

**Soil and Water Conservation Districts**

**Alabama Soil and Water Conservation Committee**

**Alabama Agricultural and Conservation Development  
Commission**

**Functional Analysis  
&  
Records Disposition Authority**

**Presented to the  
State Records Commission  
July 25, 2007**

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# **Functional and Organizational Analysis of the Soil and Water Conservation Districts /Alabama Soil and Water Conservation Committee /Alabama Agricultural and Conservation Development Commission**

## **Sources of Information**

Representatives of the Alabama Soil and Water Conservation Committee / Alabama Agricultural and Conservation Development Commission/Soil and Water Conservation Districts  
Code of Alabama 1975, Sections 9-8-20 through 9-8-67 (Alabama Soil and Water Conservation Committee)  
Code of Alabama 1975, Sections 9-8A-1 through 9-8A-16 (Alabama Agricultural and Conservation Development Commission)  
Code of Alabama 1975, Sections 34-32-1 through 34-32-19 (Soil Classifiers)  
Alabama Government Manual (2006), page 164 (Alabama Soil and Water Conservation Committee)  
page 143 (Alabama Agricultural and Conservation Development Commission)  
Alabama Soil and Water Conservation Committee/Alabama Agricultural and Conservation Development Commission Audit Reports  
Alabama Soil and Water Conservation Committee/Alabama Agricultural and Conservation Development Commission Website

## **Historical Context**

### **Soil and Water Conservation Districts**

U.S. Congress established the Soil Conservation Service (SCS) in 1937 to work directly with local Soil Conservation Districts across the nation to protect the resource base on farms and ranches. The original SCS has since become the Natural Resources Conservation Service (NRCS) and most Soil Conservation Districts have added ‘water’ to their names. Today, the NRCS is a branch of the U.S. Department of Agriculture and has a headquarters in each state. In Alabama, the NRCS headquarters is located in Auburn.

### **Alabama Soil and Water Conservation Committee**

In 1939, a State Conservation Committee was established by the Legislature to provide assistance to the newly created soil conservation districts in the state. The committee consisted of three members: the director of the State Extension Service, the director of the State Agricultural Experiment Station, and the supervisor of Vocational Agricultural Education. Members served without compensation, but were allowed to employ an administrative officer and other agents as required. Office accommodations were provided at the State Agricultural College in Auburn, Alabama (Acts of Alabama, 1939, No. 147). In 1949, the composition of the committee was expanded to include three farmers appointed by the governor from a list submitted by the soil conservation districts (Acts of Alabama, 1949, No. 382). In 1969, the name of the committee was

changed to the State Soil and Water Conservation Committee and the committee's office was moved to Montgomery (Acts of Alabama, 1969, No. 220). The composition of the committee was changed to nine members in 1971. Six soil and water conservation district supervisors were added to replace the three farmers. Again, all of the six members were appointed by the governor from a list nominated by the districts (Acts of Alabama, 1971, No. 1932).

### **Alabama Agricultural and Conservation Development Commission**

The commission was created by the Legislature in 1985 to make available appropriate funds to assist the financing of needed soil conservation, agricultural water and forestry improvement programs (Acts of Alabama, 1985, No. 123). The commission operates in conjunction with Alabama Soil and Water Conservation Committee.

## **Agency Organization**

**Soil and Water Conservation Districts:** The Soil and Water Conservation Districts are established by the Code of Alabama, Sections 9-8-23 through 9-8-32. There are currently 67 districts, one in each county of the state. Each district is administered by a board of five supervisors who are appointed by the Alabama Soil and Water Conservation Committee. District supervisors must be landowners and reside within their respective districts. A district conservationist and one additional technician are assigned by the Natural Resources Conservation Service (NRCS) to all districts. In addition, each district has a District Administrative Coordinator (DAC) who provides administrative support for the office. Some districts may have other employees who perform various duties.

**Alabama Soil and Water Conservation Committee:** The committee is the 'mother organization' for the 67 Soil and Water Conservation Districts. The committee consists of nine members: the director of the State Extension Service, the director of the State Agricultural Experiment Station, the supervisor of Vocational Agricultural Education, and six soil and water conservation district supervisors, appointed by the governor, who serve three-year staggered terms of office. The committee selects its chairman and a majority of the members constitutes a quorum. The committee appoints an executive director who serves as the administrative head of the agency. In addition, the committee hires several merit or contract employees to handle daily operations.

**Alabama Agricultural and Conservation Development Commission:** The commission consists of nine voting members. Three are appointed by the governor: one member of the Alabama Forestry Commission and two active farmers or timberland owners. They serve from one organizational session of the Legislature to the next. The remaining six are appointed by virtue of their positions, consisting of the commissioner of the Department of Agriculture and Industries, the president of the Alabama Farmers Federation, the president of the Alabama Cattlemen's Association, the chairman of the State Soil and Conservation Committee, the president of the Alabama Association of Conservation Districts, and the governor. In addition, the chair of the Senate Agriculture, Conservation, and Forestry Committee, two members of the House of Representatives, and two members of the State Senate appointed by the speaker of the house and the lieutenant governor respectively serve as non-voting, ex-officio members of the commission and as an oversight committee to review and report to the Legislature respecting the programs and activities of the

commission. The governor serves as the commission chairman and the commission elects a vice-chair, secretary, and other officers as it determines from the commission membership. The state treasurer is treasurer for the commission. A majority constitutes a quorum. The commission hires one unclassified employee through the merit system. The commission shares office space and fixed assets with the Alabama Soil and Water Conservation Committee.

## **Agency Function and Subfunctions**

The mandated function of the Soil and Water Conservation Districts is to conduct surveys, investigations, research, and demonstration projects; construct, improve, and maintain structures; carry out preventive and control measures for soil erosion; and develop comprehensive plans for the conservation of soil resources and control/prevention of soil erosion. The Alabama Soil and Water Conservation Committee assists local districts in small watershed developments and secures the assistance of both the federal and state governments in financing projects for the districts. The purpose of the Alabama Agricultural and Conservation Development Commission is to make available appropriate monies to finance needed soil conservation, agricultural water, and forestry improvement programs. They are one of the agencies primarily involved in carrying out the Stewardship function of Alabama government. In performance of their mandated functions, the agencies may engage in the following subfunctions.

### **Soil and Water Conservation Districts:**

- **Managing Districts.** The Soil and Water Conservation District Board of each county provides direction for local programs and ensures that the district staff fulfill their primary mission of working with landowners to install Best Management Practices (BMPs) to control erosion, protect water quality, and provide other measures necessary to enhance and protect the environment.

### **Alabama Soil and Water Conservation Committee:**

- **Assisting and Coordinating.** The Alabama Soil and Water Conservation Committee (hereafter referred to as the committee) coordinates the programs of the local soil and water conservation districts (hereafter referred to as districts) through cooperation, advice, and consultation; assists the districts in small watershed developments under the Federal Small Watershed and Flood Prevention Act of 1954 (which deals with matters such as flood prevention, resource conservation, development projects, municipal/industrial water supplies, recreational developments, and land treatments); facilitates the exchange of experience among the districts; secures the assistance of both federal and state government agencies in financing projects at the district level; acts as the liaison between the 67 districts in Alabama and the U.S. Congress in regard to appropriation needs and other legislative matters; represents the districts in dealing with the governor and the State Legislature; disseminates information throughout the state concerning the programs in the districts; and assists in the administration of federal cost-sharing grants to land users for pollution control.

- **Registering Soil Classifiers.** As mandated by the Code of Alabama, Section 34-32-1 to 34-32-19, the Alabama Soil and Water Conservation Committee serves as the State Board for the Registration of Professional Soil Classifiers (hereafter referred to as the board), defined as people who practice soil classification for the public in the state. To assist in the administration of the program, an advisory council of five members was appointed by the committee. Four of the five members must be qualified professional soil classifiers who have been actively engaged in the practice of professional soil classifying for at least three years. The fifth member of the advisory council is the administrative officer of the Alabama Soil and Water Conservation Committee, who also serves as the secretary-treasurer of the council. The board, with the assistance and consultation provided by the council, adopts/amends all bylaws, rules, and regulations necessary to administer the program; screens and examines applicants for registration; issues certificates to qualified applicants as registered professional soil classifiers; investigates complaints against registered professional soil classifiers; and assists in the prosecution of violations.

### **Agricultural and Conservation Development Commission:**

- **Allocating Funds.** The Agricultural and Conservation Development Commission is authorized by the Code of Alabama, Sections 9-8A-1 to 9-8A-16, to receive public appropriations and accept from any source gifts, grants, and contributions of money. The commission establishes, with the advice of the Soil and Water Conservation Committee, standards and specifications for soil and water conservation practices eligible for cost-share grants. Funds are then allocated, again through the Soil and Water Conservation Committee, to the 67 soil and water conservation districts for use by the districts in making cost-share grants and approving technical assistance to eligible applicants who agree to perform certain conservation and land improvement procedures on their land.

### **All Three Entities:**

- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

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

**Managing Finances:** Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department; documenting amendments and performance of the budget); 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 involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

**Managing Properties, Facilities, and Resources:** Activities involved in managing properties, facilities, and resources may include the following: 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 for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

# **Analysis of Record Keeping System and Records Appraisal of the Soil and Water Conservation Districts / Alabama Soil and Water Conservation Committee / Alabama Agricultural and Conservation Development Commission**

## **Agency Record Keeping System**

The three entities currently operate a hybrid record keeping system composed of paper and electronic records.

## **Records Appraisal**

The following is a discussion of the two major categories of records created and/or maintained by the three entities: Temporary Records and Permanent Records.

**I. Temporary Records.** Temporary Records should be held for what is considered to be their active life and disposed of once all their fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the board are discussed below:

- **Cost-Share Grant Program Case Files.** Records may include, but are not limited to, applications for cost-share grants, approvals/denials for grants, cost estimates, landowner-district cooperative agreements, reports of completion of approved conservation practices, calculations of payments, requests for funds, requests for reverted funds, receipts for payment, monthly/annual district program progress reports, and other grant related documents. This series should be preserved for 3 years after the end of the fiscal year in which the records were created.

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

### **Soil and Water Conservation Districts:**

- **District Meeting Agendas, Minutes, and Packets.** All local soil and water conservation districts are obligated to hold at least eight meetings each year. This series consists of meeting agendas and notices, minutes, and other supporting documents. These records serve as the documentation of proposed and executed proceedings of local districts. (RDA page 3-2) **(Bibliographic Title: District Meeting Minutes)**



## **Alabama Soil and Water Conservation Committee /Alabama Agricultural and Conservation Development Commission :**

### **Assisting and Coordinating**

- **Meeting Agendas, Minutes, and Packets of the Committee/Commission.** Both the committee and the commission are obligated to meet at least quarterly and special meetings may be called by the chairman. In addition to minutes, this series may include meeting agendas and other supporting or reference documents. These records are the best source of information about the functions of the committee/commission. (RDA page 3-3) **(Bibliographic Title: Meeting Minutes)**
- **Strategic Plans.** In order to guide their work and operations, the committee/commission publish/update a strategic plan (known as Alabama's Natural Resources: A Plan for Wise Use Conservation Development). This booklet identifies mission, vision, guiding principles, strategic issues, goals, and actions within strategic issues. This booklet should be preserved as part of the agency's permanent documentation. (RDA page 3-3) **(Bibliographic Title: State Publications)**
- **Informational and Promotional Publications.** In an effort to promote and advertise services performed for the public, the committee/commission may print, from time to time, various publications, such as newsletters, rules and regulations, brochures, and other related materials. Some materials may be published by the committee/commission in cooperation with other federal/state agencies. (RDA page 3-3) **(Bibliographic Title: State Publications)**
- **Program Policy and Operational Procedures.** To assist the 67 districts in the administration of the soil and water conservation program, the committee publishes, from time to time, various procedural handbooks or guides. These may include Alabama Soil and Water Conservation District Handbooks, District Administrative Coordinator's Guides, Policies and Approved Conservation Practices, and others. (RDA page 3-3) **(Bibliographic Title: State Publications)**

### **Registering Soil Classifiers**

- **Advisory Council Meeting Agendas, Minutes, and Packets.** Code of Alabama, Section 34-32-7 (a) authorizes the Alabama Soil and Water Conservation Committee to serve as the State Board of Registration for Professional Soil Classifiers. The board appoints an advisory council of five members to assist in the administration of the Professional Soil Classifiers Registration Act (Acts 1981, No. 81-766). The council is obligated to meet at least twice a year. In addition to minutes, this series may include meeting agendas and other supporting or reference documents. These records are the best source of information about the functions of the council. (RDA page 3-4) **(Bibliographic Title: Meeting Minutes)**

- **Examination Bank Questions.** This series consists of examination questions prepared and used by the board to test applicants prior to their registration as soil classifiers. The examination bank questions should be preserved as documentation because they provide information on the knowledge required for registration as soil classifiers in Alabama. (RDA page 3-4) **(Bibliographic Title: Examination Questions)**

### **Administering Internal Operations**

- **Web Site.** The committee has a website at: [www.swcc.state.al.us](http://www.swcc.state.al.us). Information on the website includes introduction to the state committee, local soil and water conservation districts, Alabama Association of Conservation Districts, Alabama Watershed Assessment, erosion and sediment control, soil classifiers, meeting and events calendars, and links. The disposition statement calls for retaining a “snap shot” of completed website information annually or as often as significant changes are made to the site. (RDA page 3-4) **(Bibliographic Title: Website)**

**Permanent Records List**  
**Soil and Water Conservation Districts**  
**Alabama Soil and Water Conservation Committee**  
**Alabama Agricultural and Conservation Development Commission**

**Soil and Water Conservation Districts:**

1. District Meeting Agendas, Minutes, and Packets

**Alabama Soil and Water Conservation Committee /Alabama Agricultural and Conservation Development Commission:**

**Assisting and Coordinating**

1. Meeting Agendas, Minutes, and Packets of the Committee/Commission
2. Strategic Plans
3. Informational and Promotional Publications
4. Program Policy and Operational Procedures

**Registering Soil Classifiers**

1. Advisory Council Meeting Agendas, Minutes, and Packets
2. Examination Bank Questions

**Administering Internal Operations**

1. Website
2. Semiannual Inventory Lists\*

\*indicates records that ADAH anticipates will remain in the care and custody of the creating agency. ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

# **Soil and Water Conservation Districts / Alabama Soil and Water Conservation Committee / Alabama Agricultural and Conservation Development Commission**

## **Records Disposition Authority**

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Soil and Water Conservation Districts/Alabama Soil and Water Conservation Committee/Alabama Agricultural and Conservation Development Commission. The RDA lists records created and maintained by the Soil and Water Conservation Districts /Alabama Soil and Water Conservation Committee /Alabama Agricultural and Conservation Development Commission in carrying out their mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agencies 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 successor 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, Sections 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 Records Division at (334) 242-4452.

## **Explanation of Records Requirements**

- This RDA supersedes any previous records disposition schedules governing the retention of the Soil and Water Conservation Districts/Alabama Soil and Water Conservation Committee/Alabama Agricultural and Conservation Development Commission. Copies of superseded schedules are no longer valid and may not be used for records disposition.
- 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 document 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; and (2) transitory records, which are temporary records created for 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 material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities. They may be disposed of without documentation of destruction. Other items that may be disposed of without destruction documentation 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 materials that are not subject to audit and have become obsolete.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Soil and Water Conservation Districts/Alabama Soil and Water Conservation Committee/Alabama Agricultural and Conservation Development Commission and lists the groups of records created and/or maintained by these agencies as a result of activities and transactions performed in carrying out these subfunctions. These agencies may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

### **Soil and Water Conservation Districts**

#### **■ Managing Districts**

DISTRICT MEETING AGENDAS, MINUTES, AND PACKETS

Disposition: PERMANENT RECORD. Retain in Office.

District Annual Financial Reports

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

District Monthly Reports and Transmittal Letters for Cost-Share Program

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Requests for Payment of Completed Practices for Cost-Share Program

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

District Supervisor Appointment/Reappointment Records

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term was expired.

Annual Surety/Liability Bond Records (Invoices and Copy of Check)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records Documenting Reporting of Land Owned by Districts to the Department of Conservation and Natural Resources

Disposition: Temporary Record. Retain until the final disposition of the land.

**Alabama Soil and Water Conservation Committee**

■ **Assisting and Coordinating**

MEETING AGENDAS, MINUTES, AND PACKETS OF THE COMMITTEE/COMMISSION

Disposition: PERMANENT RECORD.

STRATEGIC PLANS

Disposition: PERMANENT RECORD.

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

PROGRAM POLICY AND OPERATIONAL PROCEDURES

Disposition: PERMANENT RECORD.

Recordings of Meetings

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

Register of Administrative Rules

Disposition: Retain in Office (Code of Alabama 1975, Section 41-22-6).

Administrative Rules Files

Disposition: Temporary Record. Retain for useful life.

Committee Appointment Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term was expired.

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies

Disposition: Temporary Record. Retain 3 years.

■ **Registering Soil Classifiers**

ADVISORY COUNCIL MEETING AGENDAS, MINUTES, AND PACKETS

Disposition: PERMANENT RECORD.

ROSTERS OF SOIL CLASSIFIERS

Disposition: PERMANENT RECORD.

EXAMINATION BANK QUESTIONS

Disposition: PERMANENT RECORD.

Soil Classifier Registration and Violation Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the license becomes inactive.

**Alabama Agricultural and Conservation Development Commission**

■ **Allocating Funds**

COMMISSION MEETING AGENDAS, MINUTES, AND PACKETS

Disposition: PERMANENT RECORD.

Cost-Share Grant Program Case Files

(records may include, but are not limited to, applications for cost-share grants, approvals/denials for grants, cost estimates, landowner-district cooperative agreements, reports of completion of approved conservation practice, calculations of payment, requests for funds of completed practices, requests for reverted funds, receipts for payment, monthly/annual district program progress reports, and other grant related documents)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

## ■ **Administering Internal Operations**

### **Managing the Agency:**

#### WEBSITE

Disposition: PERMANENT RECORD. PRESERVE A COMPLETE COPY OF WEBSITE ANNUALLY OR AS OFTEN AS SIGNIFICANT CHANGES ARE MADE.

#### Sunset Committee Review Files

Disposition: Temporary Record. Retain until completion of subsequent sunset review.

#### Routine Correspondence

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

#### Mailing Lists

Disposition: Temporary Record. Retain for useful life.

#### Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

#### Alabama Association of Conservation Districts Materials

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's approved RDA (copies of transmittals forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to State Records Commission)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

#### Copies of Approved RDA

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA is superseded.

#### System Documentation (hardware/software manuals and diskettes, warranties)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.



**Managing Finances:**

Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and records of funds deposited outside the state treasury

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

- a. Original bid records maintained in the purchasing office of the agency for contracts over \$7500

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.

- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Agency Audit Reports

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

**Managing Human Resources:**

Job Recruitment and Application Materials

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term expires.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting an employee's work history - generally maintained as a case file

(1) Merit System Employee(s)

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

(2) Non-Merit System Employee(s)

Disposition: Temporary Record. Retain 25 years after separation of employee from the agency.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

**Managing Properties, Facilities, and Resources:**

SEMIANNUAL INVENTORY LISTS

Disposition: PERMANENT RECORD. Retain in office. (Code of Alabama 1975, Section 36-16-8 [1]).

Agency Copies of Transfer of State Property Forms

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the items were removed from inventory.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Records documenting the lease or rental of office or warehouse space for the department  
Disposition: Temporary Record. Retain 6 years after expiration of the lease.

## **Requirement and Recommendations for Implementing the Records Disposition Authority**

Under the Code of Alabama 1975, Section 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Alabama Soil and Water Conservation Committee / Alabama Agricultural and Conservation Development Commission /Soil and Water Conservation Districts (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in July of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- 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.
- The agency 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 agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and

migration strategies necessary to ensure the records' permanent preservation and accessibility.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on July 25, 2007.

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Edwin C. Bridges, Chairman, by Tracey Berezansky  
State Records Commission

\_\_\_\_\_  
Date

Receipt acknowledged:

\_\_\_\_\_  
Steve Cauthen, Executive Director  
Alabama Soil and Water Conservation Committee  
Alabama Agricultural and Conservation Development Commission  
Soil and Water Conservation Districts

\_\_\_\_\_  
Date