

# **Alabama Criminal Justice Information Center**

## **Functional Analysis & Records Disposition Authority**

**Revision  
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# **Functional and Organizational Analysis of the Alabama Criminal Justice Information Center**

## **Sources of Information**

Representatives of the Alabama Criminal Justice Information Center  
Code of Alabama 1975, Sections 41-9-590 through 41-9-649  
Code of Alabama 1975, Section 41-20-1 through 41-20-16 (Sunset Law)  
Alabama Administrative Code, Chapter 265-X-1 to 265-X-3  
Alabama Government Manual (2006), page 184  
Government Records Division, State Agency Files (1985-ongoing)

## **Historical Context**

Activity relating to the accumulation, storage, retrieval, analysis, and dissemination of criminal information was originally performed by the Uniform Crime Reports Section of the Federal Bureau of Investigation (FBI) in Alabama. In October of 1975, the Alabama Legislature passed Act 872 which created the Alabama Criminal Justice Information Center (ACJIC) to collect, store, retrieve, analyze, and disseminate vital information relating to certain crimes, criminals, and criminal activity. In addition to being the state's criminal history repository agency, ACJIC also houses the Alabama Statistical Analysis Center (SAC), which collects Uniform Crime Reports (UCR) and reports Alabama crime information statistics to the FBI.

On January 1, 1976, CJIC formally took over operation of the Uniform Crime Reports Section of the FBI in Alabama. Prior to 1976, law enforcement agencies participated in the FBI's UCR program on a voluntary basis.

## **Agency Organization**

The powers and duties of ACJIC are defined in Sections 41-9-590 through 41-9-649 of the Code of Alabama. The agency is supervised by the ACJIC Commission, which is a supervisory board composed of a 13-member voting section and a 7-member advisory section responsible for establishing the policies and rules governing the operation of the agency. The Commission includes officials representing: Alabama Attorney General, Alabama Sheriff's Association, Alabama District Court Judge Association, chairman of Alabama Board of Pardons and Paroles, Alabama Police Chiefs Association, Alabama Circuit Court Judge Association, director of Alabama Department of Public Safety, Alabama District Attorney's Association, director of Alabama Department of Economic and Community Affairs, commissioner of Alabama Department of Corrections, Alabama Circuit Clerks Association, director of the Information Service Division (Alabama Department of Finance), and the Chief Justice of the Alabama Supreme Court. Also represented on the Commission are the presiding officer of the Alabama Senate, president of the Alabama Association

of County Commissions, speaker of the Alabama House of Representatives, president of the Alabama League of Municipalities, the Alabama Administrative Office of Courts, and a citizen of the State of Alabama appointed by the Governor.

Responsibility for the day-to-day operations of ACJIC is vested in the ACJIC director, who works under the supervision of the ACJIC Commission.

## **Agency Function and Subfunctions**

The mandated function of the Alabama Criminal Justice Information Center is for the accumulation, storage, retrieval, analysis, and dissemination of vital information relating to crimes, criminals, and criminal activities. The agency is primarily involved in carrying out the Law Enforcement and Emergency Powers function of Alabama government. In the performance of its mandated function, the commission may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The Code of Alabama 1975, Section 41-9-594 authorizes the center to establish rules, regulations, and policies necessary to carry out its duties and responsibilities. To safeguard criminal information, the center appoints a privacy and security committee from its membership to study the privacy and security implications of criminal justice information and to formulate policy recommendations for adoption by the center. This subfunction encompasses activities pertaining to the development of rules and regulations concerning the collection, storage, dissemination, or usage of criminal justice information.
- **Implementing a Uniform Crime Information System.** The Code of Alabama 1975, Section 41-9-621 mandates the center to develop, operate, and maintain an information system which will assist in the collection, storage, retrieval, analysis, and dissemination of all crime and offender data. The center's current communication network consists of a computer-operated telecommunications system connecting approximately seven hundred terminals and seventeen regional computer centers throughout the state. The center maintains several computerized databases of criminal information. Detailed information on the databases is available on page 2-1.
- **Compiling Statistics.** In accordance with the Code of Alabama 1975, Section 41-9-621 (4), the center is responsible for compiling and publishing periodic statistics on the nature and extent of crime in Alabama. All statistical information is distributed to the governor, the legislature, the judiciary, and other governmental agencies whose primary responsibilities include the planning, development, or execution of crime reduction programs. Currently, the center publishes annually three statistical reports: Crime in Alabama, Domestic Crime, and Juvenile Victims of Violent Crime. In addition, the agency may produce other analytical reports or ad hoc reports requested by law enforcement agencies, legislators, or the media.

- **Providing Technical Assistance.** The Code of Alabama, Section 41-9-621(3) mandates the center to “offer assistance and instruction to all criminal justice agencies in establishing efficient systems for information management.” Staff members of ACJIC routinely provide policy and technical training to all criminal justice agencies in the use of CJIC’s Law Enforcement Data System (LEDS), the National Crime Information Center (NCIC), the National Law Enforcement Telecommunication System (NLETS) and other related programs. ACJIC’s technical assistants are assigned to and reside within multi-county areas of the state where they make daily contact to assist users in resolving crime and system related problems.
  
- **Providing Individuals with Reference Assistance to Their Criminal Records.** The Code of Alabama, Section 41-9-643 mandates the center to make a person’s criminal records available for inspection to this person or his/her attorney upon written application and payment of an administrative fee to the commission. If an individual believes such information to be inaccurate or incomplete, he/she may challenge the center. All documentation concerning the challenged records is then forwarded by the center to the original agency having custody of the specific records. If the original agency declines to purge, modify, or supplement the challenged records or the individual believes the agency’s decision to be unsatisfactory, the person may appeal to the center for a hearing. The center may rule to correct the records. Otherwise, the individual may appeal to a circuit court.
  
- **Administering Internal Operations.** A significant portion of the agency’s work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency including:

**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, legislating (drafting, lobbying, tracking), publicizing and providing information, managing records, and managing information systems and technology.

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

**Managing human resources:** Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker’s

compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining.

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

# **Analysis of Record Keeping System and Records Appraisal of the Alabama Criminal Justice Information Center**

## **Agency Record Keeping System**

The Alabama Criminal Justice Information Center currently operates a hybrid record keeping system composed of paper and electronic records.

Paper-based Systems: Although the center captured and maintained its records electronically, paper copies are also created/maintained for records keeping and distribution purposes.

### **Computer Systems:**

The Alabama Criminal Justice Information Center operates a multi-platform network consisting of complex mainframe applications, a Message Switch central component, and workstation solution deployed throughout Alabama. This network not only transports key information to all criminal justice agencies within the state, but also connects interactively to the FBI, National Crime Information Center (NCIC), criminal justice agencies in the other forty-nine states and the four United States territories, the Washington DC Metropolitan Police, The Royal Canadian Mounted Police (RCMP), and 250 more foreign countries through INTERPOL Operations.

Some of the information systems provided, administered, or shared by ACJIC may include:

(1) Law Enforcement Data System (LEDS)-- This relational database is composed of criminal justice information available to qualified criminal justice agencies throughout this state and the nation as a whole. LEDS contains information on persons (wanted, missing, or unidentified), vehicles/boats (stolen, abandoned, impounded, recovered, or used to commit a felony), guns (stolen, lost, or recovered), articles (stolen, lost, or recovered), securities/traveler's checks (stolen or lost), and license plates (stolen or lost). The information contained in LEDS database is entered, modified, and deleted by participating law enforcement agencies at the local level. This system stores and makes information accessible 24 hours a day. Information entered into this system, if needed, is automatically transmitted to the National Crime Information Center (NCIC) in Clarksburg, West Virginia, where it is made available to criminal justice agencies throughout the nation.

(2) Computerized Criminal History (CCH) System-- Created in 1978, CCH is an on-line hierarchical database to provide complete, statewide "rap sheets" on criminal offenders. Information contained in the system includes individual identification, arrest data, court or other disposition of cases, and custody/supervision status. Data is entered, modified, and deleted by participating law enforcement agencies at the local level. This system stores and makes information accessible 24 hours a day. Information entered into this system, if it qualifies, is automatically transmitted to the National Crime Information Center (NCIC) in Clarksburg, West Virginia, where it is made available to criminal justice agencies throughout the nation. The data is made available to criminal justice agencies with approved access through the FBI's Interstate Identifier Index, known as Triple I (III), which is

established when a fingerprint card is provided to the FBI from the contributing criminal justice agency and this record is then included in the FBI's automated index of persons with criminal records. (3) Uniform Crime Reporting (UCR) System—This is a database of criminal statistics maintained by ACJIC based on information provided to it by state and local law enforcement agencies. The information in the database is used to compile the statistical reports published by ACJIC. Data submitted by criminal justice agencies is stored either by the Information Services Division (ISD) of the Finance Department on magnetic tape cartridges (mainframe data) or in ACJIC's UCR Local Template for Reporting and Analysis (ULTRA) SQL database. Beginning in January 2010, ACJIC Commission requires all UCR data to be submitted electronically to ACJIC in an approved format or via the ULTRA software provided by ACJIC. SQL databases are backed nightly via the agency's Storage Area Network (SAN), weekly on tape, and also included in ACJIC's Disaster Recovery Plan. Once ACJIC utilizes the data to publish its annual Crime in Alabama report, the year's data is considered to be official as reported to the FBI, and is stored in ACJIC's databases for reference. ACJIC's ULTRA Software Application serves as the Records Management System (RMS) for those law enforcement agencies using ULTRA. ACJIC acts as a keeper of the data on behalf of these agencies, although law enforcement agencies that created the data are the official custodian of Incident/Offense and Arrest Report records.

## **Records Appraisal**

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Criminal Justice Information Center : Temporary Records and Permanent Records.

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

- **Criminal Justice Agency Information System Operator Certification/Recertification Files.** The Code of Alabama, Section 41-9-621(3) mandates the center to “offer assistance and instruction to all criminal justice agencies in establishing efficient systems for information management.” Additionally, the Federal Bureau of Investigation (FBI) Criminal Justice Information System (CJIS) regulations requires that all criminal justice personnel provided with access to its National Crime Information Center (NCIC) system be certified within 6 months of employment, and re-certified every 2 years thereafter. ACJIC staff members routinely provide this and other technical training to all criminal justice agencies in the use of various information systems for the collection, storage, retrieval, analysis and dissemination of crime and offender data. NCIC certification normally is provided in a classroom setting, and then users are re-certified in an online testing format every two years thereafter. ACJIC maintains the results of the certification/re-certification exams for a two-year period from the date of certification and/or re-certification, as required by FBI CJIS policy.

- **Requests to Review Criminal Records Files.** The Code of Alabama, Section 41-9-643 mandates the center to make a person's criminal records available for inspection to the person or his/her attorney upon written application and payment of an administrative fee to the commission. This records series consists of standard application forms completed by applicants and other supporting identification documents. ACJIC maintains records of these requests for one calendar year after copies of the criminal records are mailed to applicants.
- **Uniform Crime Reporting (UCR) System Database.** The information in the database, provided mainly by local law enforcement agencies, is raw statistical data and is used by ACJIC to compile statistical reports (mainly the Crime in Alabama reports, which are in Adobe PDF format). Once the reports are published, the data is stored and retired to a database for possible reference. Since the main output of the database, Crime in Alabama reports, is scheduled as permanent records, the reference needs of the data will not exceed 25 years, the approved retention period for Alabama Uniform Incident/Offense Reports (felonies).

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

**Promulgating Rules and Regulations:**

- **Meeting Agendas, Minutes, and Packets of the Alabama Criminal Justice Information Center Commission.** The commission is required by the Code of Alabama 1975, Section 41-9-593, to hold a minimum of four regular meetings each year in the months of January, April, July, and October. The meeting agendas, minutes, and packets of these meetings are necessary to document the actions of the commission and its members. (RDA page 3-2) **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Alabama Criminal Justice Information Center Commission)**

**Compiling Statistics:**

- **Crime Statistical Publications.** In accordance with the Code of Alabama 1975, Section 41-9-620 (5), the center is responsible for publishing various statistics to document the level and nature of crime in the state. Examples of publications may include Crime in Alabama, Juvenile Victims of Violent Crime, and Domestic Violence in Alabama. All of them possess valuable information on criminal and law enforcement activities in the state. This series is also available in electronic format on the agency's website (RDA page 3-4) **(Bibliographic Title: State Publications)**

**Providing Technical Assistance:**

- **Law Enforcement Officers' Handbook.** Most recently compiled in 2006, this handbook provides all law enforcement agency staff members with general instructions on reporting

procedures for incidents, offenses, and arrests. The handbook serves as a model and may be adopted by individual law enforcement agencies as its official handbook. The handbook is also available in electronic format on the agency's website (RDA page 3-4) (**Bibliographic Title: State Publications**)

- **Alabama Law Enforcement Directory.** This directory, published/updated quarterly, is designed as a ready reference to state, local, and university/college law enforcement agencies. Information available in the directory includes name of agency, chief officer, address, phone number, and FAX number. The directory is also available in electronic format on the agency's website (RDA page 3-4) (**Bibliographic Title: State Publications**)

#### **Administering Internal Operations:**

- **Website.** The agency has a website at [www.acjic.alabama.gov](http://www.acjic.alabama.gov). Information on the website includes products and program, crime statistics, press releases, training and events, and contact data. The website should be preserved as it serves as an important medium for communication with the public. (RDA page 3-5) (**Bibliographic Title: Website**)
- **Grant Project Final Narrative Reports.** The agency operations are often sponsored, in part, by the federal government. The final narrative reports should be maintained permanently as documentation of the department's fulfillment of obligations to the federal government in receiving funding. (RDA pg. 3-6) (**Bibliographic Title: Grant Project Final Narrative Reports**)

#### **Accessibility of Records**

In accordance with the Alabama Administrative Code, 265-X-2- .2, criminal justice records are only available for access by criminal justice agencies and certain noncriminal justice agencies upon completion of a privacy and security agreement with ACJIC. The Alabama Administrative Code, 265-X-2- .3 specifies procedures for an individual to review and challenge his/her criminal history information maintained by ACJIC.

## **Permanent Records List**

### **Alabama Criminal Justice Information Center**

#### **Promulgating Rules and Regulations:**

1. Meeting Agendas, Minutes, and Packets of the Alabama Criminal Justice Information Center Commission

#### **Compiling Statistics:**

1. Crime Statistical Publications

#### **Providing Technical Assistance:**

1. Law Enforcement Officers' Handbook
2. Alabama Law Enforcement Directory

#### **Administering Internal Operations:**

1. Website
2. Grant Project Final Narrative Reports

# Alabama Criminal Justice Information Center 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 Alabama Criminal Justice Information Center. The RDA lists records created and maintained by the Alabama Criminal Justice Information Center 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 department to implement records destruction.

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

## Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama Criminal Justice Information Center's records. Copies of superseded schedules 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 short-term records that do not materially document the work of an agency may be disposed of under this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; and (2) transitory records, which are temporary records created for internal purposes that may include, but are not limited to, telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal

communications about social activities. They may be disposed of without documentation of destruction. Other items that may be disposed of without destruction documentation include: (1) catalogs, trade journals, and other publications received that require no action and do not document government activities; and (2) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete.

## **Records Disposition Requirements**

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

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

MEETING AGENDAS, MINUTES, AND PACKETS OF THE ALABAMA CRIMINAL JUSTICE INFORMATION CENTER COMMISSION

Disposition: PERMANENT RECORD.

Recordings of Meetings

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

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

Disposition: Temporary Record. Retain 3 years.

Administrative Procedures Rule Filings

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

Register of Administrative Procedures Rule Filings

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

### **■ Implementing a Uniform Crime Information System**

#### **1. Law Enforcement Data System (LEDS) Database**

(The disposition of individual records in the LEDS database is governed by the National Crime Information Center Code Manual [April 1998].)

Data on persons wanted, missing, and unidentified

Disposition: Temporary record. Retain until action is taken by the originating agency to cancel or clear the records.

Data on vehicles stolen, abandoned, impounded, recovered, and felony  
Disposition: Temporary record.

Vehicles with Vehicle Identification Number (VIN) or Owner Applied Number (OAN): Retain 4 years after the end of the year in which the records were removed by the originating local agency from the database.

Vehicles without VIN or OAN: Retain 90 days after the records were removed by the originating local agency from the database.

Data on stolen vehicle parts and accessories

Disposition: Temporary record. Retain 4 years after the end of the year in which the records were removed by the originating local agency from the database.

Data on stolen boats and motors

(1) Boats with Boat H Number (BHN) or Owner Applied Number (OAN):

Disposition: Temporary record. Retain 4 years after the end of the year in which the records were removed by the originating local agency from the database.

(2) Boats without BHN or OAN:

Disposition: Temporary record. Retain 90 days after the records were removed by the originating local agency from the database.

Data on stolen or lost license plates

Disposition: Temporary record. Retain 1 year after the end of the year in which the records were removed by the originating local agency from the database.

Data on stolen guns

Disposition: Temporary record. Retain until action is taken by the originating agency to cancel or clear the records.

Data on recovered guns

Disposition: Temporary record. Retain 2 years after the end of the year in which the records were removed by the originating local agency from the database.

Data on stolen articles

Disposition: Temporary record. Retain 1 year after the end of the year in which the records were removed by the originating local agency from the database.

Data on unrecovered, stolen, embezzled, or counterfeited securities

Disposition: Temporary record. Retain 4 years after the end of the year in which the records were removed by the originating local agency from the database.

Data on unrecovered, stolen, embezzled, or counterfeited traveler's checks and money orders

Disposition: Temporary record. Retain 2 years after the end of the year in which the records were

removed by the originating local agency from the database.

**2. Computerized Criminal History System (CCH) Database (individual criminal files)**

Disposition: Temporary record. Retain data on individuals for 80 years after last entry or until the death of the individual.

**3. Uniform Crime Reporting System (Ucr) Database**

Disposition: Temporary record. Retain information related to a criminal incident for 25 years after the end of the year in which the Crime in Alabama report is published.

■ **Compiling Statistics**

CRIME STATISTICAL PUBLICATIONS

Disposition: PERMANENT RECORD.

■ **Providing Technical Assistance**

LAW ENFORCEMENT OFFICERS' HANDBOOK

Disposition: PERMANENT RECORD.

ALABAMA LAW ENFORCEMENT DIRECTORY

Disposition: PERMANENT.

National Crime Information Center (NCIC) System Operator Certification/Re-certification Examination Questions

Disposition: Temporary Record. Retain until superseded.

National Crime Information Center (NCIC) System Operator Certification/Re-certification Testing Results

Disposition: Temporary Record. Retain until superseded by results of the operator's next applicable re-certification examination.

National Crime Information Center (NCIC) System Operator Training Instruction Packets

Disposition: Temporary Record. Retain until superseded.

■ **Providing Individuals with Reference Assistance to Their Criminal Records**

Requests to Review Criminal Records Files

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

## ■ Administering Internal Operations

### Managing the Agency:

#### WEBSITE

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

#### Commission Appointment Letters

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

#### Routine Correspondence

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

#### Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

#### Legislative Files (drafts of proposed commission-sponsored legislation)

Disposition: Temporary Record. Retain for useful life.

#### Legislative Tracking Files

Disposition: Temporary Record. Retain for useful life.

#### Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the center's approved RDA (copies of transmittal forms to the Archives and the 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.

#### Copies of RDA

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

#### Computer systems documentation (hardware/software manuals and diskettes, warranties)

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

**Managing Finances:**

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

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

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

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

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

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

Grant Project Final Narrative Reports

Disposition: PERMANENT RECORD.

Grant Project Financial Records and Interim Reports

Disposition: Temporary Record. Retain 3 years following the date of notification by the awarding agency that the grant has been programmatically and fiscally closed or 3 years following the closure of its audit report covering the entire award period, whichever is later.

Records documenting requests for authorization from supervisors to travel on official business either within or outside the state, and other related materials, such as travel reimbursement forms and itineraries

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

Records documenting contracts for services or personal property

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

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

- a. Original bid records maintained in the purchasing office of the agency for contracts over \$7500  
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Audit Reports

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

**Managing Human Resources:**

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Application Materials

Disposition: Temporary Record. Retain 1 year.

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

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

Records documenting payroll deduction authorizations

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

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

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

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

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

Records documenting employees' daily and weekly work schedules

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

Records documenting sick leave donations

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

Records of final leave status (cumulative leave)

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

Employee Flexible Benefits Plan Files

Disposition: Temporary Record. General information -- Retain until superseded.

Other (applications, correspondence) -- Retain 6 years.

State Employee Injury Compensation Trust Fund Files

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

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain 3 years.

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

Semiannual Inventory Lists

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

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

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

Property Inventory Cards and/or Computer Files

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

Receipts of Responsibility for Property

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

Real Property Leasing/Renting Records

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

Facilities/Building Security Records (including visitor logs)

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

Motor Pool Vehicle Use Records

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

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

**Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)**

Under the Code of Alabama 1975, Section 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State

Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Alabama Criminal Justice Information Center (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 Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in July of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis--for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.
- 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 agency 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 October 27, 2010.

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

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Date

Receipt acknowledged.

\_\_\_\_\_  
Maury Mitchell, Director  
Alabama Criminal Justice Information Center

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Date