

Governor's Mansion Authority

Functional Analysis

&

Records Disposition Authority

**Presented to the
State Records Commission
April 23, 2014**

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Functional and Organizational Analysis of the Governor's Mansion Authority

Sources of Information

Representative of the Governor's Mansion Authority
Legislative Act 2011-568 (Code of Alabama, Section 41-9-540 to 41-9-549)
Alabama Department of Archives and History Website
Alabama Government Manual (2006), p.413

Historical Context

The first official residence for Alabama's chief executive was acquired in 1911. Before that time governors lived in private homes or even in local hotels during their terms of office. Built in 1906 by Moses Sable, the imposing Beaux Arts brownstone was located on the southwest corner of South Perry and South Streets in Montgomery. A special commission of seven members was authorized by Act No. 24 of the 1911 legislative session to contract for the erection, purchase, or improvement of a residence and the acquisition of grounds. The Sable home cost the state \$46,500. Governor Emmett O'Neal (1911-15) was the first to occupy the mansion.

The current official residence superseded the original executive mansion in 1950. A state commission established by the legislature in that year purchased the home of the late General Robert Fulwood Ligon from his heirs. It was located at 1108 South Perry Street, just a few blocks away from the existing mansion. Purchased at a cost of \$100,000 by the Capitol Building Commission, another \$130,000 was spent on renovations and furnishings.

Originally built in 1907 for General Ligon by the architect Weatherly Carter, the current executive residence is in the Neo-Classical Revival style with Corinthian columns at the front. It features a spacious interior with a double staircase leading from the foyer to apartments above. A formal garden surrounded by a high ornamental wall originally covered the entire back lawn of the property which extends through the block to South Court Street. A pool in the shape of the state of Alabama was built in the mid-1970s, along with a stone grotto with waterfall.

A Governor's Mansion Advisory Board (GMAB) was created in 1971 (Act 1971-2329) to supervise the maintenance of the Governor's Mansion and surrounding grounds, approve alterations to the existing structure, ensure that the private quarters of the Governor's Mansion are in good condition, acquire and maintain suitable furnishings for the reception rooms, and improve the furnishings of the Governor's Mansion. The board consisted of eight (8) members, four (4) of whom were ex officio and four (4) of whom were appointed. The ex officio members were the first lady, the Director of the Alabama Building Commission, the Executive Director of the Alabama Historical Commission, and the Director of the Alabama Department of Archives and History (ADAH), who served as the Secretary of the GMAB. Appointed members included one member appointed by the Speaker of the House of Representatives, one member appointed

by the Lieutenant Governor, and two members appointed by the Governor. ADAH provided, at no charge to the board, the use of equipment, office space, and accounting personnel to process transactions. In 2011, the Legislature passed a new act (Act 2011-568) which is known as First Lady Dianne Bentley Governor's Mansion Preservation Act. This act was added to the Code of Alabama, Section 41-9-540 through Section 41-9-546 and replaced the Governor's Mansion Advisory Board with a Governor's Mansion Authority. The Authority was tasked to "preserve, operate, and maintain" the Alabama Governor's Mansion Complex, which includes "state-owned property within the area bounded on the north by Cromwell Street, bounded on the east by South Perry Street, bounded on the south by Finley Avenue, and bounded on the west by South Court Street" (Code of Alabama, Section 41-9-541). The Complex includes the Governor's Mansion, Hill House, swimming pool, pool house, and Mansion grounds. The Mansion serves as the residence of the Governor and First family; however, public areas are open for regular events and tours. The most frequent events include school tours, candlelight tours, and a Christmas open house.

Agency Organization

The authority is composed of the following seventeen (17) members: Director of the Alabama Department of Archives and History, Director of the Technical Staff of the Alabama Building Commission, Director of Finance, Executive Director of the Alabama Historical Commission, the senior collections curator of the Alabama Department of Archives and History, the chief architectural historian of the Alabama Historical Commission, President of the Alabama Trust for Historic Preservation, President of the Friends of the Alabama Governor's Mansion, President of the Business Council of Alabama, Chairman of the Black Heritage Council, Executive Director of the Landmarks Foundation of Montgomery, a history teacher appointed by the State Superintendent of Education, Director of the State Black Archives Research Center and Museum, Director of the Historic Mobile Preservation Society, President of the Alabama Historical Association, spouse of the Governor, and Executive Director of the Eufaula Heritage Association. At its first meeting each year, members elect a chair, a vice chair, and a secretary, each of whom serves two-year terms. The authority meets once a year and special meetings may be called by the chair if necessary.

Two Montgomery-area nonprofits, the Friends of the Alabama Governor's Mansion and the Master Gardeners, provide ongoing support and assistance to the Governor's Mansion Complex. The Mansion has worked with other local nonprofits in the past, including the Junior League. The Friends of the Alabama Governor's Mansion operate as a nonprofit in conjunction with the Governor's Mansion Authority. They propose projects, which are voted on by the authority, and if approved, they carry out their work with private donations. They have design plans for several rooms of the house, are responsible for providing a storage room for silver and china, and replace items as assistance is needed. The Friends have an established acquisition policy and a memorandum of agreement with the Authority. The Master Gardeners have developed a comprehensive Governor's Mansion Complex landscaping and grounds strategy for plant adjustment and future plant growth planning. They have additionally identified plants on the Mansion grounds, repurposed and moved plants, and led training on plant pruning for Mansion staff. The Gardeners work at the Mansion grounds weekly. The Montgomery Junior League assisted First Lady Patsy Riley in the transformation of the John Blue Hill House into a designer's showcase. This venue has become a part of the Mansion Complex and is utilized for events and

functions.

Agency Function and Subfunctions

The mandated function of the Governor's Mansion Authority is to provide control and preservation of the Governor's Mansion Complex. The agency is one of the agencies primarily responsible for carrying out the Stewardship function of Alabama government. In performance of its mandated functions, the agency may engage in the following subfunctions.

- **Preserving, Operating, and Maintaining.** This authority is authorized to establish, promulgate, and amend rules for the preservation, operation, and maintenance of the Governor's Mansion Complex, which includes the Governor's Mansion itself and the John Blue Hill House located adjacent to the mansion on South Perry Street. Any changes to the historical and architectural integrity of the complex and its structures (exterior, interior, contents, and grounds) require prior approval of the authority. The private living quarters of the Governor and the First Family are exempted from this requirement for interior changes to the contents and any nonstructural decorative changes. The authority may also lease, accept as a gift or loan, or otherwise acquire any property (real or personal) to be used in fulfilling the purpose of the legislation. In addition, the authority is obligated to make the Governor's Mansion Complex available to the public for tours and other events.

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

Managing the Agency: Activities include internal office management activities common to most government agencies such as corresponding and communication; 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.

Analysis of Record Keeping System and Record Appraisal of the Governor’s Mansion Authority

Agency Record Keeping System

The agency currently operates a hybrid record keeping system composed of paper and electronic records. Records captured/maintained in electronic form may include e-mails, spreadsheets for budgets, meeting agendas and minutes, and slideshows, etc. These documents are created using Microsoft Outlook, Microsoft Word, Microsoft Excel, and Microsoft Powerpoint, etc. State budgets are submitted online using the software required by the Executive Budget Office. The agency does not have a special database or utilize any proprietary software.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Governor’s Mansion Authority: Temporary Records and Permanent Records.

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.

- **Governor’s Mansion Preservation Fund Transaction Records.** Code of Alabama, Section 41-9-545 (d) establishes in the State Treasury a fund (known as the Governor’s Mansion Preservation Fund) into which shall be deposited all moneys received by the authority from fees, gifts, donations, grants, bequests, loans, governmental appropriations, or any other sources, either public or private. Money deposited in this fund from any source other than state appropriations for operations shall not revert to the State General Fund, but remains in the Preservation Fund until expended by the authority. This series consists of transaction records of the fund and should be kept for three (3) years for audit purposes.

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

- **Rules and Regulations.** Code of Alabama, Section 41-9-543 (b) authorizes the authority to “establish and promulgate and, from time to time, alter, amend, or repeal rules concerning the preservation, protection, and use of the Governor’s Mansion Complex.” Rules and regulations promulgated by the authority should be kept permanently to document this activity. (RDA page 8) (**Bibliographic Title: Rules and Regulations**)

- **Meeting Agendas, Minutes, and Packets of the Governor’s Mansion Authority.** These records document proposed and executed proceedings of the authority. (RDA page 8) **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Governor’s Mansion Authority)**

- **Deeds of the Land and Property.** Code of Alabama, Section 41-9-543 (c) authorizes the authority to take possession under deed of the land and other property within the Governor’s Mansion Complex. This involves the land and entire contents of the Governor’s Mansion, the Hill House, and any other structure as audited by the State Auditor. This series should be maintained permanently to document the ownership by the authority of the Governor’s Mansion Complex. (RDA page 8) **(Bibliographic Title: Deeds of the Land and Property)**

- **Publications.** In accordance with the Code of Alabama, Section 41-9-544 (9), the authority may “publish or contract for the publication of brochures, books, and periodicals intended for the general public that are promotional, informational, or educational about the buildings, contents, and grounds of the complex.” If published, all such publications should be preserved as part of the State Publication Collection. (RDA page 8) **(Bibliographic Title: State Publications)**

- **Governor’s Mansion Authority Inventory Listings.** Code of Alabama, Section 41-9-545 (c) specifies that “no furniture, equipment, art work, or other items related to the function and operation of the complex may be disposed of by sale or donation except where allowed by law relating to the disposal of broken or damaged state property.” “The authority shall maintain an inventory of every item associated with the complex, its function, and operation.” This series should be kept to comply with the code requirement. (RDA page 8) **(Bibliographic Title: Governor’s Mansion Authority Inventory Listings)**

- **Building Plan, Specification, and Renovation Files.** The Governor’s Mansion Complex has undergone various modifications and updates over the years. Files include as-built drawings, contractor notes, specifications, plans, and before and after photographs of the renovations to all Complex properties. The plans should include snapshots of each planning stage to document the renovation decision as well as the rationale for the decision. All of the listed items are important as they document the changes to the Mansion over time and provide information that will be useful for future renovations. (RDA page 11) **(Bibliographic Title: Building Plan, Specification, and Renovation Files)**
Records Management Recommendation: Records created to support Friends of the Alabama Governor’s Mansion sponsored projects for the Mansion Complex such as repairs, renovations, horticultural projects, etc., including project before and after photos, project files, and plans, should be considered permanent records to be incorporated into this GMA record series.

- **Project Files.** Each year, the Governor’s Mansion Authority partners with the Friends of the Alabama Governor’s Mansion, the Master Gardeners, and other organizations to

complete restoration and improvement projects relating to the Governor's Mansion Complex. Records associated with these project files may include before and after photographs of sponsored projects, material records (for carpet, window treatment, or paint color), and vendor information (for reference for future repairs or modifications). These are appraised as permanent records because they document the process of changes to the Governor's Mansion Complex and provide valuable reference information. (RDA page 11)
(Bibliographic Title: Project Files)

Permanent Records List

Governor's Mansion Authority

Preserving, Operating, and Maintaining

1. Rules and Regulations
2. Meeting Agendas, Minutes, and Packets of the Governor's Mansion Authority
3. Deeds of the Land and Property
4. Publications
5. Governor's Mansion Authority Inventory Listings

Managing Properties, Facilities, and Resources

1. Building Plan, Specification, and Renovation Files
2. Project Files

Governor's Mansion Authority 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 Governor's Mansion Authority. 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 Records 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 Governor's Mansion Authority. Copies of superseded schedules or/and RDAs are no longer valid and should be discarded.
- This RDA shall govern the disposition of all records, regardless of format, created by the agency from its creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created before 1940.
- 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 Governor's Mansion Authority 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 agency may submit requests to revise specific records disposition requirements to the States Records Commission for consideration at its regular quarterly meetings.

■ Preserving, Operating, and Maintaining

RULES AND REGULATIONS

Disposition: PERMANENT RECORD.

MEETING AGENDAS, MINUTES, AND PACKETS OF THE GOVERNOR'S MANSION AUTHORITY

Disposition: PERMANENT RECORD.

DEEDS OF THE LAND AND PROPERTY

Disposition: PERMANENT RECORD.

PUBLICATIONS

Disposition: PERMANENT RECORD.

GOVERNOR'S MANSION AUTHORITY INVENTORY LISTINGS

Disposition: PERMANENT RECORD.

■ Administering Internal

Operations Managing the Agency

Routine Correspondence

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

were created.

Administrative Reference Files

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.

Copy of RDA

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

Service Requests/Orders

Disposition: Temporary Record. Retain until work is complete.

■ **Managing Finances**

Governor's Mansion Preservation Fund Transaction Records

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

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.

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 Properties, Facilities, and Resources:

BUILDING PLAN, SPECIFICATION, AND RENOVATION FILES (Files include as-built drawings, contractor notes, specifications, plans, and before and after photographs of the renovations).

Disposition: PERMANENT RECORD

Records Management Recommendation: Records created to support Friends of the Alabama Governor's Mansion sponsored projects for the Mansion Complex such as repairs, renovations, horticultural projects, etc., including project before and after photos, project files, and plans, should be considered permanent records to be incorporated into this GMA record series.).

PROJECT FILES

Disposition: PERMANENT RECORD.

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 Governor’s Mansion Authority (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 that permanent records held on alternate 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 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 an agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

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

The State Records Commission adopted this records disposition authority on April 23, 2014.

Steve Murray, Chairman
State Records Commission

_____ Date

Receipt acknowledged:

Katherine Lynn, Secretary
Governor's Mansion Authority

_____ Date