

**Armory Commission of Alabama
State Military Department**



**Functional Analysis
&
Records Disposition Authority**

**Presented to the
State Records Commission
January 27, 2010**

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Functional and Organizational Analysis of the Armory Commission of Alabama

Sources of Information

Representatives of the Armory Commission of Alabama
Code of Alabama 1975, Sections 31-1-1 through 31-3-7 (State Military Department)
Code of Alabama 1975, Sections 31-4-1 through 31-4-19 (Armory Commission of Alabama)
Armory Commission of Alabama Audit Report
Alabama Government Manual (2006) page 449
Armory Commission of Alabama Website

Historical Context

Established in 1820, the State Military Department is responsible for the organization, maintenance, support, upkeep, administration, armament, training and discipline of the Alabama National Guard. The chief executive officer for the agency is the adjutant general, who is appointed by the governor and serves at the governor's pleasure. The Armory Commission of Alabama was established in 1935 as the corporate arm of the State Military Department, that acquires, owns, and manage all buildings and facilities for the Alabama National Guards.

Agency Organization

The Armory Commission of Alabama (hereafter referred to as the commission) is composed of nine members. There are three *ex officio* members: the governor serves as the chairman; the adjutant general serves as the vice-chairman; and the attorney general. Other members include the two highest ranking Army National Guard officers, the highest ranking Air National Guard officer, and three duly qualified electors of Alabama, appointed by the governor for a term of six years. The commission holds regular or special meetings in Montgomery or other designated places at the discretion and call of the governor. A majority of the members constitutes a quorum for the consideration of business. The State Property and Disbursing Office (SPDO) of the State Military Department is charged with the responsibility for day-to-day operation of the Armory Commission of Alabama. The head of SPDO serves as the secretary of the commission. SPDO consists of two divisions: (1) Budget and Fiscal; and (2) Facility Maintenance.

Agency Function and Subfunctions

The mandated function of the commission is to acquire and maintain the necessary real estate, building, and training sites in which to house and train the Alabama National Guards. It is one of the agencies responsible for performing the stewardship function of Alabama government. In the performance of its mandated function, the commission may engage in the following subfunctions:

- **Acquiring, Managing, and Disposing of Armories and Facilities.** In accordance with the Code of Alabama, Title 31, Chapter 4, the commission has responsibility for the following activities. (1) Adopt and prescribe rules and regulations for the management of armories and drill and training areas (Section 31-4-15). (2) Finance or refinance, by the sales of bonds/the matching of funds/any other plans, the construction of new armories/facilities or the improvements/additions of armories/facilities already in existence (Section 31-4-5). (3) Provide adequate armories, buildings, equipment, furniture, target ranges and other necessary facilities for the proper housing, instruction, training and administration of all units and headquarters of the Alabama National Guard units (Section 31-4-7). (4) Construct or acquire, by purchase/contract/lease/gift/donation or condemnation, armories or buildings or grounds suitable for drill instruction and administration and the safekeeping of public property and make additions/improvements in or to armories/facilities (Section 31-4-8). (4) Sell or lease armories after receiving information from the governor of the disbandment of an organization of the Alabama National Guard occupying or using an armory (Section 31-4-16).

- **Administering Internal Operations.** A significant portion of the commission's work includes general administrative, financial, and personnel activities performed to support the State Military Department.

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

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, and 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); accountings for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; 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; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Record Keeping System and Records Appraisal of the Armory Commission of Alabama

Agency Record Keeping System

The Armory Commission of Alabama operates a hybrid system composed of paper and electronic records.

The State Military Department currently operates a Local Area Network (LAN) servicing all units within its headquarters in Montgomery. The LAN, connected to the mainframe of the Information Services Division (Finance Department), consists of a Windows NT Server and supports 15 workstations. The following mainframe resident systems are utilized for the agency's operations: AFNS/CAS, Statewide Network for Automated Purchasing (SNAP), and Government Human Resource System (GHRM). Staff members use Microsoft Office Professional programs to create and manage documents, spreadsheets, databases, and presentations.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Armory Commission of Alabama: 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.

- **Records Relating to the Administration of a Master Cooperative Agreement (MCA).** These are documents and records relating to Alabama's execution of its responsibilities and obligations under the terms and conditions of the Master Cooperative Agreement (MCA) and its various appendices. The MCA is a federal-state agreement under which the state is reimbursed for various support operations (training, fire protection, security and personnel functions) for its National Guard units. The cost for these projects are usually under \$75,000.00. The agency retains the files for 7 years for reference.

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

- **Meeting Agendas, Minutes, and Packets of the Armory Commission of Alabama.** This series consists of meeting agendas, minutes, handouts, and other supporting documents or reference materials presented at the commission's meetings. They constitute the core documentation of the activities of the authority's board of directors. **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Armory Commission of Alabama)**

- **Real Property Documents.** This series contains all documents and records relating to the acquisition and disposition of real properties owned by the State Military Department. Types of records may include: abstracts and deeds, maps and site plans, survey notes, plats, and tract files, easements, mineral rights documents, and files relating to the disposition of property. **(Bibliographic Title: Real Property Documents)**
- **Rules, Regulations, and Procedures.** This series is composed of rules, regulations, and procedures established to govern the operation of the State Military Department and its subordinate units. **(Bibliographic Title: Rules, Regulations, and Procedures)**
- **Records Relating to the Administration of a Master Cooperative Construction Agreement (MCCA) (contract documents, funding documents, advance request documents, reimbursement request documents, change orders, and other related files).** These are documents and records relating to Alabama's execution of its responsibilities and obligations under the terms and conditions of the Master Cooperative Agreement (MCCA) and its various appendices. The MCCA is a federal-state agreement under which the state is reimbursed for the construction, renovation, or maintenance of buildings and related facilities. These projects are usually cost 75,000.00 or more. Due to numerous federal and state requirements for use of these facilities, the agency maintains this series permanently in office for reference.
- **Files of the Adjutant General.** This series contains all documents of the adjutant general regarding the operations and activities of the State Military Department. **(Bibliographic Title: Administrative Files)**
- **Agency History Documents and Records.** This series may contain various records which document the history and the functions of the agency. They should be preserved permanently. **(Bibliographic Title: Administrative Files)**
- **Annual Reports.** This series contains the annual reports prepared by the State Military Department for the governor. The reports detail the duties, accomplishments, and status for the agency during the previous year. **(Bibliographic Title: State Publications)**
- **Website.** The State Military Department has a website at: www.alguard.alabama.gov. The website provides detailed information concerning the operations, personnel, and various programs of the department. The website should be preserved as it serves as an important medium for communication with the public. **(Bibliographic Title: Website)**

- **Inventory Lists.** The Code of Alabama 1975, Section 36-16-8[1] requires that “. . . All [state agency] property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts.” These files need to be maintained in the agency’s office.

Permanent Records List

Armory Commission of Alabama

Acquiring, Managing, and Disposing of Armories and Facilities

1. Meeting Agendas, Minutes, and Packets of the Armory Commission of Alabama
2. Real Property Documents.
3. Rules, Regulations, and Procedures
4. Records Relating to the Administration of a Master Cooperative Construction Agreement (MCCA)(contract documents, funding documents, advance request documents, reimbursement request documents, change orders, and other related files)*

Administering Internal Operations

1. Files of the Adjutant General
2. Annual Reports
3. Agency History Documents and Records
4. Website
5. Inventory Lists*

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

Armory Commission of Alabama 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 Armory Commission of Alabama. The RDA lists records created and maintained by the Armory Commission of Alabama 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 Armory Commission of Alabama 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 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

The RDA shall govern the disposition of all records, regardless of format, created by the agency from creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created prior to 1940.

This RDA supersedes any previous records disposition schedules or RDAs governing the retention of the records created by the agency. Copies of superseded schedules 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.

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 maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document agency 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, 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; (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 Armory Commission of Alabama 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.

** denotes agency vital records, defined as records required to carry on its essential operations, to protect its legal and financial interests, and to assist in its recovery during a period of emergency or natural disaster.

Acquiring, Managing, and Disposing of Armories and Facilities

MEETING AGENDAS, MINUTES, AND PACKETS OF THE ARMORY COMMISSION OF ALABAMA

Disposition: PERMANENT RECORD.

REAL PROPERTY DOCUMENTS

Disposition: PERMANENT RECORD.

RULES, REGULATIONS, AND PROCEDURES

Disposition: PERMANENT RECORD.

RECORDS RELATING TO THE ADMINISTRATION OF A MASTER COOPERATIVE CONSTRUCTION AGREEMENT (MCCA) (CONTRACT DOCUMENTS, FUNDING DOCUMENTS, ADVANCE REQUEST DOCUMENTS, REIMBURSEMENT REQUEST DOCUMENTS, CHANGE ORDERS, AND OTHER RELATED FILES)

Disposition: PERMANENT RECORD. Retain in Office.

Recordings of Meetings

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

Appointment Orders for Members of the Armory Commission of Alabama and Related Documents

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

Disposition Records of Real Property Submitted to the Alabama Department of Conservation and Natural Resources

Disposition: Temporary Record. Retain 3 years after the property data was deleted from the database of the Alabama Department of Conservation and Natural Resources.

Lease, Rental Contracts, and Agreements

Disposition: Temporary Record. Retain 6 years after the lease/contract/agreement is expired.

Records Relating to the Administration of a Master Cooperative Agreement (MCA)

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

Administering Internal Operations: Managing the Agency

FILES OF THE ADJUTANT GENERAL

Disposition: PERMANENT RECORD.

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

AGENCY HISTORY DOCUMENTS AND RECORDS

Disposition: PERMANENT RECORD.

WEBSITE

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

Routine Correspondence

Disposition: Temporary Record. Retain 1 year after audit.

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

Disposition: Temporary Record. Retain 1 year after audit.

Copy of RDA

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

System documentation (hardware/software manuals and diskettes, warranties)

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

Calendars/Schedules/Logs

Disposition: Temporary Record. Retain for useful life.

Mailing Lists

Disposition: Temporary Record. Retain until superseded.

Board of Adjustment Claim Files

Disposition: Temporary Record. Retain 1 year after audit.

Administering Internal Operations: 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 1 year after audit.

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

Disposition: Temporary Record. Retain 1 year after audit.

Records of original entry or routine accounting transactions such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and cancelled checks

Disposition: Temporary Record. Retain 1 year after audit.

Records relating to the operation of outside accounts (unit and canteen funds)

Disposition: Temporary Record. Retain 1 year after audit.

Records relating to the operation of the Ft. McClellan Billeting Fund

Disposition: Temporary Record. Retain 1 year after audit.

Records relating to external and internal audits

Disposition: Temporary Record. Retain 1 year after audit.

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

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

Administering Internal Operations: Managing Human Resources**Records documenting payroll (e.g. pre-payroll reports, payroll check registers)**

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting payroll deductions for tax purposes

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting employee hours worked, leave earned and leave taken

Disposition: Temporary Record. Retain 1 year after audit.

Records of employee final leave status

Disposition: Temporary Record. Retain 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.

Records relating to Equal Employment Opportunity activities

Disposition: Temporary Record. Retain 1 year after audit.

Records relating to State Employee Injury Compensation Trust Fund activities

Disposition: Temporary Record. Retain 1 year after audit.

Records relating to the Fair Labor Standards Act (FLSA) activities

Disposition: Temporary Record. Retain 1 year after audit.

Records relating to the Family Medical Leave Act activities

Disposition: Temporary Record. Retain 1 year after audit.

Administering Internal Operations: Managing Properties, Facilities, and Resources

INVENTORY LISTS

Disposition: PERMANENT RECORD. Retain in Office. (Code of Alabama 1975, Section 36-168[1]).

Letters of Transmittal

Disposition: Temporary Record. Retain 1 year after audit.

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

Disposition: Temporary Record. Retain 1 year after audit.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 1 year after audit.

Receipts of Responsibility for Property

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

Records relating to insurance and risk management activities

Disposition: Temporary Record. Retain 1 year after audit.

Records relating to the condition, status, operation, and maintenance of buildings and facilities

Disposition: Temporary Record. Retain 1 year after audit.

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 is removed from the property inventory.

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

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

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 Armory Commission of Alabama (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 January 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 maintains records solely in electronic format, it should employ an electronic records management system that is capable of tying retention and disposition instructions to records in the system and of purging temporary records when their retention periods expire. The agency is committed to funding any system upgrades and migration strategies necessary to ensure its records’ preservation and accessibility for the periods legally required.

Electronic mail contains 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 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 January 27, 2010.

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

Date

Receipt acknowledged

Abner C. Blalock, Adjutant General
State Military Department

Date