municipal RDA.

Utility System Maps, Plans, Profiles, and Photographs (4.02a). These records include maps, profiles, plans, and photographs of sewer systems, water reservoirs, and other utility constructions operated by the county or its service vendors. Under Title 11, Chapter 50 of the Code of Alabama 1975, such records shall be available for inspection by the affected property owners. However, the proposed disposition allows the eventual destruction of records for systems or reservoirs not actually leased or purchased by the county (4.02b) after the system is no longer in use.

Annual Water Quality Reports (4.08k). These are “reports pertaining to the quality of water or operation of [a county’s] water supply system.” They are required under the federal Safe Drinking Water Act of 1974, as amended in 1986 and 1996, and now codified under Title 42 CFR. Under the Alabama Administrative Code, Chapter 335-7-10.05(h), copies of the report “shall be furnished to [ADEM] upon request and must be available for review by the public.” Such reports may contain “information about the source of water and the process used to purify it,” as well as tables of annual laboratory test results, public health information, and tips on maintaining home sewer systems. The records provide excellent summary documentation of county water works’ services to citizens and compliance with state and federal regulations. They are appraised here as permanent, as they were in the 2008 revision of the municipal RDA.

Landfill Records—Records of Closed Landfills (4.09d). Sanitary landfills are monitored by the Alabama Department of Environmental Management (ADEM), and their record-keeping is governed by Chapter 335.13-4-.29 of the Alabama Administrative Code. Landfill records include permits, operational records, engineering drawings; closure and post-closure care plans, and explosive gas and groundwater monitoring and correction plans. The previous disposition of most records—“Retain 30 years after closure of landfill, or until released by ADEM”—was based on 2007 conversations with ADEM officials. Recently, they have informed us that ADEM does not require local retention of outdated closure, post-closure, and monitoring plans beyond three years, although current plans must always be available for public inspection at the landfill. When a local landfill closes, ADEM purportedly retains its final records permanently, but the agency does not require localities to keep closed landfills’ engineering drawings or final closure and groundwater monitoring plans. Nevertheless, landfills may have an environmental impact

lasting many years beyond their closure, so this edition of the RDA assigns the county commission that responsibility.

Building and Maintaining Roads and Bridges

Right-of-Way Deeds, Maps, and Drawings (5.01). As they document the county's ownership of right-of-way over lands on which roads and bridges are constructed, these records have permanent legal and historical value. They contain a legal description and diagram of the right-of-way, and the land's location. A copy of the deed is kept on file at the county probate office.

Field Survey Notebooks (5.02). These records comprise basic surveying notes for county road construction projects. Original field notes are among the earliest records created in Alabama counties, so these records have permanent administrative and historical value. They include information on the road or bridge's location (latitude, longitude, and magnetic bearing), boundaries of rights-of-way, topographic data, and ownership of adjoining properties. These records may no longer be created in some counties.

Road Project Plans, Specification, Maps, Plats, and Photographs (5.03). These records provide comprehensive documentation of the construction, maintenance, and repair of county roads. Information available includes overall project plans and specifications, photographs, and maps or drawings. Because these records have historical interest and document one of the county commission's most important statutory duties, overall project plans, specifications, maps, and plats are appraised as permanent.

Bridge Project Plans, Specifications, Maps, Plats, and Photographs (5.05). These records provide comprehensive documentation of the construction, maintenance, and repair of county bridges. The plans or drawings document the bridge's location and structural details, materials used in construction, and flood levels. Information available in them includes overall project plans and specification, photographs, and maps or drawings. Although these records have no administrative utility beyond the life of the bridge, they may have permanent historical value in documenting important, if transitory, features of the county landscape.

Providing Public Transportation Facilities and Services

Transportation Authorities' Meeting/Hearing Minutes, Agendas, and Packets (6.01). These records document the meetings of boards, commissions, or authorities that oversee the operation of county airports or public transit systems. They include agendas and packet materials (copies of budgets, work plans, reports, and other background information) reviewed by members prior to meetings. Meeting minutes and related records are essential for documenting policy development by the county bodies responsible for transportation services.

Airport Maps, Plans, and Blueprints (6.04). Like maps, plans, and blueprints for other county buildings and facilities, these records are appraised as permanent for their evidentiary and historical value. Master vs. "as-built" plans show any differences between projected and completed airport construction or improvement that might affect the safety and efficiency of airport opera-

tions. Layouts are continually updated to reflect changes that may influence the airport's technical performance.

Providing Senior Services

Senior Citizen Program Records (7.01-7.13). Counties may operate senior centers or provide other services to senior citizens, either in cooperation with area councils on aging or independently. Retention periods for records in this section comply with minimum requirements for area councils on aging in the Alabama Administrative Code, Chapter 70-X-12-.02. Based on federal requirements, they may differ in some instances from retention periods for similar records elsewhere in the RDA. The retention period for Medicaid Waiver Case Management Client Files (7.08) complies with a Medicaid directive. The revised retention for Senior AIDES Program files (7.09) is based on a directive from the National Senior Citizens Education and Research Center, the federal agency that oversees the Senior AIDES Program.

Planning and Improving Community Development

Flood Insurance Rate Maps (8.04). These maps (FIRMs) are provided to counties by the Federal Emergency Management Agency (FEMA). They show insurance rates, based on the likelihood of flooding, for each piece of property located within county boundaries. The Alabama Department of Economic and Community Affairs (ADECA) acts as a liaison between localities and FEMA in incorporating flood prevention into civic planning. Each county must develop a flood prevention resolution, based on the latest FEMA map, and keep the FIRM "on file and accessible [to] the public in perpetuity or until a new map is issued." ADECA urges that outdated flood maps also be retained permanently. Besides demonstrating compliance with ADECA and FEMA regulations, they document a county's cognizance of changing public safety issues in the process of development. Because the maps are vital to all planning activities, they are placed here rather than under the subfunctions governing zoning or construction projects.

Recruiting Business and Industry

Industrial Development Board Minutes, Meeting Agendas, and Packets (8.01). These records document the meetings of boards or authorities responsible for recruiting business and industry and planning the county's industrial development. They include agendas and packet materials (copies of budgets, work plans, reports, and other background information) reviewed by members prior to or during meetings. These board minutes and related records provide essential documentation of county economic planning.

Zoning and Regulating Subdivisions

Planning/Zoning Board/Board of Adjustment Meeting/Hearing Minutes, Agendas, and Packets (9.01a). These records document the role of the county zoning board or board of adjustment in planning and regulating the location and development of business or residential areas within the county. They include agendas and packet materials (copies of budgets, work plans, reports, and other background information) reviewed by members prior to or during

meetings. Like the minutes of all similar boards and authorities, these records (which are already scheduled in the municipal RDA) are appraised as permanent, as they provide long-term documentation of policy decisions and community development.

Subdivision Files (9.02a). Like similar files for roads and bridges, these records document one of the county commission's statutory responsibilities: evaluating contractors' plans and specifications for compliance with county requirements. Records appraised here as permanent include plans, plats, maps, and photographs showing roads, rights-of-way, drainage ditches, and other surface improvements (9.01a). Other records (soil testing reports, inspection reports, permits, correspondence) are appraised as temporary under item 8.02b. Based on a 2011 revision of the Code of Alabama 1975, Sections 6-5-221 through -227, their retention period is lowered from 13 to seven years in this edition of the RDA.

Historical Aerial Photographs and Final Maps (9.03). Views of roads, bridges, bodies of water, and other county structures and topography are recorded in photographs and maps. They may be used in planning, economic development, regulation, and other core functions of county government. This item includes both conventional photographs and maps (which have always been permanent) and GIS maps and photographs that can provide long-term historical documentation of the county's physical development. RDA item 9.04 calls for such maps and photographs to be selected from those produced by the county's GIS system (a perpetual, but continually updated, database).

Licensing/Permitting/Inspecting

Permanent documentation of this subfunction is found in general ledgers/trial balances and audit reports, listed under the Administering Internal Operations subfunction.

Constructing County Buildings and Managing Office Space

County Building Construction and Renovation Files (12.01). These files document the design, construction, repair, and renovation of courthouses and other county-owned buildings. Included may be building specifications and floor plans, plans of proposed work, lists of materials, correspondence, memoranda, reports, blueprints, site plans, elevation details, and financial records. Besides providing fiscal accountability, some records have permanent value in preserving detailed information on courthouses and other significant county buildings, such as county archives or buildings of significant historical interest.

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.

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.

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.

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.

Hazardous Materials Incident Reports (13.08). 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.

Administering Internal Operations—Managing Finances

Records Documenting County Funding of Non-Profit Agencies (15.09). 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 existing schedule for Grant Project Files (15.08) cover only grants awarded to, not by, the county. Appraised as permanent are legislation establishing program requirements, policies and guidelines; guidelines and application forms for each funding cycle; and final narrative reports from funded agencies.

III. Records No Longer Created. These records were formerly created by the county commission and maintained either by the commission or the judge of probate. They are no longer created. However, the Local Government Records Commission has ruled that any record created prior to 1900 must be retained permanently.

Criminal Contract Records/Records of Convicts Sentenced to Hard Labor (16.01). These records documented the county's leasing of convicts sentenced to hard labor to private companies or individuals. Information in them included each convict's name, sex, race, type of crime, and length of sentence; the name of the contractor and terms of the contract; the presiding judge's approval; and certification by the judge of probate. After a decision by the Alabama Supreme Court (ca. 1929) that leasing convicts to private entities amounted to involuntary servitude, the practice was discontinued. Because of their historical value, these records (including those created after 1900) are appraised as permanent.

Permanent Records List Alabama County Commissions

Making and Implementing Policy

1. Administrative Correspondence (1.01)
2. County Commission Minutes, Meeting Agendas, and Packets (1.02)
3. Resolutions (1.04)
4. Administrative Codes and Regulations (1.05)

Facilitating Elections

1. Maps of County Electoral Precincts—original maps (3.01a)

Providing Utility and Sanitation Services

1. Utility Board/Commission Records—Meeting/hearing minutes, agendas, and packets (4.01a)
2. Utility System Maps, Plans, Profiles, and Photographs (4.02a)
3. Annual Water Quality Reports (4.08k)
4. Engineering Drawings, Final Closure/Post-Closure Care Plans, Explosive Gas/Ground-water Monitoring/Correction Plans for Closed Landfills (4.09d).

Building and Maintaining Roads and Bridges

1. Right-of-Way Deeds, Maps, and Drawings (5.01)
2. Field Survey Notebooks (5.02)
3. Road Project Plans, Specifications, Maps, Plats, and Photographs (5.03a)
4. Bridge Project Plans, Specifications, Maps, Plats, and Photographs (5.05)

Providing Public Transportation Facilities and Services

1. Transportation Authority Records—Meeting/hearing minutes, agendas, and packets (6.01a)
2. Airport Maps, Plans, and Blueprints (6.04)

Providing Senior Services

1. Area Plans (7.01)

Planning and Improving Community Development/Recruiting Business and Industry

1. Industrial Development Board Records—Minutes, meeting agendas, and packets (8.01a)

Zoning and Regulating Subdivisions

1. Planning/Zoning Board/Board of Adjustment Records–Meeting/hearing minutes, agendas, and packets (9.01a)
2. Subdivision Files–Final plans, plats, maps, and photographs (9.02a)
3. Aerial Photographs and Final Maps (9.03)

Constructing County Buildings and Managing Office Space

1. County Building Construction and Renovation Files (12.01)

Managing Emergencies

1. Minutes, Agendas, and Packets of the Local Emergency Planning Committee and/or Emergency Management Oversight Board (13.01)
2. County Emergency Operations Plans, Procedures, and Guidelines (13.03)
3. Emergency and Disaster Incident Records (13.04)
4. Public Education Program Records—Planning documentation (policies, procedures, standards, and publications (13.07a)
5. Hazardous Materials Incident Reports (13.08)

Administering Internal Operations–Managing the Agency

1. Administrative Policies and Procedures (13.01)
2. Annual Reports (13.03)
3. Historical and Publicity Files (13.05)
4. Websites and Social Media Sites (13.06)
5. GIS Systems–historical snapshots (13.16)

Administering Internal Operations–Managing Finances

1. Approved Annual Budgets (14.01b)
2. Annual Financial Reports (14.01d)
3. Audit Reports (14.02)
4. General Ledgers and Detailed Year-End Trial Balances–Created prior to 1975 (14.03b)
5. Minutes of Claims Allowed or Denied (14.03d)
6. Grant Project Final Narrative Reports (14.08c)

Administering Internal Operations–Managing Human Resources

1. Personnel Board Meeting/Hearing Minutes, Agendas, and Packets (15.01)
2. Employee Handbooks (15.03)
3. Employee Newsletters (15.04)
4. Job Classifications and Pay Plans (15.05a)
5. Annual Report of Promotions and New Hires (15.14)
6. Training Records–training standards, policies, procedures, and publications (15.21a)

Records No Longer Created

1. Criminal Contract Records/Records of Convicts Sentenced to Hard Labor (17.01)

Alabama County Commissions Records Disposition Authority

This records disposition authority (RDA) is issued by the Local Government Records Commission under authority granted by the Code of Alabama 1975, Section 41-13-5 and 41-13-22 through -24. It was compiled by the Government Services Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of Alabama county commissions. The RDA lists records created and maintained by the commissions in carrying out their mandated function and subfunctions. It establishes retention periods and disposition instructions for those records and provides the legal authority for county commissions to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successors in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Section 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Services Division at (334)242-4452, or records@archives.alabama.gov.

Explanation of Records Requirements

This RDA supersedes any previous records disposition schedules or RDAs governing the retention of county commission records. Copies of superseded schedules, and previous versions of this RDA, are no longer valid and may not be used for records disposition.

This RDA establishes retention and disposition instructions for records of county commissions. It does not require the creation of any record not normally created in the conduct of county business, although the creation of certain records may be required by the county commission's administrative procedures, work responsibilities, audit requirements, or legislative mandates. Individual county commissions may not necessarily create all of the records listed below.

This RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.

Certain other short-term records that do not materially affect the work of an agency may be disposed of under this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) transitory records, which are temporary records created for short-term, internal purposes that may include, but are not limited to: telephone call-back messages; drafts of

ordinary documents not needed for their evidential value; copies of materials sent for informational purposes but not needed by the receiving office for future business; and internal communications about departmental social activities. They may be disposed of without documentation of destruction. Other items that may be disposed of without documentation of destruction include: (1) catalogs, trade journals, and other publications received that require no action and do not document government activities; and (2) stocks of blank stationery, blank forms, or other surplus printed materials that are not subject to audit and have become obsolete.

Any record created by the county commission prior to 1900 shall be regarded as permanent.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of Alabama county commissions and lists records created and/or maintained by the commissions in carrying out those subfunctions. A county commission may submit requests to add or revise specific records disposition requirements to the Local Government Records Commission for consideration as its regular quarterly meetings.

At the end of this section of the RDA is a list of **Records No Longer Created** by Alabama county commissions. These records may still be maintained in some commission offices. The RDA provides disposition for these records, some of which only recently became obsolete and must continue to be maintained until their retention periods are satisfied.

1. Making and Implementing Policy

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
1.01	Administrative Correspondence. This correspondence documents the formulation of policy or rule-making decisions by the county commission or other county officials.	PERMANENT
1.02	County Commission Minutes, Meeting Agendas, and Packets. These records include the official minutes of county commission meetings, along with the agenda of topics to be discussed at the meeting and any attachments or other documents provided to commission members. <u>Note:</u> Under the provisions of the Code of Alabama 1975, Section 36-25A-2, commission work sessions are defined as open meetings. Minutes and related records of work sessions are therefore included in this disposition.	PERMANENT (Code of Alabama 1975, Section 11-3-18)

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
1.03	<p>Recordings of Meetings. These recordings provide a verbatim account of debate and public input at meetings of the county commission, and other county public meetings. They are normally used only as an aid to preparation of the minutes.</p> <p><u>Note:</u> Under the provisions of the Code of Alabama 1975, Section 36-25A-2, commission work sessions are defined as open meetings. Recordings of work sessions are also included in this disposition.</p>	Retain until minutes are approved.
1.04	<p>Resolutions (including Annual Budgets). These records include commission policy statements, regulatory actions, and other legislative decisions by the commission. Annual budgets and amendments to the budget also take the form of resolutions.</p>	PERMANENT
1.05	<p>Administrative Codes and Regulations. These records include detailed administrative codes and regulations approved by the commission in such matters as industrial development, zoning, public health, and other arenas of policy development.</p>	PERMANENT
1.06	<p>Legislative Reference Files</p> <ul style="list-style-type: none">a. Legislative tracking files. These records are created to track draft legislation in the Alabama state legislature. Proposed legislation may affect one or several counties. The files may include copies of draft legislation, statistics, names of legislative sponsors, roll call votes, position papers, and correspondence.b. Code of Alabamac. Acts of Alabamad. House and Senate Journals	<p>Retain for useful life.</p> <p>Retain in office until superseded.</p> <p>Retain in office until amended.</p> <p>Retain in office until superseded.</p>

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
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Records Management Recommendation: Before deciding to destroy old editions of the Code of Alabama, Acts of Alabama, or House and Senate Journals, offer them for placement in a local library, archives, or historical society.

2. Authorizing Revenue Collection and Collecting Revenue

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
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| 2.01 | Errors, Litigations, & Insolvents Submitted by the County Revenue Commissioner/Tax Collector. The county's chief taxation official must submit a final report to the commission on uncollected tax balances, such as those due from insolvent persons or resulting from errors in assessment. If satisfied that the revenue officer has made a diligent effort to collect the taxes, the commission certifies the report and sends it to the State Comptroller and Department of Revenue. Approval of the report is recorded in commission minutes. | Retain 2 years following audit. |
| 2.02 | Records Documenting the Issuance and Redemption of County Bonds. These records document the issuance and redemption of county bonds. They may include obligation warrants, copies of authorizing ordinances, preliminary and final financial statements, certificates, and interest coupons. Information may include descriptions/amounts of bonds and/or interest, and the names and addresses of persons presenting the demand for payment. | Retain 2 years following the audit period in which bonds are redeemed. |
| 2.03 | Records Documenting the Collection of Sales, Use, Lodging, Liquor, Tobacco, and Gasoline Taxes. These records document sales and use taxes, as well as any lodging, liquor, tobacco, and gasoline taxes collected by the county. They include returns on these tax categories collected from individuals or businesses. | Retain 2 years following audit. |

3. Facilitating Elections

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
3.01	Maps of County Electoral Precincts. These maps show the current geographical boundaries and legal descriptions of county electoral precincts. Information available in the map includes the name and location of each precinct, geographical features, and the date of the base map or latest revision. Disposition of the records is as follows: a. Original maps maintained by the county commission b. Duplicates maintained by the commission, board of registrars, or judge of probate	PERMANENT Retain until superseded.
3.02	Petitions and Requests for Election to Levy County and District School Taxes. These records document a petition by 200 or more qualified voters of the county, or a request by a city or county board of education, for the commission to hold an election to determine whether or not a special tax should be levied for funding public schools. Information in the petition includes name of county or district, legal authorization for petition or request, date of petition or request, and signatures of voters.	Retain for 6 months after election.

4. Providing Utility and Sanitation Services

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
4.01	Utility Board/Commission Records a. Meeting/hearing minutes, agendas, and packets. These records include meeting minutes of the board or commission overseeing operation of the county's public utilities, excluding boards or commissions under municipal jurisdiction. Records include a copy of the meeting agenda and any background materials (packets) distributed to or reviewed by board or commission members.	PERMANENT

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
4.01	b. Hearing files. These files document citizen appeals to the utility board or commission, as well as hearings and the board's decisions. Records may include correspondence with citizens, hearing notices, reports, and other material maintained in case files.	Retain 6 years after board's decision and settlement of all appeals.
4.02	Utility System Maps, Plans, Profiles, and Photographs. These records include maps, profiles, plans, and photographs of sewer systems, water reservoirs, and other utility constructions operated by the county or its service vendors. Disposition of the records is as follows:	
	a. Maps, plans, profiles, and photographs of systems or reservoirs leased, purchased, or operated by the county	PERMANENT
	b. Maps, plans, profiles, and photographs of external systems or reservoirs not leased or purchased by the county and operated by a service vendor	Retain until system or reservoir is no longer in use.
4.03	Utility and Sanitation User Agreements. These records document agreements between the county and users of its utility or sanitation services. Information available includes the names and addresses of customers, amount of deposits paid, and terms of the agreement.	Retain 2 years after the audit period in which the agreement was terminated.
4.04	Utility and Sanitation Meter Reading, Billing, and Collection Records. These records document meter readings and billing activity on individual utility and sanitation customer accounts. Information available includes names and addresses of customers, account numbers, amounts due, and dates paid. This series includes customers' remittance copies of utility bills and Daily Cash Receipt Reports.	Retain 2 years following audit.
4.05	Applications and Exemptions for Sanitation Fee Exemption. These records document the process that determines whether persons may be exempted from solid waste collection charges.	Retain 2 years following audit.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
4.06	Utility and Sanitation Customer Complaint Logs. These records document complaints by county utility or sanitation customers and the agency's actions in regard to them. They may include such information as the customer's name and address; date, time, and nature of the complaint; names of utility personnel assigned to respond; and any actions taken.	Retain 3 years.
4.07	Utility Department Operational Records. These records document routine utility department operations that do not relate to billing and collection. Items include work orders, operations/dispatch logs, operational reports, and records documenting variations in amounts of power or water provided over time. Disposition of the records is as follows:	
	a. Work orders	Retain 1 year.
	b. Operations/dispatch logs	Retain 3 years.
	c. Operational reports (daily, monthly, quarterly, or annual reports of utility operations)	
	i. annual or quarterly reports (if no annual report produced)	Retain 5 years.
	ii. Daily, monthly, or quarterly reports (if annual report produced)	Retain for useful life.
	d. Records documenting power failures, or similar interruptions in service, to individual business or residential customers	Retain 10 years.
4.08	Water Treatment Surveys and Reports. County water treatment systems are subject to regulation by the Alabama Department of Environmental Management (ADEM). (See Chapter 335-7-10.05 of the Alabama Administrative Code.) These records include the following:	
	a. Water quality control tests and monthly reports to ADEM	Retain 3 years or until next sanitary survey, whichever is longer.
	b. Water reservoir level and temperature readings	Retain for useful life.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
4.08	c. Water temperature operational reports (daily reports)	Retain 5 years.
	d. Bacteriological monitoring reports	Retain 5 years.
	e. Water system sanitary surveys and reports. These records include sanitary surveys and reports, summaries, and correspondence related to surveys or system inspections conducted by system staff or by local, state, or federal authorities.	Retain 10 years.
	f. Complaint files	Retain 3 years after complaint is received.
	g. Water system regulation violation correction reports	Retain 3 years after correction of violation.
	h. Water system regulation exemption records	Retain 3 years after exemption or variance.
	i. Chemical analysis reports	Retain 10 years.
	j. Disinfection monitoring plans	Retain until replacement plan has been approved by ADEM.
	k. Annual water quality reports. These reports are required annually under the federal Safe Drinking Water Act and the Alabama Administrative Code. They may contain summary documentation of water sources and purification processes, annual laboratory test results, public health information, and advice to citizens on maintaining their home sewer systems.	PERMANENT
4.09	Landfill Records (4.09). These records (governed by Chapter 335.13-4-.29 of the Alabama Administrative Code) are required by the Alabama Department of Environmental Management (ADEM) for the management of sanitary landfills. They include the following:	
	a. Permits	Retain 5 years.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
4.09	b. Engineering drawings; current closure/post-closure care plans; explosive gas/groundwater monitoring/correction plans	Retain at landfill.
	c. Superseded closure/post-closure care plans; explosive gas/groundwater monitoring/correction plans	Retain 3 years.
	d. Engineering drawings; final closure/post-closure care plans; explosive gas/groundwater monitoring/corrections plans for closed landfills	PERMANENT
	e. Operational reports (daily, monthly/quarterly, annual reports of garbage/trash intake)	Retain 10 years.
4.10	Landfill Service Collection Records. These records document billing and collection activities on landfill customer accounts. Information available includes customers' names and addresses, account numbers, amounts due, and amounts/dates paid.	Retain 2 years following audit.

Note: For other routine records of utility and sanitation departments (grants, bids, and service contracts; personnel and training records; maintenance data on equipment and facilities), follow the disposition statements for such records in the "Administering Internal Operations" subfunctions (pp. 41-59).

5. Building and Maintaining Roads and Bridges

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
5.01	Right-of Way Deeds, Maps, and Drawings. These records document the county's ownership of right-of-way over lands on which roads and bridges are constructed. They contain a legal description and diagram of the right-of-way, and the land's location.	PERMANENT

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
5.02	<p>Field Survey Notebooks. These records comprise basic surveying notes for county road construction projects. They include information on the road or bridge's location (latitude, longitude, and magnetic bearing), boundaries of rights-of-way, topographic data, and ownership of adjoining properties.</p> <p><u>Note:</u> Some counties may no longer create these records. Those that do not should continue to follow this retention for those previously created.</p>	PERMANENT
5.03	<p>Road Project Plans, Specifications, Maps, Plats, and Photographs. These records provide comprehensive documentation of the construction and reconstruction of county roads. Information available in them includes overall project plans and specifications, photographs, and maps or drawings.</p>	PERMANENT
5.04	<p>Road and Bridge Construction Project Files. These records document day-to-day activities on a road or bridge construction project site. The diaries note such information as the name of the contractor(s), project personnel, project name and number, weather condition, tests and test results, results of soil and structural component tests, progress reports, and cost estimates. They may also contain permit information, vendor applications, reports, and correspondence.</p>	Retain 10 years.
5.05	<p>Bridge Project Plans, Specifications, Maps, Plats, and Photographs. These records provide comprehensive documentation of the construction and reconstruction of county bridges. The plans or drawings document the bridge's location and structural details, materials used in construction, and flood levels. Information available in them includes overall project plans and specifications, photographs, and maps or drawings.</p> <p>a. Records of bridges of significant historical interest (agency staff may wish to consult the state Department of Transportation, the Alabama Historical Commission, or the county historical society in evaluating the historical significance of local bridges) <u>Records Management Recommendation:</u> Retain in office for life of bridge; agency may then offer for transfer to a local library, archives, or historical society under the terms of a local government records deposit agreement.</p>	PERMANENT

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
5.05	b. Records of other bridges	Retain for life of bridge.
5.06	Bridge Inspection Reports. These records document the periodic inspection of public bridges by county inspectors to comply with state and federal requirements. An inventory of bridge structures and inspection data is maintained at the state level (CFR 650.311). The reports include forms and other information on the bridge’s age and location structural details, and grade of the structure. Photographs and drawings may also be included.	Retain for life of bridge.

Note: For routine road and bridge operations records (accounting and purchasing records; grants, bids, and contracts; personnel and training records; work orders; operations logs, telephone/radio logs), follow the disposition statements for such records under “Administering Internal Operations” (pp. 41-59).

6. Providing Public Transportation Services and Facilities

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
6.01	Transportation Authority Records	
a.	Meeting/hearing minutes, agendas, and packets. These records document the meetings of boards, commissions, or authorities that oversee the operation of county airports or public transit systems. They include agendas and packet materials (copies of budgets, work plans, reports, and other background information) reviewed by members prior to meetings.	PERMANENT
b.	Hearing files. These files document citizen appeals to the transportation authority, as well as hearings and the authority’s decisions. Records may include correspondence with citizens, hearing notices, reports, and other material maintained in case files.	Retain 6 years after authority’s decision and settlement of all appeals.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
6.02	Federal, State, and County Aviation Regulations. These records include Federal Aviation Administration (FAA) regulations, advisory circulars, and security operations manuals; the <i>Alabama Department of Aeronautics Manual</i> ; county emergency management agencies' emergency operations manuals; and other materials used by county airport authorities in establishing policies and procedures.	Retain until superseded.
6.03	Airport Certification and Procedures Manuals. These records include certification requirements, policies and procedures, and related information compiled by the airport in compliance with FAA and other federal or state regulations. They govern airport operations in such areas as security, maintenance, concessions, contract formulation, and personnel. Individual manual pages or regulations may be superseded or discarded as requirements are updated by the FAA and other oversight authorities.	Retain until superseded.
6.04	Airport Maps, Plans, and Blueprints. These records consist of at least one copy of all versions of maps, plans, and blueprints for county airports or related facilities, including any variations between master and "as built" plans.	PERMANENT
6.05	Approach Slope Condition Reports. These records document approach slope conditions at county airports.	Retain until superseded.
6.06	Airport Evacuation Agreements. These records document agreements made in plans for evacuating county airports.	Retain until superseded.

Note: For routine airport operations records (accounting and purchasing records, grants, bids and contracts, personnel and training records, work orders, operations logs, telephone/radio logs, maintenance data on equipment and facilities) follow the disposition statements for such records in the RDA's "Administering Internal Operations" subfunctions, pp. 41-59.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
6.07	Public Transit Program Administrative Files. These records document the county's operation of public transit systems within its boundaries, as well as special transportation systems for the elderly or handicapped. Included are such records as copies of annual and quarterly reports to the state Department of Transportation, patron sign-in sheets, vehicle inspections, and accident reports.	Retain 2 years following audit.

Note: Other routine administrative records for these services (such as financial records, personnel records, vehicle maintenance files, and correspondence) are covered in the RDA's "Administering Internal Operations" subfunctions, pp. 41-59.

Providing Senior Services

(Note: Individual counties may not necessarily create or maintain all the records listed below.)

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
7.01	Area Plans. Area councils on aging are responsible for developing uniform area plans. During the years it covers, an area plan provides a blueprint for all aspects of the council on aging's operations.	PERMANENT
7.02	Annual Operating Plans. These records offer a more detailed account of the senior services program and its financial planning on an annual basis.	Retain through completion of multi-year area plan.
7.03	Program Performance Reports (including Quarterly Financial Reports). These reports provide statistical information for programs administered under Title III of the Older Americans Act of 1965.	Retain 3 years after the end of the fiscal year in which the records were created.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
7.04	Senior Center Administrative Reports and Forms. These records document routine operations at senior or community centers within the local area. They may include such items as senior activity schedules, senior center booking information, reports on weekly activities and meals, daily attendance records, meal vouchers and certifications, service logs, home-delivered meal ratings, meal change requests, and client registration forms.	Retain 3 years after the end of the fiscal year in which the records were created.
7.05	Service Analysis Reports. These are monthly reports that service providers under contract to the senior program submit to document operations at senior centers.	Retain 3 years after the end of the fiscal year in which the records were created.
7.06	Senior Center and Contractor Evaluations. These records document inspections and evaluations of senior centers and other service providers by council on aging, county, or municipal personnel.	Retain 10 years.
7.07	Legal Assistance Reports, Forms, and Case Files. These records document legal assistance to elderly individuals under the Older Americans Act. They may include participant registration forms, service logs, information on community legal education sessions, and statistics. Disposition is as follows: <ul style="list-style-type: none">a. Case files. Retain 6 years after verification of client's death or departure from the jurisdiction.b. All other records. Retain 3 years after the end of the fiscal year in which the records were created.	
7.08	Medicaid Waiver Case Management Client Files. These files document counseling and other assistance by senior service providers to elderly individuals under the federal Medicaid Waiver Program. Disposition of the records is as follows: <ul style="list-style-type: none">a. Case files, correspondence, memoranda. Retain 5 years after client's death or departure from the jurisdiction.	

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
7.08	<p>b. Other records (time sheets, statements of expenditure, etc.). Retain 3 years after the end of the fiscal year in which the records were created.</p>	
7.09	<p>Senior AIDES (Alert, Industrious, Dedicated, Energetic Service) Program Files. These records document the locality's participation in a federally-funded program for assisting qualified senior citizens to find employment. In 2004, the U.S. Department of Labor, Senior Service America authorized the destruction of Senior AIDES records created prior to July 1, 1999. The disposition of Senior AIDES records is therefore as follows:</p> <p>a. Records created prior to July 1, 1999. Destroy</p> <p>b. Records created after July 1, 1999. Retain 3 years after the end of the fiscal year in which the records were created.</p>	
7.10	<p>Senior Program Complaint Files. These files document complaints about long-term health care facilities and efforts by community ombudsmen to resolve such complaints.</p>	<p>Retain 12 years after final disposition of the case.</p>
7.11	<p>Ombudsmen Quarterly Reports. These are cumulative statistical reports submitted by community ombudsmen to the state ombudsman. They contain such information as number of complaints in specific categories, agent who investigated each complaint, and number of complaints resolved or active.</p>	<p>Retain 3 years after the end of the fiscal year in which the records were created.</p>
7.12	<p>Ageing Grantee Community Profiles. These are status reports on the community submitted to senior program staff and used in the process of grant application.</p>	<p>Retain 1 year.</p>
7.13	<p>Ageing Information Management System (AIMS) Service Logs. These records document the entry of information into the statewide network for area councils of aging maintained by the Alabama Department of Senior Services.</p>	<p>Retain until entered into AIMS and verified.</p>

8. Planning and Improving Community Development/Recruiting Business and Industry

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
8.01	Industrial Development Board Records	
a.	Minutes, meeting agendas, and packets. These records document the meetings of boards or authorities responsible for recruiting business and industry and planning the county's industrial development. They include agendas and packet materials (copies of budgets, work plans, reports, and other background information) reviewed by members prior to or during meetings.	PERMANENT
b.	Hearing files. These files document citizen appeals to the industrial development board, as well as hearings and the board's decisions. Records may include correspondence with citizens, hearing notices, reports, and other material maintained in case files.	Retain 6 years after board's decision and settlement of all appeals.
8.02	Low-Income Weatherization Assistance Program Files. These records include needs assessment surveys, dwelling condition summaries, family profiles, service description forms, labor charge summaries, invoices, reimbursement forms, and related documentation for the low income weatherization assistance program. Applicants' names, Social Security numbers, and other personal information may also be included.	Retain 2 years following audit.
8.03	Civic Center Lease Files. These records document the leasing of space at county civic centers or similar facilities used for business, promotional, or other community events.	Retain 10 years after termination of the lease.
	<u>Note:</u> For related records of routine civic center operations (accounting records, grants, bids and service contracts, personnel and training records, work orders and operations/radio logs, maintenance data on equipment and facilities), follow the disposition statements for such records in the RDA's "Administering Internal Operations" subfunctions, pp. 41-59).	
8.04	Flood Insurance Rate Maps. These maps are provided to counties by the Federal Emergency Management Agency (FEMA). They show insurance rates, based on the likelihood of flooding, for each piece of property located within county boundaries.	PERMANENT

9. Zoning and Regulating Subdivisions

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
9.01	Planning/Zoning Board/Board of Adjustment Records	
a.	Meeting/hearing minutes, agendas, and packets. These records document the role of the county zoning board or board of adjustment in planning and regulating the location and development of business or residential areas within the county. They include agendas and packet materials (copies of budgets, work plans, reports, and other background information) reviewed by members prior to or during meetings.	PERMANENT
b.	Hearing files. These records document citizen's requests for variances to the county zoning board or board of adjustments, hearings on requests, and the board's decisions. They may include applications for variances, protest letters, hearing notices, correspondence and reports, and other material maintained as case files.	Retain 6 years after board's decision and settlement of all appeals.
9.02	Subdivision Files. These files document the county's approval of contractors' plans and specifications to ensure compliance with county requirements. The records include plans, plats, maps, and specifications showing roads, rights-of-way, drainage ditches, and other surface construction or improvements. They also include statements dedicating roads to the county, copies of commission resolutions assuming responsibility for road maintenance, soil testing reports, performance bonds for contractors, inspection reports, permits, correspondence, and photographs. Disposition is as follows:	
a.	Final plans, plats, maps, and photographs	PERMANENT
b.	Other material in files (inspection reports, permits, performance bonds, correspondence)	

Disposition: Retain 7 years (Code of Alabama 1975, Section 6-5-221 through -227 [revised 2011]).

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
9.03	Historical Aerial Photographs and Final Maps. Views of roads, bridges, bodies of water, and other county structures and topography are recorded in photographs and maps. They may be used in planning, economic development, regulation, and other core functions of county government. This item includes both conventional photographs and maps and GIS maps and photographs that can provide long-term historical documentation of the county’s physical development.	PERMANENT
9.04	Master Address Files and Address Change Information. These records include geographic information—primarily street and road names and locations—on all residential and business addresses covered by the county GIS system. They also include additions or corrections of names, street addresses, telephone numbers, or other information on residences and businesses. Disposition is as follows: a. Master address files b. Address change information	Retain 1 year after information has been superseded. Retain 1 year after master file has been updated and verified.
9.05	Zoning Violation Correction Files. These files document the county’s efforts to identify and correct violations of its zoning ordinances, as well as ordinances regulating weeds, littering, and other public nuisances. Case files or similar records may include: notices of violations, complaints from citizens, and other correspondence; photographs of property; and records of court proceedings. Disposition is as follows: a. Records of violations that result in litigation b. Records of violations that do not result in litigation	Retain 6 years after litigation is concluded. Retain 3 years after violation is corrected.

10. Licensing/Permitting and Inspecting

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
10.01	Records Documenting Business and Occupational (Privilege) Licensing. These records document the issuing of business and privilege licenses and permits as a means of regulating such activities within its boundaries and collecting revenue. Code of Alabama 1975, Section 6-2-35, sets a five-year statute of limitation on the collection of such fees. <u>Records Management Recommendation:</u> It is recommended that returned checks, or other records documenting the county's efforts to collect unpaid fees or services charges, be retained 5 years or until settlement of all claims due. The Code of Alabama 1975, Section 6-2-35 sets 5 years as the statute of limitations for collecting "amounts claimed for licenses, franchise taxes, or other taxes."	Retain 2 years following audit.
10.02	Alabama Alcoholic Beverage Control (ABC) Board Liquor Licenses. These records document the county's submission to the ABC Board of a vendor's letter requesting approval of a liquor license. A copy of the application for the license is attached. License applications are approved by the commission and documented in its minutes prior to sending them to the ABC Board.	Retain 2 years following audit.
10.03	Utility Permit Files. These records document the proper placement of utility lines, poles, and ditches on county rights-of-way. Information available includes plans and diagrams of line or pole locations in rights-of-way; names of the utility contractors; and related correspondence, maps or drawings, and permits.	Retain at least 7 years, or until superseded, obsolete, or no longer useful.
10.04	Commercial and Residential Building Plans, Permits, and Permit Logs. These records document the county's issuing and tracking of commercial building permits, plans, and drawings. Information available may include the building's location, owner's name, contractor's name, and permit number. Disposition is as follows:	

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
10.04	a. Original commercial building plans	Retain 7 years. Offer to a local public library, archives, or other historical repository prior to destruction.
	b. All other records (residential plans; commercial and residential permits and permit logs; contractors' certificates of insurance)	<u>Disposition:</u> Retain 7 years (Code of Alabama 1975, Section 6-5-221 through -227 [revised 2011]).
	c. Abandoned projects. These records include documents, plans, and drawings that are submitted for permitting but apply to abandoned projects. They may include permitting information and notes recorded by the county's plan review staff.	Retain 1 year after last action or contact with vendor.
10.05	Citizenship/Legal Immigration Status Verification Records. These records document enforcement of Section 30 of Act 2011-535 of the Alabama legislature, commonly known as the Immigration Act. They consist of copies of specified types of identifying documents (e.g., valid driver's licenses, birth certificates, naturalization documents) that verify the U.S. citizenship, or legal immigration status, of persons applying for or renewing business licenses. Disposition also covers any forms created by an agency to facilitate enforcement of the act. <u>Note:</u> Return original verification documents to the license applicant.	Retain 2 years following audit.

11. Vaccinating and Controlling Domestic Animals

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
11.01	Animal Control Operations Files (Rabies Immunization Certificates; Reports of Operations; Lists of Animals Impounded, Claimed, Adopted, or Executed). These records document general operations of the county animal control department, including licensing and vaccinating pet animals and retrieving, housing, and executing strays.	Retain 3 years (Code of Alabama 1975, Section 3-7A-2).

Note: For routine animal control operations records (accounting and purchasing records; service contracts; personnel and training records; work orders; operations logs, telephone/radio logs; maintenance data on equipment and facilities; correspondence with pet owners or complaining citizens), follow the disposition statements for such records in the “Administering Internal Operations” subfunctions (pp. 41-59).

12. Constructing County Buildings and Managing Office Space

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
12.01	County Building Construction and Renovation Files. These files document the design, construction, repair, and renovation of courthouses and other county-owned buildings. Included may be building specifications and floor plans, plans of proposed work, lists of materials, correspondence, memoranda, reports, blueprints, site plans, elevation details, and financial records. Disposition is as follows:	
	<p>a. Plans, specifications, and blueprints for courthouses and other county buildings of significant historical interest (e.g., county archives)</p> <p><u>Records Management Recommendation:</u> Retain in office for life of building; then offer for transfer to a local library, archives, or historical society under the terms of a local government records deposit agreement.</p>	PERMANENT
	b. All other records (financial records; plans, specifications, and blueprints for buildings lacking significant historical interest)	Retain for life of building.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
12.02	Construction Project Contract Files. These files provide secondary documentation of contract activities relating to the building and furnishing of county government buildings. They include such information as the name of the vendor/contractor, terms of the contract, records of payment, and performance bonds.	Retain 10 years after expiration of the contract.
12.03	Space Management Plans/Records of Space Assignments. These records document the assignment of office space in county buildings and facilities and include operating plans for the assignment of such space.	Retain 2 years after the audit period in which the records were superseded.
13. Managing Emergencies		
13.01	Minutes, Agendas, and Packets of the Local Emergency Planning Committee and/or Emergency Management Oversight Board. 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.	PERMANENT
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 notes of meetings and informational materials reviewed by staff.	Retain for useful life.
13.03	County Emergency Operations Plans, Procedures, and Guidelines. 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 county is adequately prepared to deal with various categories of emergencies.	PERMANENT

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
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
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 b. All other records	Retain 3 years after submission to the AEMA. Retain for useful life.
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.	

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
13.07	<p>a. Planning documentation (policies, procedures, standards, and publications)</p> <p>b. All other records</p>	<p>PERMANENT</p> <p>Retain for useful life.</p>
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).	PERMANENT
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.

14. Administering Internal Operations—Managing the Agency

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
14.01	Administrative Policies and Procedures. These records include policies and procedures established by the county commission on a variety of issues regarding its relations with the public, other governmental or private entities, and county employees.	PERMANENT
14.02	Administrative Reference Files. These records include materials not created by the county commission; they are collected and used only as reference sources of information.	Retain for useful life.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
14.03	Annual Reports. County commissions may create annual narrative and/or financial reports describing their activities during the calendar or fiscal year. Such reports provide summary documentation of commission functions, projects, and activities, as well as an ongoing history of the county and its government.	PERMANENT
14.04	Meeting Notices. These records are official notifications of the time and place of regular and special commission meetings.	Retain 2 years following audit.
14.05	Historical and Publicity Files. These records include news releases, newsletters, brochures, periodicals, photographs, videotapes, audiotapes, speeches, and public service announcements.	PERMANENT Retain in office or transfer to a local library, archives, or historical society under the terms of a local government records deposit agreement.
14.06	Websites and Social Media Sites. Counties develop websites and social media sites for responding to public inquiries and providing information on county government affairs. Material on the site may include: information on the county's location; population; demography; organization and officials; economic, cultural, and educational resources; transitory information on county events; and other information describing the local "way of life."	PERMANENT Preserve a complete copy of the website annually, or as often as significant changes are made.
14.07	Official Bonds and Oaths. These records comprise official bonds and oaths required of commission members and other county personnel under Code of Alabama 1975, Section 11-2-1. They include oaths of office, power of attorney statements, insurance policies, and other surety bonds. Original bonds and oaths are filed at the county probate office.	Retain 2 years after the audit period in which the term in office ended.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
14.08	Routine Correspondence. This type of correspondence documents the daily conduct of county government affairs in the commission's relations with local citizens and businesses, other governmental agencies, and the general public. It relates to everyday matters (such as answering inquiries, providing information, or performing mandated services) rather than to policy development or issues of long-term administrative impact.	Retain 3 years.
14.09	Legal Case Files. These records document lawsuits filed by or against the county government.	Retain 6 years after the case is closed.
14.10	Complaint Files/Unlitigated Claims for Damages. These records document damage claims against the county that are resolved without litigation.	Retain 2 years after settlement or denial of complaint or claim.
14.11	Mailing Lists. These records include various standard lists of names and addresses used by the commission and other county personnel.	Retain for useful life.
14.12	Mail, Telephone, and Fax Machine Logs. These records are lists of telephone and fax machine contacts and related data.	Retain for useful life.
14.13	Calendars. These records include desk calendars and other scheduling devices for county personnel.	Retain 1 year.
14.14	Records Management Documentation	
	a. Records documenting implementation of the commission's approved RDA. These records include records management plans, records inventories, finding aids, and destruction notices.	Retain 2 years following audit.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
14.14	<p>b. Copy of approved RDA. The RDA provides legal guidelines for the disposition of all agency records. The county commission should maintain a signed copy of its RDA.</p> <p>c. Local government records deposit agreements. These records are formal agreements executed by the county commission so that a local records repository (library, archives, or historical society) may accept physical custody of long-term records. They include inventories of records in the repository.</p> <p><u>Note:</u> Deposit agreements must be approved by the Local Government Records Commission. For information, contact ADAH.)</p> <p>d. Records request forms. County agencies may ask visitors who wish to examine records to complete an identification form before providing access. Information in such forms may include visitor's name and contact information, date and time of request, records requested, reason for request, and staff comments.</p>	<p>Retain 2 years after the audit period in which the RDA was superseded.</p> <p>Retain 10 years after termination of the agreement.</p> <p>Retain 2 years following audit or until any resulting litigation is concluded.</p>
14.15	<p>Computer Systems Documentation. These files include hardware and software manuals and diskettes, warranties, records of access/ authorities, file naming conventions.</p> <p><u>Disposition:</u> Retain former system documentation 2 years after audit in the year the former hardware and software no longer exist anywhere in the agency and all permanent records have been migrated to the new system.</p>	
14.16	<p>Geographic Information System (GIS) Records. These records consist of geospatial data that describes particular locations, areas, or geographic features within the county. GIS systems may be used for a variety of purposes, such as planning and zoning, construction projects, or emergency response. Although records may be continually updated, the system itself is maintained as a perpetual data file.</p>	

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
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- 14.16 a. Datasets** (e.g.: base datasets, such as ground and water features, used to compile other layers of primary focus; datasets of buildings, structures, and businesses; census datasets; communication or emergency dispatch datasets; engineering, environmental, stormwater and flooding datasets, etc.; datasets for output documents, such as maps and aerial photographs.

Disposition: Retain until superseded.

Note: Output documents (such as maps and aerial photographs) may have separate dispositions in other sections of this RDA.

- b. GIS system and metadata documentation.** These files include hardware and software manuals, metadata lists, and warranties.

Disposition: Retain former system documentation 2 years after the audit period in which the former hardware, software, or datasets no longer exist anywhere in the agency and all permanent records have been migrated to the new system.

- c. Historical snapshots.** These records are annual snapshots of the entire GIS system.

Disposition: **PERMANENT.** Preserve a complete copy of the system annually, or as often as significant changes are made to layers or datasets.

15. Administering Internal Operations—Managing Finances

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
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- 15.01 Budgeting Records.** These records document preparing a budget request package and reporting the status of funds, requesting amendments of allotments, and reporting program performance.

- a. Departmental budget estimates and requests.** These records contain information submitted by other county departments during budget preparation.

Retain 2 years following audit.

- b. Approved annual budgets.** Final county budget approved by the county commission.

Disposition: **PERMANENT.** If copy of budget is included with minutes, retain additional copies for useful life.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
15.01	<p>c. Records documenting budget performance during the budget cycle (budgeted and actual revenue reports, revenue reports, investment reports, expenditure reports, encumbrance reports, etc.)</p> <p>d. Annual financial reports. At the end of the fiscal year, a summary statement of the county’s finances may be included in the commission minutes and published in the local newspaper.</p> <p><u>Disposition:</u> PERMANENT. If a copy of the report is included with the minutes, retain additional copies for useful life.</p>	Retain 2 years following audit.
15.02	Audit Reports, Examiners of Public Accounts. These records document the county’s overall financial condition, and the findings of the Examiners of Public Accounts, during each audit period.	PERMANENT
15.03	Accounting Records	
	<p>a. Routine accounting records. These are records of original entry or other routine accounting transactions, including journals, registers, ledgers, bank statements, deposit slips, canceled checks, etc.</p> <p><u>Note:</u> Disposition for grant-related accounting records is provided under RDA item 15.08.</p> <p><u>Records Management Recommendation:</u> It is recommended that returned checks, or other records documenting the county’s efforts to collect unpaid fees or service charges, be retained for 5 years or until settlement of all claims due. The Code of Alabama 1975, Section 6-2-35, sets 5 years as the statute of limitations for collecting “amounts due for licenses, franchise taxes, or other taxes.”</p>	Retain 2 years following audit.
	<p>b. General ledgers and detailed year-end trial balances. These are records of final entry for all financial transactions: collecting revenue (taxing and licensing), purchasing, investing, administering state and federal funds, and general accounting.</p>	
	Records created prior to 1975	PERMANENT

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
15.03	Records created in or after 1975	Retain 10 years after the end of the fiscal year in which the record was created.
	c. Minutes of claims allowed or denied. These minutes are records of final entry documenting all claims against the county and actions taken in regard to them. They include information on claimants, amounts of claims, claims allowed or denied, dates of decisions, and amounts of final payments.	PERMANENT
15.04	Purchasing Records. These records document the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products.	Retain 2 years following audit.
15.05	Contracts, Leases, Franchises, and Agreements. These records document the negotiation, fulfillment, and termination of all contracts, leases, franchises, and agreements entered into by the county, including final contracts that are subject to the bid process.	Retain 10 years after expiration of the contract (Code of Alabama 1975, Section 6-2-33).
15.06	Records of Formal Bids. These records document the bid process, including the county's requests for proposals and unsuccessful responses from service vendors.	
	a. Records documenting bids on products or services obtained by the county commission. These records include requests for bid proposals, successful and unsuccessful bids by product or service vendors, and related correspondence.	Retain 7 years after the date bids were opened (Code of Alabama 1975, Section 41-16-54e).

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
15.06	<p>b. Lists of eligible bidders. County commissions may compile lists of persons or businesses who have filed requests to be notified of bids on projects, products, or services rendered. <u>Note:</u> Requests from bidders to be included on the list may be treated as Routine Correspondence (RDA item 14.08).</p> <p>c. Correspondence with vendors slated for removal from the list of eligible bidders. Under Section 41-16-4(a) of the Code of Alabama, any listed bidder who fails to respond after receiving three solicitations for bids may be stricken from the eligible list. This correspondence documents the county commission's efforts to warn unresponsive vendors that they will be dropped from the list unless they ask to remain eligible. It includes forms or letters sent out by the office and any responses from vendors.</p>	<p>Retain 3 years after last contact with listed vendors.</p> <p>Retain 2 years after the audit period in which the bidder is removed from the list.</p>
15.07	<p>Vendor Verifications of Employees' Legal Immigration Status. These records document enforcement of Section 9 of Act 2011-535 of the Alabama legislature, commonly known as the Immigration Act. They consist of affidavits and/or E-Verify Memoranda of Understanding (MOUs) stipulating that active or prospective vendors do not knowingly employ illegal immigrants.</p>	<p>Retain 3 years after last contact with vendor.</p>
15.08	<p>Grant Project Files. These records document the county's application for and conduct of grant projects funded by local, state, federal, or private sources. Disposition is as follows:</p> <p>a. Financial records, interim narrative reports, and correspondence. These records include financial reports, interim narrative reports, background materials, and other non-financial supporting documentation for grants awarded. Also included are records relating to unsuccessful grant applications.</p> <p>b. Subsidiary financial records. These records include accounting or purchasing records and any other subsidiary financial documentation of federal grants, excluding financial reports. (See federal Rule 1354.)</p>	<p>Retain 6 years after submission of final financial report or denial of application.</p> <p>Retain 3 years after submission of final financial report.</p>

<u>No.</u>	<u>Title</u>	<u>Disposition</u>
15.08	<p>c. Final narrative reports. Final narrative reports are submitted according to the requirements of the funding agency. They summarize the goals of the grant, how the money was used, and what was accomplished.</p>	PERMANENT
15.09	<p>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:</p>	
	<p>a. Resolutions or other directives establishing program requirements, policies, and guidelines</p>	PERMANENT
	<p>b. Guidelines and application forms for each funding cycle</p>	PERMANENT
	<p>c. Applications for funding Unsuccessful applications Successful applications</p>	<p>Retain 3 years Retain in agency's project file.</p>
	<p>d. Contracts with funded agencies</p>	Retain 10 years.
	<p>e. Project files of funded agencies (Note: for non-profit agencies that receive ongoing funding, counties may wish to retain project files from earlier funding cycles)</p>	Retain 2 years following audit.
	<p>f. Interim implementation reports by funded agencies, final financial reports and documentation, and correspondence (including correspondence with unfunded applicants)</p>	Retain 2 years following audit.
	<p>g. Final narrative reports by funded agencies</p>	PERMANENT
15.10	<p>Investment Reports. These records provide summary documentation of the county's financial investments.</p>	Retain 2 years following audit.
15.11	<p>Travel Records. These records document requests by county personnel for authorization to travel on official business, and related materials such as travel reimbursement, forms and itineraries.</p>	Retain 2 years following audit.

16. Administering Internal Operations—Managing Human Resources

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
16.01	Personnel Board Meeting/Hearing Minutes, Agendas, and Packets. These records document meetings and hearings of the county personnel board, along with the agenda of topics to be discussed at the meeting and any attachments or other documents provided to board members.	PERMANENT
16.02	Personnel Hearing Files. These records document various types of hearings held by the county personnel board, such as demotion hearings, hardship rules hearings, grievance hearings, dismissal appeals, discrimination appeals, layoff appeals, and citizen complaints.	Retain 6 years after board's decision and settlement of all appeals.
16.03	Employee Handbooks. These records provide guidance to new employees about personnel rules and other policies and procedures.	PERMANENT
16.04	Employee Newsletters. Internal newsletters are created for county government employees to communicate personnel policies, news of important events, and information on individual employees.	PERMANENT
16.05	Job Classification and Pay Plans. These records document job classifications for all positions covered by the county personnel system. They include the title, qualifications, duties, and pay range for each county government position.	
	a. County commission copy (or personnel department copy if county has a separate personnel department)	PERMANENT
	b. Copies held by other county government departments (including county commission if county has a separate personnel department)	Retain 4 years after position is reclassified.
16.06	Examination Records. These records document the development of and administration of examinations for employment in county positions.	

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
16.06	<p>a. Examination history files. These files document the development of employment examinations. They include questionnaires, comparison studies, final copies of examinations, and job announcements.</p> <p>b. Examination administrative files. These records document the administration of examinations to applicants for county positions. They include rating forms, answer sheets, and lists of applicants.</p> <p>c. Typing tests. These records document typing tests given to potential job applicants before accepting their applications for employment. They may include printouts showing the tests taken, with errors; summaries of results; demonstration forms used by the staff; and sign-in sheets.</p>	<p>Retain 1 year after examination is no longer in use.</p> <p>Retain 3 years.</p> <p>Retain 1 year.</p>
16.07	<p>Certification Records. These records document the process of certifying applicants for employment. They pertain to individuals deemed qualified for county positions after submitting an application and taking an employment examination.</p> <p>a. Employment registers. These records are lists of individuals declared qualified for certain county positions. They include job classifications, names of eligible applicants, and their ranking on the certification list.</p> <p>b. Employee certification files. These records document the certification process with individual job applicants. They include questionnaires, training and experience records, grades, notifications, and returned postcards and letters.</p>	<p>Retain 1 year after superseded.</p> <p>Retain 3 years.</p>
16.08	<p>Job Recruitment Materials. These records document efforts by the county commission to advertise positions and attract qualified personnel.</p>	<p>Retain 2 years following audit.</p>
16.09	<p>Employment Applications. These are applications by individuals for employment in county positions.</p>	

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
16.09	<p>a. Successful applications</p> <p>b. Unsuccessful applications</p> <p>c. Supplemental data forms. Information on these forms includes the job applicant's name, Social Security number, date of birth, race, gender, and recruitment source. The form may be separated and filed separately from other information on the employment application.</p> <p>d. I-9 forms. These federal forms are used to verify that persons seeking employment are eligible to work in the United States. Disposition of the employing agency's copy is provided by 8 CFR 274a.2.</p>	<p>Retain in employee personnel file.</p> <p>Retain 3 years.</p> <p>Retain 6 years after employee separation or 3 years after an unsuccessful application.</p> <p>Retain 3 years after employment or 1 year after termination, whichever is longer.</p>
16.10	<p>Equal Employment Opportunity Commission Files. These records document the county's compliance with hiring regulations established by the federal Equal Employment Opportunity Commission.</p> <p><u>Note:</u> "Whenever a charge of discrimination has been filed, or an action brought by the Attorney General-[retain] until final disposition of the charge or action" (29 CFR 1602.31, 1602.20).</p>	<p>Retain 3 years.</p>
16.11	<p>Employee Personnel Files. These records document each county employee's work history; they are generally maintained as case files. A file may include information on an employee's training, performance evaluations, disciplinary actions, promotions and demotions, awards, leave, and salary.</p>	<p>Retain 6 years after separation of employee.</p>
16.12	<p>Employee Work Schedules. These records document the daily and weekly work schedules of all county employees.</p>	<p>Retain 2 years following audit.</p>

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
16.13	Annual Reports of Promotions and New Hires. These records summarize overall county personnel activity and turnover during the year. They may also include reports of employee retirements, resignations, and terminations.	PERMANENT
16.14	Leave and Attendance Records. These records document the attendance and leave status of county personnel, both generally and for individual employees. <ul style="list-style-type: none">a. Individual employee leave and attendance records (including time sheets). These are records documenting hours worked, leave earned, and leave taken by individual county employees.b. Employee cumulative leave/attendance records. These records document the final leave status (cumulative leave) of individual county employees.c. Employee sick leave donation records. These records document the donation of sick leave to their colleagues by county employees.	Retain 2 years following audit. Retain 6 years after separation of employee. Retain 2 years following audit.
16.15	Payroll Records. These records document county payrolls, as well as pay status and payroll deductions for individual employees. <ul style="list-style-type: none">a. Annual payroll earnings reports/records documenting payroll deductions for tax purposes. These are summaries of employees' earnings during a fiscal year, including all deductions and federal Form 941.b. Records documenting county payrolls. These records include pre-payroll reports, payroll check registers, payroll action forms, payroll/overtime certification reports, etc.c. Records documenting payroll deduction authorizations. These records document payroll deduction authorizations for taxes (including W-4 forms), retirement and insurance contributions, and all other deductions withheld from the pay of individual employees.	Retain 50 years after the end of the tax year in which the records were created. Retain 2 years following audit. Retain 6 years after separation of employee.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
16.15	d. Records documenting payroll deductions. These records document taxes (including W-2 forms), retirement contributions, and all other deductions withheld from the pay of individual employees.	Retain 2 years following audit.
	e. Employee “Cafeteria Plan” (flexible benefits) records. These records document salary-reduction type plans authorized by the U.S. Internal Revenue Service, Section 125.	
	General information about the plan	Retain until superseded.
	Employee applications, correspondence, enrollment cards and files	Retain 6 years after termination of the plan.
16.16	Employee Insurance Program Enrollment and Claims Files. These files document the county’s efforts to assist employees and their dependents to enroll in health/life insurance programs, in accordance with guidelines established by the county commission.	
	a. General information on the program	Retain until superseded.
	b. Employee applications, correspondence, and enrollment cards and files	Retain 4 years after program termination or employee separation.
	c. Employee claims files	Retain 2 years after the audit period in which the claim was filed.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
16.17	Workmen’s Compensation Insurance Claim Files. These files document all claims pertaining to work-related injuries or diseases made by county employees. (See Code of Alabama 1975, Section 25-5-4.)	Retain 12 years after the end of the fiscal year in which the transaction occurred.
16.18	Unemployment Compensation Files. These files provide documentation related to employee claims for unemployment compensation.	Retain 2 years after the audit period in which the transaction occurred.
16.19	Employment Assistance Program Files. These are administrative records documenting the referral of employees to various assistance programs and subsequent services provided.	Retain 2 years after the audit period in which the transaction occurred.
16.20	Family Medical Leave Act (FMLA) Records. These records document administration of the Family Medical Leave program, including leave taken, premium payments, employer notices, and correspondence.	Retain 2 years following audit.
16.21	Training Records. These records document the county’s provision of in-service training and professional development for its employees. They do not include materials obtained from outside sources. Disposition is as follows: a. Training standards, policies, procedures and publications. These records document the county’s overall standards, policies, and procedures in providing specialized training to its employees. They may include general policy statements or guidelines, training manuals, or related publications. <u>Note:</u> Permanent retention applies to the file copy. Duplicates may be destroyed when no longer needed.	PERMANENT

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
16.21	b. Training administrative files. These records document the process of conducting training for employees. They may include individual lesson plans, audiovisual presentations or materials, lists of attendees at workshops or training sessions, sign-in sheets, unpublished handouts, and appraisals of training completed by participants.	Retain for useful life.
16.22	“Drug-Free Workplace” Records. These records document the county’s substance abuse policies and programs, as well as drug and alcohol testing of county employees. Under the federal Americans With Disabilities Act, such medical-related records may not be included in Employee Personnel Files. Retention periods are as follows:	
	a. Drug/alcohol abuse policy and procedures documentation	Retain 4 years after policy is superseded.
	b. Positive employee drug or alcohol test results, documentation of employee refusals to take tests, documentation of employee referrals and treatment in substance abuse programs, copies of county’s annual MIS reports submitted to FTA	Retain 5 years.
	c. Records related to the collection process and employee training	Retain 2 years
	d. Negative employee drug or alcohol test results	Retain 1 year.
16.23	Federal Form 1099. This form is used to report various kinds of income, other than salary, that must be reported for federal tax purposes. It may be issued by the county to contract workers, or other temporary workers, who provide services but are not on the regular payroll.	Retain 2 years following audit.

17. Administering Internal Operations—Managing Properties, Facilities, and Resources

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
17.01	Annual Inventory Records. These records document all personal property, equipment, or capital outlay by the county commission on an annual basis.	Retain 2 years following audit.
17.02	Receipts of Responsibility for Property. These records document the temporary use or possession of county property by county employees.	Retain until return of item to property manager.
17.03	Deeds to County Property. These are copies of records that document the county’s ownership of real property. Deeds are held permanently by the county probate office.	Retain until property is sold. Verify that the probate office holds the original deed prior to destruction.
17.04	Insurance Policies. These policies document all insurance policies carried by the county on its equipment or property.	Retain 10 years after the end of the fiscal year in which the policy was terminated.
17.05	Facilities/Building Maintenance Work Orders. These records document routine maintenance activities in county buildings or other facilities.	Retain 1 year.
17.06	Facilities/Building Inspection Records. These records document the routine safety and maintenance inspection of county buildings, facilities, and such potentially dangerous items as furnaces, elevators, electronic doors, etc.	Retain 5 years.

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
17.07	Facilities/Buildings Security Records. These records document the county's efforts to provide security to members of the public using its buildings and facilities, as well as to monitor the admission of staff and visitors to these areas. They may include visitors' logs or sign-in sheets, staff swipe card logs, alarm system logs, recordings of security monitoring or response, and any other records documenting security staff's response to alarms or emergencies.	
a.	Security monitoring or response recordings	
	Recorded information that does not become part of a case file	Retain 6 months.
	Recorded information that becomes part of a case file	Retain until final disposition of all cases for which recording provides evidence.
b.	All other records	Retain 3 years.
17.08	Motor Pool Use Records. These records document the use of vehicles in the county motor pool by county employees.	Retain 2 years following audit.
17.09	Parking Records. These records document the use of county parking facilities by employees or visitors. They may include parking permits, cards, and applications for these items.	
a.	When parking fee is charged	Retain 2 years following audit.
b.	When no parking fee is charged	Retain 1 year after permit expires.
17.10	Vehicle and Equipment Ownership and Maintenance Files. These records document the ownership and maintenance of all vehicles and other equipment owned or maintained by the county. They may include titles, bills of sale, repair records, and related correspondence.	

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
17.10	a. Ownership records (titles, bills of sale, etc.) <u>Disposition:</u> Retain 2 years following the audit period in which equipment or vehicle is removed from inventory.	
	b. Maintenance files (work orders, repair records, and related financial records)	Retain 2 years following audit.
17.11	Long-Distance Telephone Logs. These records document use of the county's long-distance telephone systems by county employees during business hours.	Retain 2 years following audit.

18. Records No Longer Created

<u>No.</u>	<u>Record Title</u>	<u>Disposition</u>
18.01	Criminal Contract Records/Records of Convicts Sentenced to Hard Labor. These records documented the county's leasing of convicts sentenced to hard labor to private companies or individuals. They were maintained either by the county commission or the judge of probate. Although creation of these records was discontinued ca. 1929, they are appraised as permanent because of their historical value.	PERMANENT (This record is no longer created.)

Requirement and Recommendation for Implementing the Records Disposition Authority for Alabama County Commissions

Requirement

Under the Code of Alabama 1975, Section 41-13-23, “no county, municipal, or other local government official shall cause any . . . record to be destroyed or otherwise disposed of without first obtaining the approval of the local government records commission.” This RDA constitutes authorization by the Local Government Records Commission to dispose of records as stipulated, with the condition that the responsible official must submit a Local Government Records Destruction notice to the ADAH Government Services Division to document the destruction. The ADAH, which serves as the records commission’s staff, retains local records destruction documentation as a permanent record. (For more information, see the ADAH procedural leaflet *Records Destruction Procedures for Alabama Local Governments*.)

Recommendations

In addition to authorizing a procedure for legally destroying temporary county commission records, the Local Government Records Commission urges the commission to establish a quality record-keeping program that will meet its legal and public service needs. Such a program should include the following activities:

The county commission chair, county administrator, or a designated records officer should be responsible for: ensuring the regular implementation of this RDA, maintaining records in compliance with national and state standards, and coordinating the destruction of disposable records.

Permanent records in the commission’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation. In addition to records appraised as permanent in the RDA, the Local Government Records Commission has directed that any record created prior to 1900 shall be regarded as permanent.

Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena. When records series are combined, the combined record should be maintained for the longest retention period applicable to the original series that were combined.

The county commission should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the commission chooses to maintain a record solely in electronic format, it should employ an electronic records management system that is capable of tying

retention and disposition instructions to records in the system and of purging temporary records when their retention periods expire. The commission is committed to funding any system upgrades and migration strategies necessary to ensure the record's preservation and accessibility for the period legally required.

Microforms of permanent records should conform to quality standards set by the American National Standards Institute (ANSI) and the Association for Image and Information Management (AIIM). Under the Code of Alabama 1975, Sections 41-13-40 through -44, microfilm of public records, "when duly authenticated by the custodian thereof, shall have the same force and effect at law as the original record. . . ." No microfilmed record may be legally destroyed "until the microfilm copy has been processed and checked with the original for accuracy." Government Services Division staff may examine agency microfilm for compliance prior to destruction of the original records.

Electronic mail may contain permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA's requirements, the commission should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

The county commission should notify the ADAH Government Services Division if a new records officer is appointed or if other significant changes occur in records storage conditions or records management procedures. It may also contact the division to request revision of this RDA. Normally, RDA revisions will be submitted to the Local Government Records Commission every two years. ADAH Government Services Division staff will notify the county commission of any records commission-approved changes in record-keeping requirements that apply to county commissions on a statewide basis.

The staff of the Local Government Records Commission may examine the condition of permanent records maintained in the county commission's custody and inspect records destruction documentation. Government Services Division archivists are available to instruct county commission staff in RDA implementation or otherwise assist the commission in implementing its records management program.

The Local Government Records Commission adopted this Records Disposition Authority on October 21, 2015.

Steve Murray, Chairman
Local Government Records Commission

Date

By signing below, the agency acknowledges receipt of the retention periods and requirements established by this Records Disposition Authority.

Chairperson

_____ County Commission