

**Alabama Department of Conservation and Natural  
Resources**

**Functional Analysis  
&  
Records Disposition Authority**

**Revision  
Presented to the  
State Records Commission  
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# Functional and Organizational Analysis of the Department of Conservation and Natural Resources

## Sources of Information

Department of Conservation and Natural Resources Records Management Committee  
Employees of the Department of Conservation and Natural Resources  
Code of Alabama 1975, Sections 2-27-6, 2-27-30, 9-2-1 through 9-2-130, 9-5-1 through 9-5-3, 9-10-6, 9-10B-24, 9-11-16, 9-11-17, 9-12-29 through 9-12-35, 9-12-140, 9-12-142, 9-12-181, 9-14-4, 9-15-2 through 9-15-33, 22-22-7, 22-22A-12, 33-5-4 through 33-5-28, 35-2-20 through 35-2-30, 41-9-243, 41-9-260, 41-10-232, 41-10-236, and 41-16-21  
Code of Alabama 1852  
Code of Alabama 1867, Sections 575, 621-624, 1301, 3750-3753  
Code of Alabama 1876, Sections 4407  
Code of Alabama 1896, Sections 5586 through 5591,  
Code of Alabama 1907, Sections 656 through 688  
Code of Alabama 1923  
Code of Alabama 1940  
Constitution of the State of Alabama, 1819, 1861, 1865, 1868, 1875, 1901  
Alabama v. Kelley, 214 F. Supp. 745 (N.D. Ala 1963)  
State v. Vaughan, 30 Ala. App. 201, 4 So. 2d 5, cert. denied, 241 Ala. 628, 4 So. 2d 9 (1941)  
Kimbrell v. State, 272 Ala. 419, 132 So. 2d 132 (1961)  
Smith v. State, 40 Ala. App. 210, 113 So. 2d 186 (1959)  
Cotton Bayou Ass'n v. Department of Conservation, 622 So. 2d 924 (Ala 1993)  
Code of Federal Regulations, Title 50, Chapter I, Part 17 and 83  
Code of Federal Regulations, Title 46, Chapter I, Part 67  
Alabama Government Manual (1994)  
Alabama Administrative Code, Sections 220-1-1 through 220-6-.30  
Department of Conservation and Natural Resources Annual Reports (1995, 1996)  
“Alabama’s Natural Heritage: Plants, Animals, and Their Habitats.” Natural Heritage Section  
“Alabama Boat Registration and Certification Procedures.” Marine Police Division  
“Functional Analysis of Alabama Government” (1998)  
Government Records Division, State Agency Files (1985-ongoing)  
Government Records Division, State Agency History  
Records Schedules for the Department of Conservation and Natural Resources  
Holdings of the Department of Archives and History for the Department of Conservation and Natural Resources

## Historical Context

With its creation in 1817, the Alabama Territory was given control over all 16<sup>th</sup> section lands and the salt springs. That same act that created the territory proclaimed that all navigable waters of the territory were to remain public highways. Five percent of the net proceeds of land sold by the United States Congress were to be used for the upkeep of roads and continued navigation of rivers. In 1819, when the territory became a state, these same conditions applied to the state of Alabama.

The Code of Alabama 1867, includes the first laws to conserve wildlife. According to the Code of Alabama 1867, Sections 3750-3753, hunting deer at night with fire and gun was illegal, as was poisoning a stream to catch fish. In 1891, the legislature created the State Oyster Inspector with the responsibility for the enforcement of laws regarding oysters. In 1907 the legislature conferred upon the State of Alabama legal ownership of all wild birds and game not privately owned, and established the Department of Game and Fish to supervise the state's interests. The duties of the department were to regulate the catching, killing, or taking of wild birds or game by establishing seasons for hunting and by establishing daily and seasonal limits; to regulate the sale, purchase, and transport of wild birds and to protect their nests and eggs; and to issue certificates of authorization for scientists and ornithologists to collect birds, nests, or eggs for scientific study. The legislature required all sheriffs, deputy sheriffs, marshals, constables, and other peace officers to function as ex-officio game and fish wardens.

Beginning in 1915, the legislature began to consolidate all of the various agencies and offices responsible for natural resource and wildlife management under the aegis of the Department of Game and Fish. The Board of Oyster Commissioners (1909-1911), and then the Alabama Oyster Commission (1911-1915), was responsible for the enforcement of laws regarding oysters until 1915 when the legislature created the Public Reef Warden. In 1919 the legislature abolished the Public Reef Warden when it added the office of Chief Oyster Inspector to the Department of Game and Fish, now renamed the Department of Conservation. Also in 1919, the legislature established official ports of entry for landing and taxing shipments of oysters, shrimp, and other seafood at Alabama Port, Cedar Point, Dauphin Island, and Bayou La Batre.

The legislature changed the name of the Department of Conservation to the Department of Game and Fisheries in 1923. In 1935, the legislature changed the department's name to the Department of Conservation of Game, Fish, and Seafood and moved the functions of the Chief Oyster Inspector to the Alabama Oyster Commission. The legislature also created a seven-member Conservation Board to advise the commissioner of the department. The commissioner also served as chair of the board. The legislature established the Advisory Board of Conservation and the Department of Conservation in 1939, and abolished the Conservation Board, Department of Conservation of Game, Fish, and Seafoods, Alabama Oyster Commission, State Commission of Forestry, State Forester, and Alabama Monument Commission. The legislature transferred the functions of these agencies, including the position of land clerk, to the newly created Department of Conservation. The legislature also created divisions known as: the Division of Game, Fish, and Seafoods; the Division of Forestry; and the Division of State Parks, Monuments, and Historic Sites.

In 1945, the legislature placed within the department the Office of Land Agent, responsible for the leasing and selling of timber and land owned by the state (formerly of the State Land Commission). In 1959, the Water Safety Division was established in the Department of Conservation to enforce the state's boating laws. The legislature created the Historical Commission in 1966 with the mandate to preserve buildings, sites, and structures of historic, architectural, and archaeological importance. In 1969, the legislature abolished the Division of Forestry with the establishment of the Alabama Forestry Commission. The legislature renamed the Department of Conservation as the Department of Conservation and Natural Resources in 1971. In 1973, the legislature changed the name of the Advisory Board of Conservation to the Advisory Board of Conservation and Natural Resources. There have been no significant legislated changes since this point.

## **Agency Organization**

The organizational structure of the Department of Conservation and Natural Resources consists of a commissioner, appointed by the governor; five operational divisions; seven support sections; and an assistant commissioner. The commissioner, with approval by the governor, appoints division directors (Code of Alabama 1975, Section 9-2-11). The Advisory Board of Conservation and Natural Resources, which advises the department, consists of the governor, the commissioner of Agriculture and Industries, the director of the Agricultural Extension Service of Auburn University, and ten other members appointed by the governor, one of whom the governor designates as chair. Appointed members serve six year terms. The board meets semiannually and as necessary (Code of Alabama 1975, Section 9-2-14).

The five operational divisions are Game and Fish, Lands, Marine Police, Marine Resources, and State Parks. The seven support sections are the Accounting Section, the Audit Section, the Engineering Section, the Film and Video Section, the Information and Education Section, the Legal Section, and the Personnel and Payroll Section. Each section has offices in the department's central Montgomery office, except the Film and Video Section, which is at Oak Mountain State Park.

The department operates offices in Montgomery; six district enforcement offices overseeing eight to fourteen counties each; six district fish offices with laboratories; three fish hatcheries with fish hatching and holding buildings; six district wildlife offices; marine police district headquarters and training facilities; marine resource facilities at Dauphin Island, Gulf Shores, and Bayou La Batre; and twenty-four state parks. An organizational chart is attached.

## **Agency Function and Subfunctions**

The mandated function of the Department of Conservation and Natural Resources is to promote, to protect, and to conserve the wildlife and land of the state. The department is one of the agencies responsible for performing the Stewardship, the Law Enforcement and Emergency Powers, and the Economic Development functions of Alabama government.

In the performance of its mandated function, the department may engage in the following subfunctions.

- **Promulgating Rules and Regulations.** The commissioner makes rules and regulations with respect to the manner of performance of all functions and duties of the department. The commissioner has all rule-making powers of the department subject to the Advisory Board of Conservation and Natural Resources and cannot delegate his rule-making power unless expressly authorized (Code of Alabama, 1975, Section 9-2-12). The board assists in formulating the policies of the department; examines all rules and regulations made or promulgated by the commissioner; recommends amendments, repeals, or suggests additional rules or regulations; and by a two-thirds vote and with the approval of the governor can amend or repeal any rule or regulation and promulgate additional rules or regulations (Code of Alabama, 1975, Section 9-2-15). The department follows the steps outlined in the "Alabama Administrative Procedure Act," Acts 1981, No. 81-855, p. 1534, §1, to create or change any rules or regulations.

Some examples of rules and regulations that the law instructs the commissioner to create include designation of which species of fish are game fish and what animals are classed as game or fur-bearing animals; designation of open hunting and fishing seasons; designation of daily and season bag or creel limits; designation of the legal hunting and fishing techniques; and designation of restricted marine speeds. The department also creates regulations that makes it illegal to kill or take wildlife because of endangered status.

Law requires the department to publish, in pamphlet form for general distribution, all laws together with such rules and regulations relating to game, birds, fish, furbearers, seafoods, and other matters over which the department has supervision or authority. Any court in this state receives these pamphlets in evidence without further proof of such rules and regulations.

- **Protecting and Conserving.** The department is responsible for the protection and conservation of the natural resources of the state. To fulfill this responsibility, the staff members of the department perform many varied activities.

Staff members of the department stock state lakes from hatcheries and from outside sources; perform shoreline treatments; collect and relocate fish and wildlife; work to improve fertility in lakes; attempt to manage aquatic plants; coordinate diseased-timber removal; and plant trees. Biologists of the department conduct biological checks of ponds and investigate reported fish kills and cases of pollution. Staff members investigate and comment on water-related permits and environmental impact statements and provide written comments to appropriate agencies; monitor wildlife populations to determine management needs; provide technical assistance to the public on wildlife and habitat management, harvest strategies, and damage control to protect crops and property as much as practical without undue damage to

wildlife resources; and provide technical assistance to other agencies to avoid undue damage to wildlife resources and to enhance those resources where possible.

The department's staff members perform research related to fish habitat and development, conduct wildlife research and surveys, and perform research activities covering such projects as fish culturing and growth studies. Department staff members monitor endangered fish and wildlife in the state and can request a listing as a nongame species, which makes it unlawful to capture, kill, or possess the species without a scientific collection permit. Staff members also can request a federal listing by the U. S. Fish and Wildlife Service if research and/or survey appears to warrant such action.

Wardens of the department assist individual citizens, clubs, groups, and organizations by furnishing information and assistance for the construction of fish ponds, establishment of feeding grounds for migratory water fowl, the planting of fish from fish hatcheries, the reclaiming of stranded fish, and the control of predators that prey on useful forms of wildlife.

The Natural Heritage Program monitors the status and distribution of Alabama's plants and animals through the maintenance of the Natural Heritage database, which serves as a compilation of all plant and animal species documented in Alabama. Most of the information is available to the public as a tool to facilitate education, resource planning, and biological research. The database is also used to allow the identification of areas and species where information gaps are present. Once they identify gaps, staff members work to fill the gaps through field surveys.

The department's staff members manage the commercial and recreational fisheries in Alabama's marine and estuarine waters with the cooperation of the National Marine Fisheries Service. The department operates a mariculture center with thirty-five ponds. Activities include the cultivation of the public oyster reefs of the state; the dredging of the oysters in Alabama waters from where they are too thick and spreading them on reefs where they are too thin; the creation of fishing reefs; and the monitoring of the potential impact of commercial projects on oysters.

Alabama law authorizes the commissioner to close the season of any species of game in any county or area where it is found necessary for conservation and perpetuation of such species. Legislation also prohibits the importation of any bird, animal, reptile, amphibian, or fish that would not be in the best interest of the state unless such importation is used for display purposes for shows and exhibits where ample provisions are made to prevent escape in this state (Code of Alabama 1975, Section 9-2-13).

- **Managing State Lands.** The department is responsible for acquiring/selling, maintaining records of, exploiting, developing, and preserving all state lands other than those specifically committed to use or control of another agency. The following represent various activities performed by staff members under this subfunction.

**Acquiring/Selling.** The department acquires land by donation, purchase, condemnation, or lease; and sells and exchanges land in its care when doing so will be advantageous to the state. The department coordinates the sale of state land in its care even if it belongs to another agency. The department deposits the funds from the sale in the appropriate account. There are more than 645,000 acres of trust lands managed for the benefit of several state agencies.

**Maintaining Records.** The Lands Division maintains a record of any purchase or sale of state-owned land. Probate judges supply a certified copy of any deed that involves state property. Once a year, the Lands Division sends a list of lands held by a state agency to that agency for updating. The state lands resources information center, within the department, compiles and keeps up to date the location, size, type of development, description and general condition of improvement if any, and certified copy of original deed or record of ownership to state of property.

**Exploiting.** Some state lands contain valuable natural resources such as timber, oil, natural gas, and minerals, which may bring substantial profits to the state. The Department of Conservation's Lands Division has the responsibility of determining how best to use state property (Code of Alabama 1975, Section 9-15-1, et seq.). It leases land for timber cutting and for oil and gas exploration and production. It also awards offshore oil leases in the Gulf of Mexico. The Mineral Resources Management Committee, made up of the state geologist, the commissioner of conservation, and the finance director, maximizes the income realized from oil, gas, and other mineral resources owned by the state (Code of Alabama 1975, Section 9-5-1).

- **Preserving State Lands.** The Alabama Forever Wild Land Trust is a permanent trust. The Board of Trustees of the Alabama Forever Wild Land Trust consists of fifteen voting members as follows: the commissioner of the Department of Conservation and Natural Resources, who serves as chairperson of the board; the State Forester; three members appointed by the Alabama Commission on Higher Education; the Executive Director of the Marine Environmental Sciences Consortium; three members appointed by the Governor; three members appointed by the Lieutenant Governor; and three members appointed by the Speaker of the House of Representatives. The board meets at least quarterly each year and reviews written requests from state agencies, private organizations, and private citizens proposing that the board acquire certain properties. To protect the natural heritage and diversity of Alabama for future generations, the state, acting through the Forever Wild Land Trust acquires lands to ensure their protection and use for conservational, educational, recreational or aesthetic purposes. Using its own knowledge and expertise, as well as the knowledge and expertise of the scientific community and state and federal agencies, the board adopts a priority list of properties to be considered for acquisition.



The Alabama Trust Fund has vested title for the State of Alabama to all properties acquired by the Forever Wild Land Trust. The department serves as the lead management agency with respect to all lands acquired and has the responsibility of providing to the board administrative support as necessary. Administrative support includes arranging meetings, coordinating the assessment and appraisal of land, negotiating with property owners, and preparing the budget and annual report of the board. The department follows the directions of the board in acquiring lands or waters. The Forever Wild Land Trust may only purchase or acquire an interest in property from the priority list of properties adopted by the board. Before purchasing or acquiring any interest in lands with funds from the Forever Wild Land Trust, the commissioner obtains at least two appraisals from certified real estate appraisers. The Final Approval Committee, composed of the governor, the lieutenant governor, and the speaker of the House of Representatives, approves or disapproves any proposal of the board. The right of the public to hunt and fish on the lands and easements acquired is not abridged or restricted, subject to such rules, regulations, seasons, and limits as are established by the department.

- **Facilitating Recreation.** The department initiates and conducts public recreational activities relating to the natural resources of the state. Activities include the Interpretive-Recreational Activity programs, National Hunting and Fishing Day, Waterfowl Stamp Art Contest, National Safe Boating and Fishing Weeks, Free Fishing Day in Alabama, Boys State/Girls State, the Community Fishing Program, and the Deer Management Assistance Program.

The department annually contracts with an artist to create a wildlife print or stamp and sells reproductions of the print or stamp. The department reviews applications for the largest caught of each species of fish in the state and maintains a record.

The department administers, manages, and maintains twenty-four state parks; twenty-three state-owned public fishing lakes in twenty counties; thirty-two wildlife management areas; two waterfowl refuges; and two wildlife sanctuaries. The Parks Division of the Department of Conservation is responsible for all the state parks and carries out all activities related to their management, with the exception of building access roads, which is the responsibility of the Department of Transportation.

The department constructs and operates public service privileges and conveniences on land within the state park system and collects reasonable fees for such use. Service privileges and conveniences include facilities such as motels and restaurants, disability facilities and access, parking lots, walkways, shelters, pavilions, fishing lakes, piers, and beach areas. Processes involved in construction and operation include planning, preparing construction documents, creating project status reports, performing feasibility studies, advising on proper repair and operation manuals, providing technical field assistance, writing specifications for materials and equipment, giving training assistance, and providing emergency project involvement and

field maintenance. The department also enters into contracts for the operation of such privileges and/or conveniences.

The department prepares and updates maps for management areas and park trails, and also works with the Department of Transportation to convert state maps, state park boundaries, wildlife management areas, and other related data to digital form.

- **Educating.** The department conducts educational programs about the natural resources of the state. The department offers training to the public on safety, ethics, wildlife conservation and hunting, and boater safety. The department offers educational opportunities to the public through Environmental Education Programs and offers educational training and resource materials to teachers, students, and the general public through its statewide Conservation Education Program (CEP). Activities of the CEP program include curriculum-based teacher workshops such as Project WILD, Aquatic WILD, and Project WET and mini-courses for college credit such as Delta Discovery and Natural Resources Conservation. The department also works with the Boy Scouts through explorer programs.

Staff members publish management reports, articles, and informational brochures and produce exhibits for lodges, nature centers, school groups, special events, and conferences. Publications include Outdoor Alabama, news releases, a departmental newsletter, brochures, press kits, and other promotional/informational material. Staff members of the department prepare and distribute video programs and slide presentations for use through schools, colleges, television stations, and personal appearances of department personnel to help inform and educate the general public about the department. The department prepares films and videos for training and informational purposes that are distributed to department staff and to other states.

- **Enforcing.** Conservation enforcement officers are state peace officers, designated by the commissioner, have the authority to: enforce all laws of the state, with a primary focus on enforcing laws and regulations relating to the department; serve subpoenas; carry firearms when in the discharge of duties; confiscate all game, birds, animals, or fish or parts thereof that have been caught, taken, killed, or held at a time in any manner or for any purpose or had in possession or under control or have been shipped, carried, or transported contrary to the laws of this state; and enter any land or water while in the performance of duties.

Officers of the department enforce laws and regulations relating to boating safety and freshwater fishing and hunting, and participate in drug interdiction operations. Officers are cross-trained and deputized as National Marine Fisheries Service and U. S. Customs agents. Employees visit and inspect various factories and all places of business that deal in seafoods. The department has full jurisdiction and control of all seafoods existing or living in the waters of the state and all oyster reefs and oyster bottoms of the state. Employees audit accounts of oysters bought and/or caught by all canners and dealers and ensure that taxes are

paid. The marine resources division issues permits to build over water or on existing wetlands.

The department is responsible for issuing, handling, and recording vessel registration identifying numbers; for receiving and accounting for all registration fees and payments into the state treasury; and for receiving and recording accident reports and making such reports to federal agencies as required (Code of Alabama, 1975, Section 33-5-4). The department also investigates boating accidents, enforces boating safety laws and regulations, performs search and rescue/emergency activities, and assists in drug interdiction along Alabama's waterways.

The commissioner can appoint deputies to enforce all laws relative to wild game birds, animals, and fish upon privately owned game preserves and refuges. Deputies must apply for appointment, pass an exam written and administered under the direction of the commissioner, obtain three letters of recommendation from three qualified voters of the area for which the applicant proposes to serve as a deputy, and submit a letter of consent and authorization from an owner of the privately owned land on which the applicant will exercise authority. Once appointed, deputies only have authority on the privately owned land described in the letter of consent and authorization. They are not state employees and receive no pay or benefits from the state. Deputies only have the arrest power of an ordinary citizen and can only make a citizen's arrest.

- **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 activities common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; promoting or tracking legislation; drafting; publicizing and providing information; managing records; and managing information systems and technology.

**Managing Finances:** Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, 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; and assisting in the audit process.

**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 Department of Conservation and Natural Resources**

## **Agency Record Keeping System**

The Department of Conservation and Natural Resources operates a hybrid system composed of computer systems and paper record-keeping.

**Paper-based System:** Most of the departmental records continue to be maintained in paper form. Duplication of records is perhaps the major cause of the volume of paper within the department.

**Computer Systems:** The current information systems environment is a combination of two local area networks (LAN), one of which serves the agency as a client/server and mainframe operation, and one that serves the State Lands Division.

The client/server LAN uses the State Data Center's IBM mainframe as the central repository for information generated and stored by many functional areas of the department. Systems hosted on the mainframe include the Local Government Financial System (LGFS) and the Government Human Resources System (GHRM). The LAN consists of a Novell file server and an NT server acting as an SNA gateway. There are more than 100 computers connected to this LAN. Several applications are written in-house in COBOL or EXtrieve for the mainframe that are used for data capture and extraction. Staff members perform a complete system backup weekly and store the tapes in the department's central office. The agency uses 4mm tapes to store the system backup. The department has internal email capabilities through MS Mail. External email capabilities utilize various versions of MS Explorer and Outlook Express. The department's central office, in Montgomery, is networked to the campus ring and the state mainframe.

The Marine Police Division maintains several databases. The Boating Accident Report Data (BARD) database, created in Paradox, is a requirement of the United States Coast Guard. The Coast Guard requires each state to submit information from accident reports for use in obtaining national statistics. Staff members compress information from the database and e-mail it to the Coast Guard. The data in the database is also used to compile state boating accident statistics and to answer requests by insurance companies and law firms, and is also referenced for court actions arising from accidents. Staff members maintain records of Aids to Navigation in a spreadsheet, created in Lotus. They enter the information from the paper records. Staff members use other Lotus spreadsheets for quick access to information on officer education, boating exams, information requests, and boater assistance activities.

The Marine Resources Division maintains databases for the Fisheries Assessment and Monitoring Program (FAMP), commercial licenses, and fishery statistics. All information in the databases is derived from paper records. Information of the commercial impact records, which is currently in a

database, is permanent, but the paper commercial impact records are temporary. Staff members backup the database files on tape or zip disks.

The LAN maintained by the State Lands Division, consists of a server with less than twenty-five attached computers. One of the computers has access to the state campus ring. Staff members back up the LAN daily, monthly and yearly. The staff members write over the daily and monthly backups, but maintain the yearly backup. The division maintains several databases. The databases consist of information also found in the paper records, which serve as the record copy. The division only uses the databases for quick reference to information.

Staff members throughout the department use several stand-alone personal computers to assist in performing word processing, accounting, and office management functions.

The Heritage Section operates a Paradox Database with nine linked tables. Most of the information is entered from paper records. One function of the database is to take information entered by staff and create a ranking of endangered species. Staff members use the ranking to help prioritize activities of the section. The computer creates the species ranking, which is printed annually beginning in 1998. ArcInfo, a GIS software created by Environmental Systems Research Institute, can take information from the databases and show on a map where species are located.

The department maintains a website at [www.dcnr.state.al.us](http://www.dcnr.state.al.us). Information on the website is mostly informational and can be found in the other records of the department.

## Records Appraisal

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

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

- **Shell Planting/Hauling Records.** These records document the department's efforts to plant oysters. They retain administrative value for reference regarding fairness of bid prices.
- **Wildlife Tag Records.** Bobcat, alligator, and otter hides in the state must be tagged. Records of the tags must be submitted to the department by those who acquire the tags. These records are required by the United States Fish and Wildlife Service to be retained for five years (Code of Federal Regulations, Title 50, Chapter I, Part 17).
- **Road Kill Survey Notes.** The department's staff make notes on any road kills found along the roadways when traveling to document trends in the animal population. These notes are summarized in publications of the department.

- **Records of Federal Aid Projects.** The department manages the Federal Aid Grants provided through the Wildlife Restoration Programs. The United States Wildlife Service collects an excise tax on certain items of sporting equipment. Those funds are appropriated to the states to fund wildlife projects, wildlife management areas, research, surveys, technical assistance to landowners, and hunter education.
- **Scientific Biological Collection Permits.** These permits, issued by the department, allow for individuals, agencies, or universities to collect otherwise protected species for research, management, and education purposes.
- **Substantial Completion Letters.** Substantial completion letters are mailed by the department to the State Building Commission for approval after completion of a building project. Once approved, the contractors time for completion stops and the builder can advertise for final payment.
- **U. S. Corps of Engineer Permit Files.** The department obtains permits from the United States Army Corps of Engineers for certain projects such as boat ramps, bank stabilization, and maintenance dredging on boat ramps. The permits expire after five years.
- **Minerals Management Service Offshore Oil/Gas Documents.** The Minerals Management Service (MMS) is part of the U.S. Department of the Interior. The department reviews any proposed activities in and around Alabama waters. The MMS will send to the department for comment information regarding proposed offshore developments. Documents regarding the operations in the Mobile Area are needed longer because these operations directly affect the ocean waters of Alabama, but they are not needed once the development has ended.
- **Forever Wild Nomination Files.** These files are created when a piece of property is nominated for acquisition by the Forever Wild Program. The files include nominations, letters, evaluation reports, maps, environmental assessments, and appraisals.
- **Safety Inspections and Recommendation Records.** These records document annual safety inspections and follow-ups made by the department to insure the parks are in compliance with current safety directives and procedures. The records document safety discrepancies found during the inspection, recommendations for correcting the discrepancies, and follow-up results. Their administrative value quickly diminishes.
- **Permits for Activities on Department Land.** The department is responsible for maintaining its land. Anyone wanting to perform routine activities on the land such as crossing the land, performing seismic tests, or laying pipe must obtain permission from the department. The department issues permits for these activities.

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

### **Promulgating Rules and Regulations**

- **Aids to Navigation Applications/Permits - Approved.** Aids to navigation are regulations created by the department regarding boating activities on Alabama's waters. The approved permits and applications document the creation of these regulations. Because the process for the creation of boating activity regulations usually does not involve any outside agency, such as the legislature, documentation of the process is not found elsewhere. The approved permits and applications are usually the only documentation of the regulation. The records are necessary for legal reasons, as they document regulations affecting the public, and for historic reasons, as they document the changing patterns of concerns of the citizenship and the changing uses of the state's waters. (RDA page 3-2) (**Bibliographic Title: Approved Permits Regarding Aids to Navigation**)

### **Protecting/Conserving/Increasing the Wildlife of the State**

- **Wildlife/Public Water Stocking Cards.** Department staff members record information about deliveries of wildlife/fish stocked into Alabama's lands and waters. Information includes species, number, size, and weight. The information is necessary to document trends in wildlife/fish populations and the work of the department to increase the wildlife/fish of the state. These records can be used to study the health of the environment and natural resources of the state over time. (RDA page 3-3) (**Bibliographic Title: Cards on Stocking Wildlife and Fish**)
- **Sample Data.** The department conducts research and assessment projects on finfish, shrimp, crabs, and oysters. Data collected from captured samples includes size, amount, and hydrological information. Because these records enable the department to track trends in fish population dynamics and to make management decisions they retain both historic and administrative value. (RDA page 3-3)
- **Reef Records (summary).** The department is permit holder for artificial reef zones offshore of Alabama consisting of approximately 1200 square miles of area, as such the department regulates the creation of artificial reefs in the zone. Summary records are maintained of materials placed in the area by the department or by private individuals. The records list type of material, location, and date of employment. (RDA page 3-3)
- **Fisheries Data.** Information from various sources (including oyster tags, trip tickets, commercial impact records, and Fisheries Assessment and Monitoring Program (FAMP) records) is entered into a database by staff of the Marine Resources Division. This information documents such information as commercial landings, results of plankton tests performed at 126 stations, and the changing conditions that affect the fisheries of the state.



These records can be used to study the conditions of the environment in the state's waters over time and can help to show researchers the effect of pollution and other factors on the environment. The division occasionally creates reports from the data, which are also maintained permanently as fisheries data. (RDA page 3-3)

- **Research Projects and Survey Records.** These records document various technical studies by department biologists on fish species in Alabama's waters. They are necessary to assist the department in its mandate and also to facilitate further research. (RDA page 3-3) **(Bibliographic Title: Research Projects and Survey Records)**
  
- **Fish Kill Reports.** When a large amount of fish in an area are discovered as dead, it is known as a fish kill. Fish kill reports are formal reports for fish kills in Alabama's public waters, and are provided to the Department of Environmental Management and the Attorney General's Office to document the value of fish killed in each fish kill. The reports are necessary to document the adverse action against the state's wildlife. These records can be used to study the conditions of the environment in a particular area of the state over time and the effect of pollution and other factors on the environment. (RDA page 3-3) **(Bibliographic Title: Fish Kill Reports)**
  
- **Records of Natural Heritage Activities.** The department is responsible for monitoring the natural heritage of the state. Activities undertaken for natural heritage of the state include the identification and inventory of Alabama's historic and current plants, animals, and areas of biological significance; the maintenance of a central depository for biological information in the state; and the coordination of environmental education programs at the Wehle Nature Center. Records of these activities include Field Notes, Formal Studies/Research Notes, Natural Communities/Tracts Files, Species Observation Records, and the Annual Species Ranking Printout, which shows the ranking used to help prioritize activities of the Natural Heritage Section. These records document the activities, priorities, and progress made by the department regarding the natural heritage of the state. The records also provide valuable research tools for the department and the public. (RDA page 3-3) **(Bibliographic Title: Field Notes; Formal Studies and Research Notes; Natural Communities and Tract Files; Species Observation Records; Annual Species Ranking Printout)**
  
- **Records of Comment on Applications and Impact Statements.** The department comments on applications for Corps of Engineers' permits made by other agencies and on environmental impact statements. The comments on permits are used by the Corps of Engineers to decide on the issuance of a permit. These records are necessary to document the department's opinion of an application or impact. If a permit is issued to an applicant that the department does not agree with, these records show that the department tried to prevent approval. This documentation is necessary in the event the approved application leads to environmental damage. The comments impacts statements are necessary to

document the department's opinion on particular projects that effect the environment. These comments are not always incorporated into the final statement. (RDA page 3-4) **(Bibliographic Title: Comment Records On Applications and Impact Statements)**

- **Records of United States Corps of Engineers Projects.** The Water Resources Act of 1986 mandated the United States Corps of Engineers to provide mitigation for the wildlife habitat that was destroyed by the construction of the Tennessee-Tombigbee Waterway. Approximately 34,000 acres were purchased in Alabama as a result. The Corps provides management funds to the department to manage the sites. These records document the destruction of the environment and how the state handles recoupment. (RDA page 3-4) **(Bibliographic Title: United States Corps of Engineers Project Records)**
- **Records of Alabama Power Company Projects.** As a result of the completion of the Harris Dam, Alabama Power Company was required to provide mitigation for wildlife habitat that was lost. As a portion of the requirement, Alabama Power purchased 15,300 acres in Jackson County and provides funds to the department to manage the area. The land is included as a portion of the Martin-Skyline Wildlife Management Area. These records document the destruction of the environment and how the state handles recoupment. (RDA page 3-4) **(Bibliographic Title: Alabama Power Company Mitigation Project Records)**
- **Federal Energy Regulatory Commission Project Records.** These records are of technical studies and reports required by the Federal Energy Regulatory Commission prior to the licensing of hydroelectric and natural gas projects. When there is a change in a dam or license for the dam, when a dam comes up for relicensing, or when there are desires to change the pattern for dam water release, a study is performed by the department to see what effects on the environment may occur. Similar studies are performed for natural gas projects. These records retain administrative value for the life of the project. Their research and evidential value continues after the life of the project because of the long-term effects of dams and natural gas projects on the environment. (RDA page 3-4) **(Bibliographic Title: Federal Energy Regulatory Commission Project Records)**
- **Records of Mitigation.** The department works with other agencies to negotiate settlements that will be beneficial to the state's natural resources. As part of this activity, the department comments on any proposed mitigation settlement. These records document the department's comments as well as the mitigation itself. One of the items that the department is working with is the issue of the quality of the water that flows between Georgia and Alabama. (RDA page 3-4) **(Bibliographic Title: Mitigation Records)**

### **Managing State Lands**

- **Maps.** These maps are created by the department, usually with the help of outside agencies and entities, for distribution and for use by the department. They summarize other documents that show the boundaries and locations of lands and sites within the state. These

records enable quick access to information found in other records such as deeds and are necessary to facilitate administrative activities and research. (RDA page 3-4) (**Bibliographic Title: Maps**)

- **Survey Notes/Plats/Tract Files.** These records are created to give staff members information regarding land conditions and desirability to enable staff to make decisions regarding the acquisition and/or management of the land. Because these records give detailed information about the land, they are useful in researching land ownership and condition in the state. (RDA page 3-4)
- **Files of Management of Property Held By Other Agencies.** These records document the department's management of state lands held by other agencies. This series of records provides a source of research into the purchases, maintenance, and sale of state-owned property. (RDA page 3-5)
- **Deeds/Abstracts.** These records document the ownership of lands that are or have been owned by the department, and are necessary to document the department's acquisition and/or sale of land. (RDA page 3-5)
- **Land Records Submitted to the Land Resources Information Center.** The state land resources information center of the department compiles certain data and information on all state owned lands, including those lands owned by state supported educational institutions, excepting however, lands acquired for highway rights of way. The information is derived from land records sent to the center, such as certified copies of original deeds or other record of ownership to state of property - along with notation of any changes in status or ownership. Because the compiled information is constantly changing for administrative purposes, it is necessary to retain the source documentation for historic purposes. This source documentation contains information that documents land ownership by the state and provides research information on topics such as land management and ownership by the state as well as information on land use in general. (RDA page 3-5)
- **Offshore Revenue Check Details.** These financial records document funds submitted to the Alabama Trust Fund. Because they document funds going into the Alabama Trust Fund, they retain administrative value to the department. The records of the trust fund are maintained by the department and not the State Treasurer. They are independently audited. (RDA page 3-5) (**Bibliographic Title: Alabama Trust Fund Financial Records**)

## Preserving State Lands

- **Records of Forever Wild Acquisitions/Activities.** These records document the activities of the Forever Wild Land Trust. As this is the core documentation of the trust, it retains administrative, financial, evidential, and historic value. (RDA page 3-6) (**Bibliographic Title: Forever Wild Activities Records**)

## Facilitating Recreation

- **State Parks Profit and Loss End of Year Reports.** These reports document the financial status of the parks during the year. They are necessary to show progress or decline from year to year and also to document trends in park usage. (RDA page 3-6) **(Bibliographic Title: State Parks Profit and Loss End of Year Reports)**
- **Records of Largest Caught of Each Species of Fish.** These records include application forms and the listing of largest caught. Not only do these records document the statistics on largest fish, which can be used for research, they also document who is the current holder of the award for largest fish of a species caught in the state, which is necessary for evidential purposes. Superseded records are still necessary for research as the records can help to document trends in fish and fishing. (RDA page 3-7) **(Bibliographic Title: Records of Largest Caught of Each Species of Fish)**
- **News/Press Releases.** These records document activities of the department and how the department sees its mission and obligations. (RDA page 3-7) **(Bibliographic Title: News Releases).**
- **Informational and Promotional Publications.** These publications document activities of the department and show how the department views its function. Publications include Outdoor Alabama Magazine, an employee newsletter, hunting and fishing digest, and brochures covering such areas as the state parks and programs. (RDA page 3-7) **(Bibliographic Title: Periodical: Alabama Conservation)**

## Educating

- **Photographs, Photographic Prints/Slides/Negatives, Videotapes, and Scripts.** These records are filed according to subject, are indexed, and are cross referenced. They document some of the department's programs and also often record photographic images of Alabama's wildlife. Some of the records are routine, while others retain research value. Prior to being destroyed, records should be reviewed for content. (RDA page 3-7) **(Bibliographic Title: Photographs; Prints; Slides; Negatives; Videotapes; Scripts)**

## Enforcing

Records documenting this subfunction are found in the department's annual report as described in the administering office operations subfunction described below.

## Administering Internal Operations

- **Department/Division/Section Annual Reports.** Annual reports provide the best summary documentation of the department. Many times information is found only in the annual

reports. The department annual report does not always include all of the details found in the division and section reports. Many of these details are important for documentation of activities of the department. (RDA page 3-9) (**Bibliographic Title: Annual, Biennial, and Quadrennial Reports**)

- **Correspondence and Subject Files of the Commissioner.** This correspondence consists of letters to and from the commissioner. The subject files are the files of the head of the agency that contain information on such subjects as state agencies, projects, meetings, and non-state agencies. As department head, the commissioner sets policy and procedures for the department and serves as a member of several boards. The correspondence and subject files document the activities and decisions of the commissioner and/or the department, as well as other agencies. (RDA page 3-9) (**Bibliographic Title: Correspondence Files; Subject Files**)
- **Advisory Board Minutes.** These records are the core documentation of the Department of Conservation and Natural Resources Advisory Board. In many instances these minutes are the only documentation of actions of the board. (RDA page 3-10) (**Bibliographic Title: Minutes of the Advisory Board**)
- **Records of Serving.** These records document the activities of the various organizations that the commissioner serves on. In some instances, these records may be the only documentation of actions taken during the meetings. Until other documentation of the various boards, commissions, and committees is appraised, these records serve as the core documentation of those agencies. (RDA page 3-10) (**Bibliographic Title: Commissioner's Participation in Boards, Commissions, and Committees Records**)
- **Website.** The department website contains information on most of its activities. The disposition statement requires the department to create a "snap shot" of the complete website annually or as often as significant changes are made to the site. (RDA page 3-11)
- **Minority Recruitment Committee Meeting Minutes.** These records document the department's efforts to increase minority representation in the work force. (RDA page 3-13)

# **Permanent Records List**

## **Department of Conservation and Natural Resources**

### **Promulgating Rules and Regulations**

1. Aids to Navigation Applications/Permits- Approved

### **Protecting and Conserving**

1. Wildlife/Public Water Stocking Cards
- \*2. Sample Data
- \*3. Reef Records (summary)
- \*4. Fisheries Data
5. Research Projects and Survey Records
6. Fish Kill Reports
7. Records of Natural Heritage Activities
8. Records of Comment on Applications and Impact Statements.
9. Records of United States Corps of Engineers Projects
10. Records of Alabama Power Company Project
11. Federal Energy Regulatory Commission Project Records
12. Records of Mitigation

### **Managing State Lands**

1. Maps
- \*2. Survey Notes/Plats/Tract Files
- \*3. Files of Management of Property Held By Other Agencies
- \*4. Deeds/Abstracts
- \*5. Land Records Submitted to the Land Resource Information Center
- \*6. Offshore Revenue Check Details

### **Preserving State Lands**

1. Records of Forever Wild Acquisitions/Activities

### **Facilitating Recreation**

1. State Parks Profit and Loss End of Year Reports
2. Records of Largest Caught of Each Species of Fish
3. News/Press Releases
4. Informational and Promotional Publications

## **Educating**

1. Photographs, Photographic Prints/Slides/Negatives, Videotapes, and Scripts

## **Administering Internal Operations**

1. Department/Division/Section Annual Reports
2. Correspondence and Subject Files of the Commissioner
3. Advisory Board Minutes
4. Records of Serving
- 5 Website
- \*6. Minority Recruitment Committee Meeting Minutes

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

# Department of Conservation and Natural Resources 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 Department of Conservation and Natural Resources. The RDA lists records created and maintained by the Department of Conservation and Natural Resources in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency 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 Department of Conservation and Natural Resources. Copies of superseded schedules/RDAs are no longer valid and may not be used for records disposition.
- The 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.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and record-related materials need not be retained as records under the disposition requirements in 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) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) 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 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.

## **Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Department of Conservation and Natural Resources and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

### **■ Promulgating Rules and Regulations**

Register of Administrative Rules

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

Administrative Rule Files

Disposition: Temporary Record. Retain for useful life.

Public Hearing Notices

Disposition: Temporary Record. Retain 1 year.

Rulemaking Hearing Records

Disposition: Temporary Record. Retain 20 years.

Aids to Navigation Applications - Denied

Disposition: Temporary Record. Retain 5 years.

AIDS TO NAVIGATION APPLICATIONS/PERMITS - APPROVED

Disposition: PERMANENT RECORD.

### **■ Protecting and Conserving**

Game and Fish Division Correspondence

Disposition: Temporary Record. Retain 5 years.

Shell Planting/Hauling Records

Disposition: Temporary Record. Retain 30 years.

Wildlife Cooperator Records

Disposition: Temporary Record. Retain 3 years after withdrawal of cooperator.

## WILDLIFE/PUBLIC WATER STOCKING RECORDS

Disposition: PERMANENT RECORD.

### Wildlife Tag Records

Disposition: Temporary Record. Retain 5 years.

### Applications to Stock Fish

Disposition: Temporary Record. Retain 2 years.

### Applications for Fish Pond Technical Guidance

Disposition: Temporary Record. Retain 5 years.

### Prestocking Cards

Disposition: Temporary Record. Retain 3 years.

## SAMPLE DATA

Disposition: PERMANENT RECORD.

## REEF RECORDS

Disposition: Summary Information: PERMANENT RECORD.

Non-summary information: Temporary Record. Retain for useful life.

## FISHERIES DATA

Disposition: FISHERIES DATABASE AND DATA REPORTS: PERMANENT RECORD.

Fisheries Data Source Records (includes oyster tags): Temporary Record. Retain 1 year.

Fisheries Data Summaries Created for Individuals: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

## COMMERCIAL IMPACT RECORDS

Disposition: Summary Information: PERMANENT RECORD.

Non-summary information: Temporary Record. Retain 3 years.

### Biological Water Check Cards

Disposition: Temporary Record. Retain 5 years.

## RESEARCH PROJECTS AND SURVEY RECORDS

Disposition: PERMANENT RECORD.

## FISH KILL REPORTS

Disposition: PERMANENT RECORD.

## RECORDS OF NATURAL HERITAGE ACTIVITIES

Disposition: PERMANENT RECORD.

Road Kill Survey Notes

Disposition: Temporary Record. Retain 6 years.

Confidential Data Requests

Disposition: Temporary Record. Retain until expiration.

Lists of Sources of Information

Disposition: Temporary Record. Retain for useful life.

Records of Contacts/Contributors

Disposition: Temporary Record. Retain for useful life.

Records of Federal Aid Projects (non-research/survey records)

Disposition: Temporary Record. Retain 15 years.

RECORDS OF U.S. CORPS OF ENGINEERS PROJECTS

Disposition: PERMANENT RECORD.

RECORDS OF COMMENT ON APPLICATIONS AND IMPACT STATEMENTS.

Disposition: PERMANENT RECORD.

RECORDS OF ALABAMA POWER COMPANY PROJECT

Disposition: PERMANENT RECORD.

FEDERAL ENERGY REGULATORY COMMISSION PROJECT RECORDS

Disposition: PERMANENT RECORD.

Scientific Biological Collection Permits

Disposition: Temporary Record. Retain 5 years.

RECORDS OF MITIGATION

Disposition: PERMANENT RECORD.

## ■ **Managing State Lands**

### **General**

MAPS

Disposition: PERMANENT RECORD.

SURVEY NOTES/PLATS/TRACT FILES

Disposition: PERMANENT RECORD.

Easements

Disposition: Temporary Record. Retain 10 years after expiration.

U.S. Corps of Engineer Permit Files  
Disposition: Temporary Record. Retain 10 years after expiration.

**Acquiring/Selling**

Records of Bids For Purchase of State Lands  
Disposition: Retain in office. (Code of Alabama 1975, Section 9-15-78)

FILES OF MANAGEMENT OF PROPERTY HELD BY OTHER AGENCIES (NOT LAND  
RESOURCE INFORMATION RECORDS)  
Disposition: PERMANENT RECORD.

DEEDS/ABSTRACTS  
Disposition: PERMANENT RECORD.

**Maintaining Records**

LAND RECORDS SUBMITTED TO THE LAND RESOURCES INFORMATION CENTER  
Disposition: PERMANENT RECORD.

Land Resource Information Center Land Data Compilation  
Disposition: Retain until superseded.

**Exploiting**

Leases  
Disposition: Temporary Record. Retain Offshore leases 10 years after termination/expiration.  
Retain all other leases 6 years after termination/expiration.

Lease Audits  
Disposition: Temporary Record. Retain 10 years.

Minerals Management Service (MMS) Offshore Oil/Gas Documents  
Disposition: Temporary Record. Not Mobile Area: Retain 1 year. Mobile Area: Retain for life of  
the development.

Offshore Revenues Monthly Report to Commissioner  
Disposition: Temporary Record. Retain until publication of annual report.

Non-Offshore Revenue Check Details  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were  
created.

OFFSHORE REVENUE CHECK DETAILS  
Disposition: PERMANENT RECORD.

Oil and Gas Production Reports  
Disposition: Temporary Record. Retain 3 years.

Timber Salvage Reports

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

## ■ **Preserving State Lands**

RECORDS OF FOREVER WILD ACQUISITIONS/ACTIVITIES

Disposition: PERMANENT RECORD.

Forever Wild Nomination Files

Disposition: Temporary Record. Retain 5 years after becoming inactive.

## ■ **Facilitating Recreation**

Safety Inspections and Recommendation Records

Disposition: Temporary Record. Retain 3 years.

Facility Maintenance Check Cards

Disposition: Temporary Record. Retain 2 years.

Substantial Completion Letters

Disposition: Temporary Record. Retain 13 years

Architectural/Engineering Contracts

Disposition: Temporary Record. Retain for life of individual that affixed professional stamp.

Permits for Activities on Department Land

Disposition: Temporary Record. Retain 10 years after expiration.

Park Operation Records (includes park receipts, sales and lodging tax records, rental slips, sales and cash reports, rain checks, rental/utility payments, facility use reports, monthly budget reports, guest origin, Senior Citizen Discount Card Applications, transfer summaries, and resale inventories)

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

Boat Slip Contracts

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

STATE PARKS PROFIT AND LOSS END OF YEAR REPORTS

Disposition: PERMANENT RECORD.

State Park Resource Evaluation Records (identify damaged timber, plants, and wildlife to be removed and Plant/Herbicide Projects)

Disposition: Disposition: Temporary Record. Retain 5 years.

Records of Road Maintenance

Disposition: Temporary Record. Retain 5 years.

Construction Projects Files (includes specifications and plans)

Disposition: Temporary Record. Retain 13 years.

Guest Comment Cards

Disposition: Temporary Record. Retain 3 years.

Guest Folios and Registration Cards

Disposition: Temporary Record. Retain 7 years.

RECORDS OF LARGEST CAUGHT OF EACH SPECIES OF FISH

Disposition: PERMANENT RECORD.

## ■ **Educating**

NEWS/PRESS RELEASES

Disposition: PERMANENT RECORD.

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

PHOTOGRAPHS, PHOTOGRAPHIC PRINTS/SLIDES/NEGATIVES, VIDEOTAPES, AND SCRIPTS

HISTORIC DOCUMENTATION- Disposition: PERMANENT RECORD.

Routine Documentation- Disposition: Retain for useful life.

Printing Negatives/Plates

Disposition: Temporary Record. Retain until obsolete.

Records of Time Expended on Education

Disposition: Temporary Record. Retain 5 years.

Records of Alabama Boating Basics Courses

Disposition: Temporary Record. Retain 75 years.

## ■ **Enforcing**

Enforcement Officers Procedures Manual

Disposition: Temporary Record. Retain 25 years after superseded.

Accident/Arrest/Incident Files

Disposition: Temporary Record. Retain 6 years.

Arrest Reports/Case Disposition

Disposition: Temporary Record. Retain 6 years.

Citations/Warnings

Disposition: Temporary Record. Retain 5 years.

Annual Arrest Reports

Disposition: Temporary Record. Retain 4 years.

Marine Police Accident Investigation Reports

Disposition: Temporary Record. Retain 10 years.

License Books

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

Reports/Records of License Sales

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

Lifetime Licenses and Applications

Disposition: Temporary Record. Retain 75 years.

Crossbow/Dog Deer Club Permits

Disposition: Temporary Record. Retain 5 years.

Records of Boating Basics Exams

Disposition: Temporary Record. Retain 50 years.

Boat Registration Files

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

Registration Statistics and Monthly Reports

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

Assistance to Boaters Records

Disposition: Temporary Record. Retain 5 years.

Officers Weekly Activity Reports

Disposition: Temporary Record. Retain 5 years.

Officer's Time Expended on Education Records

Disposition: Temporary Record. Retain 10 years.

Crop Damage Permits

Disposition: Temporary Record. Retain 4 years.

Field Trials Permits

Disposition: Temporary Record. Retain 3 years.

Marine Events Permit Application Files

Disposition: Temporary Record. Retain 2 years.

Correspondence

Disposition: Temporary Record. Retain 3 years.

Records of Requests for Information/Accident Reports

Disposition: Temporary Record. Retain 3 years.

■ **Administering Internal Operations**

**Managing the Agency:**

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Legislative Tracking Files

Disposition: Temporary Record. Retain for useful life.

Telephone Logs/Calendars

Disposition: Temporary Record. Retain 3 years.

DEPARTMENT/DIVISION/SECTION ANNUAL REPORTS

Disposition: PERMANENT RECORD.

CORRESPONDENCE AND SUBJECT FILES OF THE COMMISSIONER

Disposition: PERMANENT RECORD.

General Correspondence

Disposition: Temporary Record. Retain 3 years.

Requests for Information

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

Activity Reports

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



Project Files

Disposition: Temporary Record. Retain 5 years.

Procedural and Other Manuals for Financial and Human Resources Management

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

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Financial and Human Resources Operation Plans

Disposition: Temporary Record. Retain 10 years.

ADVISORY BOARD MINUTES

Disposition: PERMANENT RECORD.

Recordings of Meetings

Disposition: Temporary Record. Retain 1 year after end of the fiscal year in which the minutes were approved.

RECORDS OF SERVING

Disposition: PERMANENT RECORD.

Legal Case Files

Disposition: Temporary Record. Retain 15 years after closure.

Records documenting the employee appeal to the Personnel Board of formal reprimands, demotions, transfers, or terminations

Disposition: Temporary Record. Retain 3 years following decision of Personnel Board.

Records of Personnel Issues

Disposition: Temporary Record. Retain 5 years.

Records documenting Equal Employment Opportunity Commission (EEOC) complaints and lawsuits

Disposition: Temporary Record. Retain 10 years after final settlement.

Records documenting Board of Adjustment claims

Disposition: Temporary Record. Retain 5 years after final settlement.

Legal Correspondence

Disposition: Temporary Record. Retain 5 years.

Opinions

Disposition: Temporary Record. Retain 30 years.

## WEBSITE

Disposition: PERMANENT RECORD. CREATE A "SNAPSHOT" OF COMPLETE WEBSITE ANNUALLY OR AS OFTEN AS SIGNIFICANT CHANGES ARE MADE TO THE SITE.

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

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

## Copy of RDA

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

System Documentation (Y2K Records, 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 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 (includes AST-1 and AST-1A)

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

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury

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

## Cash Register Operation Records

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

## Credit Card Sales Slips and Batch Headers

Disposition: Temporary Record. Retain 5 years.

Receipt Logs

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

Contractual records established for the purpose of 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

Disposition: Retain in office (Code of Alabama 1975, Sections 41-16-24).

Agency Audit Reports

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

Records documenting the application for, award of, receipt and disbursement of, and reporting of expenditure of federal funds received through grants and federal disaster funds

Disposition: Temporary Record. Retain 6 years after submission of final expenditure report.

Records documenting the unsuccessful application for grants and federal disaster funds

Disposition: Temporary Record. Retain 1 year.

Internal audits

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

Housekeeping and maintenance records

Disposition: Temporary Record. Retain 3 years.

**Managing Human Resources:**

Job Recruitment Materials

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

Application Materials

Disposition: Temporary Record. Retain 1 year.

Position Classification Questionnaire

Disposition: Temporary Record. Retain 4 years after reclassification of the position.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting payroll deductions for tax purposes (including Form 941)  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Records documenting employee hours worked, leave earned, and leave taken  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Subsistence Forms  
Disposition: Temporary Record. Retain 5 years.

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

Records of final leave status  
Disposition: Temporary Record. Retain record of individual employees' cumulative leave 6 years after separation of employee from the agency.

Records documenting an employee's work history - generally maintained as a case file  
Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency.

Employee Flexible Benefits Plan Files (applications and correspondence)  
Disposition: Temporary Record. Retain 6 years after termination of participation in program.

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims  
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Employee Administrative Hearing Files  
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Police Officer's Standards Training (POST) Continuing Education Reports  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were superseded.

MINORITY RECRUITMENT COMMITTEE MEETING MINUTES  
Disposition: PERMANENT RECORD.

**Managing Properties, Facilities, and Resources:**  
Semiannual Inventory Lists

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

Agency Copies of Transfer of State Property Forms (SD-1)

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

Property Inventory Affidavits

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

Receipts of Responsibility for Property

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

Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the vehicle was removed from the property inventory.

Records documenting the lease or rental of office or warehouse space, real property, or boat stalls for the department

Disposition: Retain 6 years after expiration of the lease.

Records documenting vehicle use/mileage

Disposition: Temporary Record. Retain 3 years.

Housekeeping Records

Disposition: Temporary Record. Retain 3 years.

Records documenting telephone systems

Disposition: Temporary Record. Retain 3 years.

Emergency Contact Listings

Disposition: Temporary Record. Retain current listing.

Security Records/Logs

Disposition: Temporary Record. Retain 6 months after superceded.

## **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 Department of Conservation and Natural Resources (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 October 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 October 23, 2002.

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Edwin C. Bridges, Chairman  
State Records Commission

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Date

Receipt acknowledged:

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Riley Boykin Smith, Commissioner  
Department of Conservation and Natural Resources

\_\_\_\_\_  
Date