

**Alabama Department of Archives and History**

**Functional Analysis  
&  
Records Disposition Authority**

Revision  
Approved by the  
State Records Commission  
October 29, 2014

# Table of Contents

Functional and Organizational Analysis of the Alabama Department of Archives and History....	1
Sources of Information.....	1
Historical Context .....	1
Agency Organization.....	1
Agency Function and Subfunctions .....	2
Governing.....	2
Appraising, Identifying, and Acquiring Records and Artifacts of Historical Value .....	2
Cataloging, Managing, and Preserving Records and Artifacts in the Agency’s Custody .....	2
Providing Access to Records and Artifacts in the Agency’s Custody .....	3
Promoting Alabama History Education.....	3
Assisting Governmental and Private Entities in Managing Records.....	3
Strengthening the Agency’s Services Through Auxiliary Organizations and Programs .....	3
Serving as Staff for Other Agencies .....	4
Administering Internal Operations .....	4
Analysis of Record Keeping System and Record Appraisal of the Department of Archives and History.....	6
Agency Record Keeping System .....	6
Records Appraisal .....	7
Temporary Records. ....	7
Permanent Records.....	7
Permanent Records List .....	15
Alabama Department of Archives and History Records Disposition Authority.....	18
Explanation of Records Requirements .....	18
Records Disposition Requirements .....	19
Governing .....	19
Appraising, Identifying, and Acquiring Records and Artifacts of Historical Value .....	19
Cataloging, Managing, and Preserving Records and Artifacts.....	20
Providing Access to Records and Artifacts in the Agency’s Custody .....	21
Promoting Alabama History Education.....	22

Assisting Governmental and Private Entities in Managing Records.....	23
Strengthening the Agency’s Services Through Auxiliary Organizations and Programs .....	24
Serving as Staff for Other Agencies .....	25
Administering Internal Operations .....	26
Requirements and Recommendations for Implementing the Records Disposition Authority ..	32

# **Functional and Organizational Analysis of the Alabama Department of Archives and History**

## **Sources of Information**

Staff Members of the Alabama Department of Archives and History  
Code of Alabama (1975), Section 12-20-24, 16-32-2, 36-12-5, 41-3-5, 41-6-1 through 41-6-77, 41-9-21, 41-9-510, 41-9-530, 41-9-850, 41-9-922, and 41-13-20 through 41-13-22  
Alabama Government Manual (2010)  
Alabama Department of Archives and History Audit Reports  
*Assessing Alabama's Archives: A Plan of the State's Historical Records* (1985)

## **Historical Context**

When Alabama achieved statehood in 1819, the records of the Alabama Territory were split between officials of Alabama, Mississippi, and the federal government. The legislature passed a law in 1820 that required the Secretary of State's office to be responsible for the care of legislative records. The Secretary of State was also responsible for consolidating and copying British, French, and Spanish records in Alabama relating to Alabama's colonial period. The Alabama Historical Society was created in 1850 to try and preserve the history of the state. The society was not very successful and its members began to lose interest. The society was reorganized in the mid-1870's, but had only a meager collection. The State Superintendent of Army Records collected the records of Alabama's soldiers during 1863-1865. Until the turn of the century, there were few other efforts to preserve and/or promote Alabama's history. In 1898, the legislature created a historical commission to study the condition of Alabama's historical records. Based upon the recommendations of this commission, the legislature, with the support of the governor, created the Alabama Department of Archives and History (ADAH) in 1901 with the mandate to collect all historical sources and to encourage research.

In this original agency were the beginnings of the public library movement in Alabama, efforts to improve history education, a reference service for the Legislature, research on and the making of significant Alabama historical sites along with other historical activities. During the years after the dedication of the Archives building in 1940, some programs (public library and historical sites preservation) were separately administratively from the department, while other responsibilities (records management) were added.

## **Agency Organization**

The agency is under the direction of a Board of Trustees, consisting of two (2) members from each congressional district, two at-large members, and the Governor for a total of seventeen (17). Board members serve six-year terms of office and meet quarterly. When a trustee's term terminates for whatever reason, the remaining trustees elect another from the same district. The board must then submit the newly elected trustee to the Alabama Senate for confirmation. The director of the Alabama Department of Archives and History serves as secretary to the board.

The board appoints a director who oversees the operation of the agency. The director is assisted by several assistant directors, who serve as heads of divisions within the agency. Currently, the agency has three divisions: Administrative Services, Government Services, and Public Services. The department's legislation provides for archivists, librarians, stenographers, and other personnel as needed to operate the agency.

## **Agency Function and Subfunctions**

The mandated functions of the Alabama Department of Archives and History are to ensure the preservation of Alabama's historical records and artifacts and to promote a better understanding of Alabama's history. It is one of the agencies responsible for performing the Education and Stewardship functions of Alabama government. In performance of its mandated functions, the Alabama Department of Archives and History may engage in the following subfunctions.

- **Governing.** The agency is under the direction of a Board of Trustees which may “adopt rules for its own government and also for the government of the department” (Code of Alabama, Section 41-6-4). To carry out the mandates of the department, the board appoints a director who controls and directs the work and operations of the department.
- **Appraising, Identifying, and Acquiring Records and Artifacts of Historical Value.** Staff members of the agency work with government entities and private sectors to appraise and identify records, regardless of format, and artifacts that document the history of the state for possible acquisition and preservation. Members of the Government Services Division work with the State Records Commission and the Local Government Record Commission to create individual Records Disposition Authorities (RDA) for state agencies, colleges, universities, and local government entities across the state. RDAs designate the retention periods for all records and also identify archival records that may be eligible for acquisition by the ADAH. In accordance with the agency's collecting strategy, staff of the Public Services Division identify and collect private materials—both private records and artifacts—of individuals and organizations for preservation. These records and artifacts are obtained by transferring both the ownership and the item itself from an agency, individual, or group to the department. Staff members also contact and work with prospective donor regarding potential gifts of records/artifacts to the department. In addition, staff may monitor auction sites and sales markets to identify items stolen from the department's collection or suitable for acquisition. The department may bid on or purchase these items using funds from the Friends of the Archives. Reference materials including books and serials are also acquired for possible use by the public.
- **Cataloging, Managing, and Preserving Records and Artifacts in the Agency's Custody.** After acquisitions of records and artifacts are in the holdings of the department, staff members inventory and create preliminary descriptions as finding aids for them. Security and preservation measures for the collections are also implemented to ensure the safety of collections. Other activities may include annual reviews of collections, development of disaster response plans, and monitoring of environmental control. To meet the challenge brought by new technologies, staff develops and implements plans for a standard process that inventories servers, regulates backups, and ensures proper preservation storage of archival collections.

- **Providing Access to Records and Artifacts in the Agency's Custody.** The department operates a research room to provide research and reference assistance to the general public who visits the department in person. Similar service is also provided in response to mails, e-mails, and telephone requests. As an additional service, staff regularly fills requests for inter-library loan. Staff may also work with online content providers to make additional collections accessible through commercial providers. Occasional public workshops on research and use of collections are held by the department for the public.
  
- **Promoting Alabama History Education.** The department is responsible for planning and implementing various interpretive exhibits and public programs for students and other groups to promote better awareness and understanding of Alabama history. To enhance the department's efforts in promoting Alabama history education, in 2014 staff opened the Museum of Alabama, a multi-year project that tells the state's history from prehistoric times to the 21<sup>st</sup> century through artifacts, images, and the voices of Alabamians. In addition, staff organizes and provides public programs of interest through museum visitation services; docent-led tours; interpretative programs, such as the monthly ArchiTreats lecture series; and related workshops or training opportunities. As one of the first state agencies to establish a website, the department continues to maintain, update, and build its website. Staff also assists and supports activities of other organizations promoting Alabama history.
  
- **Assisting Governmental and Private Entities in Managing Records.** Staff members provide service and advice to governmental and private entities in the management of all formats of records. As support staff for the State Records Commission and Local Government Records Commission, members of the Government Services Division coordinate all activities relating to the development/revision of Records Disposition Authorities (RDAs) for state/local government agencies, the RDA implementation training and monitoring process, and other records management assistance. The department may also apply for, administer, or participate in various grant programs and cooperative archival projects to assist localities in the preservation of their archival records or artifacts. As an additional service to state agencies located in Montgomery and nearby areas, the department operates the State Records Center (SRC) to provide offsite storage of non-archival paper records created by state agencies. State agencies' temporary records may be transferred to and stored at the SRC until they are eligible for destruction.
  
- **Strengthening the Agency's Services through Auxiliary Organizations and Programs.** The Friends of the Alabama Archives is a private, non-profit organization that raises funds to help the Archives' service through various programs and activities. The department's volunteer program recruits volunteers to carry out a variety of duties, such as receptionists, gallery assistants, museum tour guides, reference room workers, research aids, archival records processors, and gift shop workers. In order to secure more governmental and private funding for the department's new West Wing and the Museum of Alabama, the Archives and History Foundation was created in 2002 to oversee a capital fund-raising campaign. Staff members of the Archives coordinate with and provide logistical support to these organizations.

- **Serving as Staff for Other Agencies.** The director of the Department of Archives and History is mandated by the Code of Alabama to serve on numerous boards and commissions of the state. These bodies include the Alabama Academy of Honor, the Alabama Historical Commission, the State Capitol Advisory Committee, the Governor’s Mansion Advisory Board, the Alabama Men’s Hall of Fame, the Stonewall Jackson Memorial Fund, and the Alabama Agriculture Museum Board. The director also chairs both the State Record Commission and the Local Government Records Commission.

Other staff members of the department may also serve and/or become involved in activities of professional organizations such as National Association of Government Archives and Records Administrators (NAGARA), the Association for Information and Image Management (AIIM), the Society of American Archivists (SAA), the Society of Alabama Archivists (SALA), the Alabama Museums Association (AMA), the American Association for State and Local History (AASLH), and other related organizations.

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

**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; drafting, promoting, or tracking legislation; 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 a budget package, submitting the budget package to the Department of Finance; documenting amendment 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 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 on 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 Record Appraisal of the Department of Archives and History**

## **Agency Record-Keeping System**

The department currently operates a hybrid record-keeping system composed of paper and electronic records.

**Paper-Based System:** The department continues to utilize paper as a component of its record-keeping system.

**Microfilm-Based System:** Until 2008, the department maintained a micrographics lab which filmed newspapers and other selected records. Films were processed by an outside vendor. Reference copies of the microfilm are maintained in the reference room and the closed stacks; service copies are maintained in the stacks of the Archives building and at the State Records Center; and masters are stored in the Microfilm Storage Preservation Vault, located at the State Records Center.

**Computer-Based System:** The department uses computers that run in Windows XP or 7 with six servers running Microsoft Windows Server 2008 R2, one Redhat Linux, and one Ubuntu Linux. Backup of four servers is performed weekly by the Department of Finance's Information Services Division (ISD). The other two servers store duplicate material, LOCKSS and the ADAH intranet. The LOCKSS server does not require backup, and the intranet server is not backed up unless something changes. Archival records stored on the servers include recent accession logs. The department has a one and half terabyte Mac server for digital image files and a Mac server that contains the files of the defunct Publications Office, which is backed up on a Lacie drive. A Linux server is used to back up digital collections. The department has one LOCKSS box, which runs Ubuntu, for preservation of digital files. The LOCKSS box is one of a network of seven (7) LOCKSS boxes connected to the ADPNet. The holdings inventory databases are created in Paradox and maintained only in electronic format. The department uses ContentDM to provide access to some of its digital collections. Volunteer information is in Volgistics, an outline management system. Tour information is in Appointment-plus, an online scheduling system. The department uses Constant Contact to send press releases and announcements to the public. The department has an online public catalog, ADAHCAT, which patrons use to locate material. The catalog information is entered in using MARC description.

Electronic databases used and maintained by the department may include Accession, Collection Catalog, Government Records Collection Inventory, Microfilm, Newspaper Hardcopy, Civil War Solider, Gold Star, Voter Registration, Private Records Collection Inventory, Church Records, Education Publications, Sheet Music, Serials, Maps, Photos, Posters, Call Slips (for Private Records and Newspapers), Films, and Museum Artifact Collection Catalog.

## Records Appraisal

The following is a discussion of the three major categories of records created and/or maintained by the Department of Archives and History: Temporary Records, Permanent Records, and Records No Longer Created.

**I. Temporary Records.** Temporary records should be held for what is considered 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 department are discussed below:

### ■ Providing Access to Records and Artifacts in the Agency's Custody:

**Researcher Registration and Records Retrieval Files.** A researcher registration file is created for each patron on their first visit to the department's reference room. The file consists of a registration form and a copy of all call slips completed by the researcher. A typical researcher may continue to use his/her registration data to request records without any renewal requirements. When requesting records, three carbon copies of each call slip are created and only one copy should be retained for reference and security purposes in documenting researcher use in the case ADAH needs to track use of a specific item or items.

### ■ Promoting Alabama History Education:

**Teacher Workshop Registration and Sign-In Sheets.** Teachers may attend workshops and other educational events held by the Archives to earn credits for certification and recertification. In some instances, these records serve as the only paper trail documenting a teacher has attended the course. Certification and recertification credit is valid for five (5) years; 7-year retention for this series is suggested.

**Time Capsule Sheets.** This series consist of Time Capsule Sheets completed by elementary school students during the annual Girl Scouts Days held at the Archives. Information on the sheet includes the name of the student, school, grade, Girl Scout number and leader, name of the student's pet, favorite color/television/teacher/books/music/food/subject, best friend's name, hobbies, and future goals. In order for the student to review his/her sheets in the future, this series should be maintained for 75 years to cover the average life span of the student.

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

### ■ Governing:

#### Director's Office:

**Meeting Agendas, Minutes, and Packets of the Board of Trustees.** These records document proposed and executed proceedings of the board (RDA page 19) (**Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Board of Trustees**)

**Policies and Procedures.** These records include internal documents/hand books created by the department for its staff members as guidance in carrying out their responsibilities. Subjects may include professional work procedures, personnel issues (time, leave, travel, and telephone/internet usage), security, purchasing, building maintenance, mail, parking, use of equipment and facilities, and others. (RDA page 19) **(Bibliographic Title: Policies and Procedures)**

**Director's Files.** These files document the substantive actions of the director, the agency's performance of its functions, and the formulation of policy and program initiatives. This series may include various types of records such as correspondence, memoranda, meeting notes, reports, program development materials, and non-routine fiscal, budgetary, and personnel concerns. (RDA page 19) **(Bibliographic Title: Director's Files)**

**Quarterly Reports (official copies).** The quarterly report is a compilation of statistics and information that provides a summary of the activities of the department for the quarter. Quarterly reports are usually sent to members of the Board of Trustees for review and reference. (RDA page 19) **(Bibliographic Title: Quarterly Reports)**

**Search Records for Agency Director.** These records document the department's process of searching for and selecting candidates for director. (RDA page 19) **(Bibliographic Title: Search Records for Agency Director)**

## ■ Appraising, Identifying, and Acquiring Records and Artifacts of Historical Value:

### Public Services Division:

**Transmittals and Accession Records.** This series consists of the original signed permanent records transmittal forms and/or deeds of gift that document the transfer of the ownership of archival records, manuscripts, and artifacts the department. They should be preserved permanently to the document the legal ownership of archival items by the Archives. (RDA page 19) **(Bibliographic Title: Transmittals and Accession Records)**

**Deaccessioned/Released Items Files.** These files document the return of/release from custody from the department. They are necessary to prove that the item is no longer owned by the department and that the deaccessioning law has been followed by staff. (RDA page 19) **(Bibliographic Title: Deaccessioned/Released Item Files)**

**Declined Item Files.** When an item is offered to the department but is not accepted, a file is created to the document the decline of the offer. These files are used to verify that the item was not accepted by the Archives. (RDA page 19) **(Bibliographic Title: Deaccessioned/Declined Item Files)**

**Ready Reference Materials Donor Files.** These files document the acquisition of the reference materials that are in the possession of the Archives. They are necessary to document donation of the materials. (RDA page 20) **(Bibliographic Title: Ready Reference Materials Donor Files)**

**Incoming/Outgoing Collection Loan Files and Registers.** These records document the loan of a collection or item to an institution or to the department. (RDA page 20) **(Bibliographic Title: Incoming/Outgoing Collection Loan Files and Registers)**

■ **Cataloging, Managing, and Preserving Records and Artifacts:**

**Government Services Division:**

**Collection Catalog Database for Government (ADAHCAT).** Staff members use MARC 21 (Machine Readable Cataloging) Format for Bibliographic Data to create/maintain this database which contains detailed description of permanent government records in the department's custody. (RDA page 20) **(Bibliographic Title: Collection Catalog Database for Government [ADAHCAT])**

**Government Records Collection Inventory Database.** This database is the box or volume level inventory for all government records held by the department. Staff use it for the annual inventory and to create container level finding aids. (RDA page 20) **(Bibliographic Title: Government Records Collection Inventory Database)**

**Government Records Collection Management Control Files.** These files contain original catalog printouts, finding aids, separation sheets, and other related materials. Also included are transmittal forms that document the location numbers assigned to specific containers. Duplicate forms concerning transmitted, deaccessioned, and released records are preserved in these files as well. This is the only place where all the information for an agency is pulled together. (RDA page 20) **(Bibliographic Title: Government Records Collection Management Control Files)**

**Public Services Division:**

**Museum Artifact Collection Management Control Files (Museum Catalog Worksheet).** This series mainly consists of Museum Catalog Worksheets completed by the staff to document basic information on artifacts in the department's custody. Information on the worksheet may include object name, accession number, object description, provenance, conservation recommendations, object status, and disposition. Information is utilized to create the Museum Artifact Collection Catalog Database. (RDA page 20) **(Bibliographic Title: Museum Artifact Collection Management Control Files [Museum Catalog Worksheet])**

**Museum Artifact Collection Catalog Database.** These records contain much of the known information about each artifact in the Archives' collection. The descriptions and other information document the history of the item and are necessary to place the object in context. (RDA page 20) **(Bibliographic Title: Museum Artifact Collection Catalog Database)**

**Private Records Collection Inventory Database.** This series is composed of database for private records, maps, microfilms, and newspapers that are in the department's custody. The databases serve as finding aids for these records and should be preserved permanently. (RDA page 20) **(Bibliographic Title: Private Records Collection Inventory Database)**

**Private Records Collection Management Control Files.** The Private Records Section also maintains control files on its collections, similar to the Government Records Collection Management Controls Files of the Government Records Division. This series may contain processing plans, separation sheets, and other related materials. (RDA page 20) **(Bibliographic Title: Private Records Collection Management Control Files)**

■ **Providing Access to Records and Artifacts in the Agency’s Custody:**

**Public Services Division:**

**Records documenting permission to use ADAH collections for publications/private use (Permission to Publish Contract and Collection Usage Contract) and published materials.** Users must obtain approval to reproduce images or quote, cite, or publish materials from the collections of the Alabama Department of Archives and History. Users are also required to send to the department any books and articles they write using ADAH materials. Researcher’s who use the department’s collections for private use sign a contract stating they will not use materials for public use. These agreements should be maintained permanently to document permission provided to use the collections for a work, to ensure that the publisher sends the department a copy of the publication (either a book or an article), and to document a significant function of the Archives. (RDA page 21) **(Bibliographic Title: Records documenting permission to use ADAH collections for publications/private use [Permission to Publish Contract and Collection Usage Contract] and published materials)**

■ **Promoting Alabama History Education:**

**Government Services Division:**

**Website and Social Media Sites.** The Archives has a website at [www.archives.alabama.gov](http://www.archives.alabama.gov), as well as a Facebook page (<https://www.facebook.com/AlabamaArchives>), YouTube site (<https://www.youtube.com/user/AlabamaArchives>), Twitter account (<http://twitter.com/AlabamaArchives>), and Instagram account (<http://instagram.com/alabamaarchives>). Information on the web includes information for genealogists and historians, teachers and students, museum visitors, and state and local officials. The website and social media sites contains contact information and can be used to glean information about Alabama or the Archives. (RDA pages 22) **(Bibliographic Title: Website and Social Media Sites)**

**Public Service Division:**

**Poster/Bookmark and/or Other Education Contest Winning Entries.** Occasionally, the department will conduct a contest for students to create a project relating to Alabama history. Past projects have included creating models of the state symbols and posters depicting a moment in the state’s history. The winning entries document the department’s efforts to promote Alabama history and culture. (RDA page 22) **(Bibliographic Title: State Publications)**

**Audio/Video Recordings of ArchiTreats and Other Public Services Programs.** These are audio/video recordings of ADAH’s monthly lecture series, ArchiTreats and other programs or

talks. They should be preserved as documentation on the department's efforts in promoting Alabama history and culture. (RDA page 22) (**Bibliographic Title: Audio/Video Recordings of the ArchiTreats and Other Public Services Programs**)

**Museum Exhibit Planning Files (Meeting Minutes; Reports; Final Graphics, Design, Text, and Art).** The minutes; reports; and final graphics, design, text and art document the planning and design of museum exhibits. Museum exhibits are constructed to provide visitors with a multifaceted presentation on Alabama history featuring the collections of the department. (RDA page 22) (**Bibliographic Title: Museum Exhibit Planning Files [Meeting Minutes; Reports; Final Graphics, Design, Text, and Art]**)

## ■ **Assisting Government Entities in Managing Records:**

### **Government Services Division:**

**Meeting Agendas, Minutes, and Packets of State Records Commission and Local Government Record Commission.** This series consists of original copies of meeting agendas, signed minutes, meeting packets, and other related materials of the two commissions. They are the core documentation on decision making process and should be preserved permanently. (RDA page 23) (**Bibliographic Title: Meeting Agendas, Minutes, and Packets of State Records Commission and Local Government Record Commission.**)

**State and Local Government Agency Files.** These records, divided by type of agency (state, county, or municipality) may include original approved and signed Records Disposition Authorities (RDA), superseded records retention schedules and appraisal worksheets, communication with agencies, memos documenting onsite training/visits by staff, various reports, obsolete records destruction notices, and other related records or reference materials. This is the core documentation on the department's records management assistance rendered to governmental entities across the state. (RDA page 23) (**Bibliographic Title: State and Local Government Agency Files**)

**Surveys/Reports of Historic Records and Properties.** The Archives created, at one time, records that document the survey of historic items in the state. These records included the photographs and files of the surveys done through the work of the Works Progress Administration to identify the historic records and properties, as well as surveys done by the Department of Archives and History in the 1980s. These surveys/reports document the identification subfunction of the Archives as well as the location of historic items in the state. The records also document the activities of the WPA. (RDA page 23) (**Bibliographic Title: Surveys/Reports of Historic Records and Properties**)

**Alabama Historical Records Advisory Board Administrative Records.** The National Historical Publications and Records Commission (NHPRC) promotes the preservation and use of America's documentary heritage through its grant program. Each state desiring to participate in the NHPRC grant program appoints a State Historical Records Coordinator and establishes a Historical Records Advisory Board. The Alabama Historical Records Advisory Board, most recently established by the Legislature in 2006, is responsible for conducting statewide historical records

assessments and creating a strategic plan for the care of and access to historical records in Alabama. This series contains core documents of the board (bylaws, grant guidelines, manuals, membership lists, and strategic plans), meeting minutes, survey reports, and grant project final reports that should be preserved as permanent records. (RDA page 23) (**Bibliographic Title: Alabama Historical Records Advisory Board Administrative Records**)

### **State Records Center:**

**State Records Center Agency Files.** These files include complete transmittal forms that authorize the State Records Center to accept and store temporary records created by state agencies. Witnessed destruction notices are also preserved in the files to document the destruction of temporary records after their retention is met. Additional items may include lists of agency staff who can access files, quarterly billing information, state motor poll bills, and a security file. This series should be kept as it documents another services of the Archives to state agencies. (RDA page 24) (**Bibliographic Title: State Records Center Agency Files**)

### **■ Strengthening the Agency’s Services Through Auxiliary Organizations and Programs:**

#### **Public Services Division:**

**Volunteer Service Files.** This series documents volunteers’ work at the Archives. It includes application forms, total service hours, volunteers’ assignments (docent, government records, gift shop), any articles or special information no volunteers, and award nominations. (RDA page 24) (**Bibliographic Title: Volunteer Service Files**)

#### **Administrative Services Division:**

**Administrative Files of the Friends and Foundation.** The Friends of the Alabama Archives and the Alabama Archives and History Foundation creates file documenting their respective activities. Typical records in these files may include articles of incorporation, bylaws, meeting minutes, administrative correspondence and other documentation of policies and procedures, memoranda, periodic reports, audit reports, publications and press releases, and program/event information. This series should be maintained permanently to document the administration of the Friends and Foundation. (RDA page 24) (**Bibliographic Title: Administrative Files of the Friends and Foundation**)

#### **Administrative Services Division:**

**Significant Foundation Donor Files.** These files contain correspondence, donation records, and other material about the donor. (RDA page 25) (**Bibliographic Title: Significant Foundation Donor Files**)

### **■ Serving as Staff for Other Agencies**

**Records of the Academy of Honor.** These records include nominations, ballots, meeting minutes, and correspondence of the Academy of Honor. They are necessary to document the activities of

the Academy and the election of members to it. Financial records of the Academy of Honor fall under the records categories listed under Administering Internal Operations. (RDA page 25) **(Bibliographic Title: Records of the Academy of Honor)**

**Records of the Stonewall Jackson Memorial Fund.** These records include press releases, correspondence, and winning essays. They are necessary to document the activities of the fund. Financial records of the fund fall under the records categories listed under Administering Internal Operations. (RDA page 25) **(Bibliographic Title: Records of Stonewall Jackson Memorial Fund)**

#### ■ Administering Internal Operations:

**\*The following records may be created and maintained by all divisions within the agency:**

**Publications.** The department creates numerous publication including informational/procedural leaflets, newsletters, brochures, pamphlets, and museum handouts. These publications provide documentation of department's program activities. (RDA page 26) **(Bibliographic Title: State Publications)**

**Press Releases.** This series consists of statements or announcements concerning the department and its work issued for distribution to the media and the public. Included may be copies of news releases, published articles, photographs, typescripts of broadcast announcements, and other reference materials. A file may contain background data relative to the subject of the news release or newspaper clippings of the release. This series needs to be kept permanently as documentation of the agency's attempt to keep the public informed and to promote departmental programs. (RDA page 26) **(Bibliographic Title: State Publications)**

**Assistant Directors' Files.** These files document the administration of a division/office within the agency. They tend to deal with matters that have an impact on the program areas that the division is mandated to carry out. (RDA page 26) **(Bibliographic Title: Assistant Director's Files)**

**Training Session and/or Workshop Packets, Related Materials, and Reports.** From time to time, departmental staff members may plan and conduct various training sessions and/or workshops either at the Archives or other places outside the Archives. Topics may include, but are not limited to, teacher lesson plans, government records management, and genealogical research. Training/workshop packets may include, but are not limited to, agenda, reference materials, and evaluations. News articles and other press releases about a training/workshop should also be preserved for reference and documentation. (RDA page 26) **(Bibliographic Title: Training Session and/or Workshop Packets, Related Materials, and Reports)**

**Grant Project Final Reports.** These files are the final reports of the grants managed by the Alabama Department of Archives and History. Grant project may include the WPA projects, the NEH Grant for Civil Rights Era Records, the NEH US Newspaper Project, numerous grants from the Alabama Humanities Foundation, and other grants administered by the department. Grant Program Final Reports document the activities of the grant. (RDA page 26) **(Bibliographic Title: Grant Project Final Records)**

**Building Plan, Specification, and Renovation Files.** The Archives Building has undergone various modifications. These plans document the changes to the Archives Building and also provide information that will be useful for future renovations. (RDA page 31) (**Bibliographic Title: Building Plan, Specification, and Renovation Files**)

# **Permanent Records List**

## **Department of Archives and History**

### **Governing:**

#### Director's Office:

1. Meeting Agendas, Minutes, and Packets of the Board of Trustees
2. Policies and Procedures
3. Director's Files
4. Quarterly Reports (official copies)
5. Search Records for Agency Director

### **Appraising, Identifying Records and Artifacts of Historic Value:**

#### Public Services Division:

1. Transmittals and Accession Records
2. Deaccessioned/Released Items Files
3. Declined Item Files
4. Ready Reference Materials Donor Files
5. Incoming/Outgoing Collection Loan Files and Registers

### **Cataloging, Managing, and Preserving Records and Artifacts**

#### Government Services Division:

1. Collection Catalog Database for Government/ Private Records (ADAHCAT)
2. Government Records Collection Inventory Database
3. Government Records Collection Management Control Files

#### Public Services Division:

1. Museum Artifact Collection Management Control Files (Museum Catalog Worksheets)
2. Museum Artifact Collection Catalog Database
3. Private Records Collection Inventory Database
4. Private Records Collection Management Control Files

### **Providing Access to Records and Artifacts in the Agency's Custody:**

#### Public Services Division:

1. Records documenting permission to use ADAH collections for publications/private use and published materials

**Promoting Alabama History:**

Government Services Division:

1. Website

Public Service Division:

1. Poster/Bookmark and/or Other Education Contest Winning Entries
2. Audio/Video Recordings of ArchiTreats and Other Public Services Program
3. Museum Exhibit Planning Files

**Assisting Government Entities in Managing Records:**

Government Services Division:

1. Meeting Agendas, Minutes, and Packets of the State Records Commission and Local Government Records Commission
2. State and Local Government Agency Files
3. Survey/Reports of Historic Records and Properties
4. Alabama Historical Records Advisory Board Administrative Files
5. State Records Center Agency Files

**Strengthening the Agency's Services through Auxiliary Organizations and Programs:**

Public Services Division:

1. Volunteer Service Files

Public Service Division and Administrative Services Division:

2. Administrative Files of the Friends and Foundation

Administrative Services Division:

3. Significant Foundation Donor Files

**Serving as Staff for Other Agencies:**

Administrative Division:

1. Records of the Academy of Honor
2. Records of the Stonewall Jackson Memorial Fund

## **Administering Internal Operations:**

### All Divisions:

1. Publications
2. Assistant Director's Files
3. Training Session and/or Workshop Packets, Related Materials, and Reports
4. Meeting Agendas, Minutes, and Packets of the Board of Trustees
5. Grant Project Final Reports
6. Building Plan, Specification, and Renovations

## **Alabama Department of Archives and History 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 Services Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama Department of Archives and History. The RDA lists records created and maintained by the Department of Archives and History 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 Services Division at (334) 242-4452.

### **Explanation of Records Requirements**

- This RDA supersedes any previous records disposition schedules and/or RDAs governing the retention of the Alabama Department of Archives and History. Copies of superseded schedules or/and RDAs are no longer valid and should be discarded.
- 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 other record-like materials are not actually regarded as official records and 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 maintain 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 stationary, 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; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff. They may be disposed of without documentation of destruction.

## **Records Disposition Requirements**

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

### **■ Governing**

#### **Director's Office:**

MEETING AGENDAS, MINUTES, AND PACKETS OF THE BOARD OF TRUSTEES  
Disposition: PERMANENT RECORD.

POLICIES AND PROCEDURES  
Disposition: PERMANENT RECORD.

DIRECTOR'S FILES  
Disposition: PERMANENT RECORD.

QUARTERLY REPORTS (OFFICIAL COPIES)  
Disposition: PERMANENT RECORD

SEARCH RECORDS FOR AGENCY DIRECTOR  
Disposition: PERMANENT RECORD.

### **■ Appraising, Identifying, and Acquiring Records and Artifacts of Historical Value**

#### **Public Services Division:**

TRANSMITTALS AND ACCESSION RECORDS  
Disposition: PERMANENT RECORD.

DEACCESSIONED/RELEASED ITEMS FILES  
Disposition: PERMANENT RECORD.

DECLINED ITEMS FILES  
Disposition: PERMANENT RECORD.

READY REFERENCE MATERIALS DONOR FILES

Disposition: PERMANENT RECORD.

INCOMING/OUTGOING COLLECTION LOAN FILES AND REGISTERS

Disposition: PERMANENT RECORD.

Acquisition Tracking Records

Disposition: Temporary Record. Retain for useful life.

Lead Files

Disposition: Temporary Record.

1. If the item is donated, move the information to the control file.
2. If the item is not donated, retain 20 years after the last contract with potential donor.

■ **Cataloging, Managing, and Preserving Records and Artifacts**

**Government Services Division:**

COLLECTION CATALOG DATABASE FOR GOVERNMENT (ADAHCAT)

Disposition: PERMANENT RECORD.

GOVERNMENT RECORDS COLLECTION INVENTORY DATABASE

Disposition: PERMANENT RECORD.

GOVERNMENT RECORDS COLLECTION MANAGEMENT CONTROL FILES

Disposition: PERMANENT RECORD.

Government Records Collection Catalog Database Worksheets

Disposition: Temporary Record. Retain for useful life.

**Public Services Division:**

MUSEUM ARTIFACT COLLECTION MANAGEMENT CONTROL FILES (MUSEUM CATALOG WORKSHEETS)

Disposition: PERMANENT RECORD.

MUSEUM ARTIFACT COLLECTION CATALOG DATABASE

Disposition: PERMANENT RECORD.

PRIVATE RECORDS COLLECTION INVENTORY DATABASE

Disposition: PERMANENT RECORD.

PRIVATE RECORDS COLLECTION MANAGEMENT CONTROL FILES

Disposition: PERMANENT RECORD.

## ■ Providing Access to Records and Artifacts in the Agency's Custody

### Public Services Division:

RECORDS DOCUMENTING PERMISSION TO USE ADAH COLLECTIONS FOR PUBLICATIONS/PRIVATE USE (PERMISSION TO PUBLISH CONTRACT AND COLLECTION USAGE CONTRACT) AND PUBLISHED MATERIALS  
Disposition: PERMANENT RECORD.

ContentDM Metadata Spreadsheets  
Retention: Temporary Record. Retain for useful life.

Finding Aides  
Disposition: Temporary Record. Retain until superseded or obsolete.

Microfilm Tracking Log  
Disposition: Temporary Record. Retain 1 year following the year created.

Photograph Order Log  
Disposition: Temporary Record. Retain for useful life.

Reproduction Order/Receipts (including photographs, maps, audio/visual materials)  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Interlibrary Loan Files  
Disposition: Temporary Record. Retain 3 years after the year in which the record was created.

### Researcher Registration and Records Retrieval Files

1. Researcher Registration Files  
Disposition: Temporary Record. Retain for useful life.
2. Archival Records Retrieval Files (Call slips)
  - a. Pink Copy – Retain until records are returned to the stack.
  - b. Yellow Copy – Retain for useful life.
  - c. \*White Copy – Retain 15 years after the end of the fiscal year in which the record was created.

\* Information on requests for private records is also entered into a database by the staff of the Private Records Section. The database is maintained for 15 years as well.

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

Reference Letter Logs

Disposition: Temporary Record. Retain 1 year after the year in which the record was created.

■ **Promoting Alabama History Education**

**Government Services Division:**

WEBSITE AND SOCIAL MEDIA SITES

(ADAH staff captures and preserves the agency's website and other social media sites via a service offered by the Internet Archive [Archive It]. Check with ADAH website at [www.archive-it.org/organizations/62](http://www.archive-it.org/organizations/62) to ensure your agency website and social media site(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Government Services Division at 334-242-4452 to get them included.)

Staff Web Change/Addition Requests

Disposition: Temporary Record. Retain 1 year after the request is completed.

**Public Services Division:**

POSTER/BOOKMARK AND/OR OTHER EDUCATIONAL CONTEST ENTRIES

Disposition:

1. ENTRIES OF WINNERS  
Disposition: PERMANENT RECORD.
2. Other Entries  
Disposition: Temporary Record. Retain until no longer useful.

AUDIO/VIDEO RECORDINGS OF ARCHITREATS AND OTHER PUBLIC SERVICES PROGRAMS

1. MASTER COPY (FINISHED VERSION)  
Disposition: PERMANENT RECORD.
2. Raw Data  
Disposition: Temporary Record. Retain until the completion of the master copies.

MUSEUM EXHIBIT PLANNING FILES

1. MEETING MINUTES; REPORTS; FINAL GRAPHICS, DESIGN, TEXT, AND ART  
Disposition: PERMANENT RECORD.
2. Notebooks; reference materials; and drafts of graphics, design, text, art  
Disposition: Temporary Record. Retain until no longer useful.

3. Temporary exhibits/displays materials  
Disposition: Temporary Record. Retain until no longer useful.

Records documenting reference books, education materials, and other related items acquired for education activities

Disposition: Temporary Record. Retain until no longer useful and item is removed from the collection.

Visitor and School Registration Books

Disposition: Temporary Record. Retain 5 years.

ArchiTrunk, Backpack, and Museum Tour Reservation Forms and Correspondence

Disposition: Temporary Record. Retain 3 years.

Museum Tour and Public Events Evaluations

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

Teacher Workshop Registration and Sign in Sheets

Disposition: Temporary Record. Retain 7 years.

Teachers' Photo Release Forms

Disposition: Temporary Record. Retain 10 years.

Time Capsule Sheets

Disposition: Temporary Record. Retain 75 years.

Correspondence with ArchiTreats, Book Talk and Other Speakers

Disposition: Temporary Record. Retain 3 years.

## ■ **Assisting Governmental and Private Entities in Managing Records**

### **Government Services Division:**

MEETING AGENDAS, MINUTES, AND PACKETS OF THE STATE RECORDS COMMISSION AND LOCAL GOVERNMENT RECORDS COMMISSION  
Disposition: PERMANENT RECORD.

STATE AND LOCAL GOVERNMENT AGENCY FILES  
Disposition: PERMANENT RECORD.

SURVEYS/REPORTS OF HISTORIC RECORDS AND PROPERTIES (No Longer Created)  
Disposition: PERMANENT RECORD.

ALABAMA STATE HISTORICAL RECORDS ADVISORY BOARD (SHRAB)  
ADMINISTRATIVE RECORDS

Disposition: PERMANENT RECORD.

SHRAB Membership Correspondence Files

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

SHRAB Grant Project Application Files

Disposition: Temporary Record. Retain 6 years after date of submission of final federal financial report.

**State Records Center:**

STATE RECORDS CENTER AGENCY FILES (Transmittal and Completed Destruction Notices)

Disposition: PERMANENT RECORD.

Agency Access Authorization Form

Disposition: Temporary Record. Retain until superseded.

Reference Requests

Disposition: Temporary Record. Retain 3 years.

Records Center Transmittal/Destruction Logs

Disposition: Temporary Record. Retain for useful life.

■ **Strengthening the Agency's Services through Auxiliary Organizations and Programs**

**Public Services Divisions:**

VOLUNTEER SERVICES FILES

Disposition: PERMANENT RECORD.

Volunteer Service Time Records

Disposition: Temporary Record. Retain 2 years.

Volunteer Contact Information

Disposition: Temporary Record. Retain for useful life.

Volunteer Program Administrative Files

Disposition: Temporary Record. Retain 2 years.

**Administrative Services Division:**

ADMINISTRATIVE FILES OF THE FRIENDS AND FOUNDATION

Disposition: PERMANENT RECORD.

## **Administrative Services Division**

### FOUNDATION DONOR FILES

1. SIGNIFICANT FOUNDATION DONOR FILES  
Disposition: PERMANENT RECORD.
2. Routine Foundation Donor Files  
Disposition: Temporary Record. Retain until donor is deceased.
3. Foundation Donor Database  
Disposition: Temporary Record. Retain for useful life.

### Membership Files of the Friends

Disposition: Temporary Record. Retain 5 years after a member becomes inactive.

## ■ **Serving as Staff for Other Agencies**

### **Administrative Services Division:**

#### RECORDS OF THE ACADEMY OF HONOR (not financial records)

Disposition: PERMANENT RECORD.

#### RECORDS OF THE STONEWALL JACKSON MEMORIAL FUND (not financial records)

Disposition: PERMANENT RECORD.

#### Stonewall Jackson Memorial Fund Rating Matrix and Judging Sheets

Disposition: Temporary Record. Retain 5 years.

#### Stonewall Jackson Memorial Fund Submitted Essays

Disposition: Temporary Record. Retain 3 years.

#### Financial Records of the Academy of Honor

Disposition: Same as disposition for financial records listed under Administering Internal Operations.

#### Financial Records of the Stonewall Jackson Memorial Fund (not investment records)

Disposition: Same as disposition for financial records listed under Administering Internal Operations.

#### Investment Records of the Stonewall Jackson Memorial Fund

Disposition: Temporary Record. Retain 6 years after the fund/account is closed.

#### Student Loan Repayment Records of the Stonewall Jackson Memorial Fund

Disposition: Temporary Record. Retain 3 years after end of the fiscal year following the repayment of the loan.

## ■ Administering Internal Operations

### Managing the Agency

#### PUBLICATIONS

Disposition: PERMANENT RECORD.

#### PRESS RELEASES

Disposition: PERMANENT RECORD.

#### ASSISTANT DIRECTOR FILES

Disposition: PERMANENT RECORD.

#### TRAINING SESSION AND/OR WORKSHOP PACKETS, RELATED MATERIALS, AND REPORTS

Disposition: PERMANENT RECORD.

#### GRANT PROJECT FINAL REPORTS

Disposition: PERMANENT RECORD.

#### Routine Correspondence

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

#### Workshop Administrative Files, including registration files, evaluations, sign-in sheets

Disposition: Temporary Record. Retain until completion of workshop summary/report.

#### Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

#### Division Staff Weekly/Periodic Reports

Disposition: Temporary Record. Retain 1 year after the end of calendar year.

#### Weekly and Monthly Schedules

Disposition: Temporary Record. Retain 1 year after the end of calendar year in which the records were created.

#### Assistant Director/Staff Meeting Agenda/ Notes

Disposition: Temporary Record. Retain for useful life.

#### Recordings of Meetings

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

#### Telephone Logs/Calendars

Disposition: Temporary Record. Retain 3 years.

Mailing Lists

Disposition: Temporary Record. Retain until superseded.

Shipping Records

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

Printing Negative Plates and Materials

Disposition: Temporary Record. Retain until superseded or no longer useful.

Board of Adjustment Case Files

Disposition: Temporary Record. Retain 5 years after the final disposition of the case.

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 the end of the fiscal year in which the records were created.

Copy of 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 former hardware and software no longer exists anywhere in the agency and all permanent records have migrated to a new system.

Electronic Equipment Repair Logs

Disposition: Temporary Record. Retain for useful life.

Electronic Equipment Sign Out Sheets

Disposition: Temporary Record. Retain until equipment is returned.

Service Requests

Disposition: Temporary Record. Retain until work is complete.

**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 received

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.

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.

#### Agency Audit Reports

Disposition: Temporary Record. Retain 6 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

1. Original bid records maintained in the purchasing office of the agency for contracts over \$15,000

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

2. Duplicate copies of bid (originals are maintained by the Division of Purchasing, Department of Finance)

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

#### **Managing Human Resources:**

Records documenting job recruitment

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

Records documenting application for employment

Disposition: Temporary Record. Retain 1 year.

Position Classification Records

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 an employee's work history – generally maintained as a case file

1. Records documenting work history of employees

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

2. Records, located within divisions/offices, which document an employee's work history

Disposition: Temporary Record. Retain 1 year after separation of the employee from the agency.

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 deduction authorizations

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

Records documenting payroll deductions for tax purposes

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

Records documenting employees' daily and weekly work schedules

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

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

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

Records documenting sick leave donations

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

Records documenting final leave status

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

Records documenting verification of accuracy of State Personnel Department records  
Disposition: Temporary Record. Retain for useful life.

Records documenting Equal Employment Opportunity (Code of Federal Regulations, Title 29)

1. Compliance Records

Disposition: Temporary Record. Retain 3 years after the close of the program year.

2. Complaint Records

Disposition: Temporary Record. Retain 3 years from the date of resolution of the complaint.

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 12 years after separation of the employee from the agency.

Employees Administrative Hearing Files

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

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

Disposition: Temporary Record. Retain 5 years following decision of Personnel Board.

Employee Flexible Benefits Plan Files (applications and correspondence)

Disposition: Temporary Record. Retain 6 years.

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 department.

Intern Files

Disposition: Temporary Record. Retain for useful life.

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

BUILDING PLAN, SPECIFICATION, AND RENOVATION FILES

Disposition: PERMANENT RECORD.

Unimplemented Architectural and Building Plans

Disposition: Temporary Record. Retain for useful life.

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 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 lease or rental of office or warehouse space for the department

Disposition: Retain 6 years after expiration of lease.

Incident/Accident Report

Disposition: Temporary Record. Retain 2 years following incident/accident.

Security Records

Disposition: Temporary Record. Retain for useful life.

Fire Extinguisher and Alarm Maintenance/Inspection Records

Disposition: Temporary Record. Retain 2 years.

Building Sprinkler System Maintenance/Inspection Records

Disposition: Temporary Record. Retain 2 years.

Fire/Safety Inspection Results

Disposition: Temporary Record. Retain until superseded.

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

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

# Requirements and Recommendations for Implementing the Records Disposition Authority

## Requirements

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 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 Department of Archives and History (hereafter referred to as the agency) as stipulated in the document.

One condition of this authorization is that the agency submits an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Record Commission in July of each year.

## Recommendations

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 the permanent records held on alternative storage media (such as microfilms 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; (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.
- Electronic mail contain permanent, temporary, or transitory record information, Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the

division should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

- The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records 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 29, 2014.

---

Steve Murray, Chairman  
State Records Commission

---

Date

Receipt acknowledged:

---

Tracey Berezansky  
Assistant Director for Government Records  
Alabama Department of Archives and History

---

Date