

Alabama Office of the Governor



Functional Analysis & Records Disposition Authority

Revision
Presented to the
State Records Commission
April 22, 2015

Table of Contents

Functional and Organizational Analysis of the Alabama Office of the Governor	1
Sources of Information.....	1
Historical Context	1
Agency Organization.....	1
Agency Function and Subfunctions	2
Analysis of Record Keeping System and Records Appraisal	5
of the Alabama Office of the Governor	5
Agency Record Keeping System.....	5
Records Appraisal	5
Permanent Records List	10
Alabama Office of the Governor General Records Disposition Authority	12
Explanation of Records Requirements.....	12
Records Disposition Requirements	13
Governing	13
Appointing.....	14
Reprieving and Commutating.....	14
Enforcing.....	15
Issuing.....	15
Legislating	16
Administering Internal Operations	16
Administering Internal Operations: Managing Finances.....	17
Administering Internal Operations: Managing Human Resources.....	18
Administering Internal Operations: Managing Properties, Facilities, and Resources.....	20
Requirements and Recommendations for Implementing the Records Disposition Authority (RDA).....	21

Functional and Organizational Analysis of the Alabama Office of the Governor

Sources of Information

- Constitution of Alabama 1901, Article V, Sections 112 to 131
- Code of Alabama 1975, Sections 29-3-10; and 36-13-1 to 36-13-34
- Department of Examiners of Public Accounts, Audit Reports on the Office of the Governor
- Website, Alabama Office of the Governor
- Alabama Government Manual
- Alabama Department of Archives and History, Records Retention Schedules for the Office of the Governors (S-1 to S-48)
- Holdings of the Department of Archives and History for the Office of the Governor

Historical Context

The office of governor was in effect as early as 1699 upon the establishment of French Louisiana. The enabling act of Congress of March 3, 1817, based on the Northwest Ordinance of 1787, the Constitution of 1819, and all subsequent constitutions of the State of Alabama incorporated the office. Once Alabama achieved territorial status, the office was retained (complete with its previously authorized powers). (Alabama Official and Statistical Register, 1979, p. 32; 1819 Alabama Constitution, Art. IV, Sec. 1-2)

Agency Organization

The position of governor is selected by popular election for a four-year term of office. He/she must be at least thirty (30) years of age and must have been a U.S. citizen for at least ten (10) years and a resident of Alabama for at least seven (7) years preceding election. The governor serves a four-year term of office and is eligible for no more than one successive additional term. The governor may be removed by impeachment. In accordance with the Code of Alabama, Section 36-13-2, the governor may “employ an executive secretary, a recording secretary, a principal administrative assistant, stenographers, a special investigator, press secretary and administrative assistants whenever and for such period as he/she may deem necessary.

Whenever, in his/her judgment, it is expedient or necessary, the governor may employ an attorney or attorneys to advise him/her in his official capacity, or to institute, conduct or appear in any court or in any civil or criminal case in which the state is interested and to agree with such counsel on his compensation.” Currently, the Office of the Governor is divided into the following administrative units: Executive Office, Chief of Staff, Appointments Office, Communications Office, Legal Office, Legislative Office, Constituent Services Office, Policy Office, and Administration Office. Staff members of the Office of the Governor are employed in the unclassified or exempt staff positions of the State.

Agency Function and Subfunctions

The mandated function of the governor is to act as the chief executive of the state. The Office of the Governor is one of the agencies primarily involved in carrying out the Policy and Statute Development, the Law Enforcement and Emergency Powers, and the Administrative Support Operations functions of Alabama government. In the performance of its mandated functions, the office may engage in the following subfunctions:

- **Governing.** Section 113 of the Constitution of Alabama of 1901 places the supreme executive power of the state in the hands of governor. In general, the governor is empowered to have sovereign/political authority; acts as the Chief Magistrate of the state; formulates public policy of the state; ensures the safety of residents; provides assistance to the needy; and exercises influence on public affairs. Some specific subfunctions of the Office of the Governor are enumerated below.
- **Appointing.** Under the Constitution and Code of Alabama, the governor has been allocated various appointive powers. He/she appoints the heads of the following agencies: Alcoholic Beverage Control Board, Banking Department, Department of Children's Affairs, Department of Commerce, Department of Conservation and Natural Resources, Alabama Emergency Management Agency, Department of Corrections, Department of Human Resources, Department of Economic and Community Affairs, Department of Finance, Alabama State Law Enforcement Agency, Department of Labor, Department of Insurance, Alabama Medicaid Agency, Department of Mental Health, Military Department, Department of Revenue, Department of Senior Services, Department of Transportation, Tourism Department, and others. The governor also appoints general officers of the militia, jury commissions, railway policemen, constables in the event of vacancy, trustees for some state universities, and other officials, as well as replacements for some elected officials in the case of vacancy before the next election. In addition, the governor appoints at least one member to numerous state and local boards, committees, and commissions, including commissions and/or task forces created by executive order. The governor may remove his/her appointees, with or without cause.
- **Reprieving and Commutating.** The governor has the power to grant reprieves and commutations to persons under sentence of death. The governor does not have the power to grant pardons or paroles.
- **Enforcing.** The governor sees that the laws of the state are faithfully executed and acts as the Commander-in-Chief of the military and volunteer forces of the state, except when they are called into service by the United States. When necessary the governor may call out the National Guard to enforce the law and preserve the peace. Sometimes this action is at the request of a local official, especially in response to riots or natural disasters. As Commander-in-Chief, the governor reviews and approves the execution of sentencing of courts-martial. The governor also issues orders to municipal offices and police during emergencies, extradites criminals, and offers rewards for the apprehension of felons. In

addition, the governor must authorize out-of-state travel requests made by state employees.

- **Issuing.** The governor is empowered to issue executive orders. Until rescinded or superseded, an executive order issued pursuant to statute has the force and effect of law, and is effective beyond the expiration of the term of the governor who issued it. In addition, the governor may issue proclamations, commendations, and appreciations for noteworthy people or events that deserve special recognition.
- **Legislating.** As the chief legislator, the governor is empowered to originate legislation that he deems desirable, including the budget for the state. He/she may sign or veto bills passed by the legislature, veto appropriation bills at his/her discretion, and return bills to the legislature with an executive amendment. The governor also convenes the legislature in extraordinary sessions, when deemed necessary. In case of an emergency, the Governor may change the place of a legislative session to a location deemed safe and convenient.
- **Serving.** By virtue of his/her office, the governor serves as an *ex officio* member, president, and/or chairman of numerous agencies, boards, authorities, commissions, colleges, and universities.
- **Administering Internal Operations.** A significant portion of the office's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the governor's office.

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

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

Managing Human Resources: Activities involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant

positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing 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 risk management, security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Alabama Office of the Governor

Agency Record Keeping System

The Office of the Governor operates a hybrid record keeping system composed of paper and electronic records.

Computer Systems

Staff of the Governor's Office uses Internet Quorum (IQ), a Lockheed Martin Internet e-mail management application that runs on Internet Explorer 8, to manage much of its electronic records work flow. However, the office does not use IQ for all of its electronic records. The governor's calendar is managed in Outlook, although the letters accepting or declining invitations are sent through and stored on IQ. Although there is a state e-mail account for the Governor's Office, the account is for the staff of the office, not the governor himself. The governor uses a personal e-mail account. Office staff use state e-mail for their correspondence.

Litigation Hold Policy

The Governor's Office observes an active Litigation Hold Policy applicable to any temporary or permanent records which are relevant to any material threat of litigation, lawsuit and/or other legal or regulatory action requiring the institution and maintenance of a legal hold. This Litigation Hold Policy is applicable to such files and records, whether in paper or electronic form, including any electronically stored information (ESI).

Records Appraisal of the Alabama Office of the Governor

The following is a discussion of the two major categories of records created and/or maintained by the Office of the Governor: 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. Examples of temporary records created by the Office of the Governor are as follows.

Enforcing: Legal Office

- **Extradition Files.** This series consists of documents required in the process of extraditing individuals to or from Alabama. Included are requests for extraditions, copies of indictments and arrest warrants, certificates of exemplification, travel arrangement and other related correspondence. This series should be retained for 75 years to cover the average life of an individual because the staff of the Office of the Governor may need to

use these records to verify an extradition after the case is closed or to continue its efforts in locating the individual through extradition.

- **Commitment Receipt Files.** This series contains the commitment receipt book and accompanying files and paperwork, documenting the governor's commitment of mentally ill prisoners to a state mental hospital. The series should be retained for 75 years to cover the average life of an individual.
- **Election Files.** This series includes the files related to elections proclaimed by the governor such as constitutional amendment elections, special elections, and certification of elections, but not including the official Proclamations and Writs of Election. The documents may include information from and communications to newspapers, as well as copies of notice letters to judges. The official documents are retained by other agencies or encompassed by a permanent series in this RDA. These documents should be retained for 25 years to cover any litigation arising from an election and to provide examples to at least two future governors.

Enforcing: Administrative Office

- **Out of State Travel Requests.** Documents related to travel requests and expense reimbursement requests. Online database used for the submission, review, approval, and reimbursement of out-of-state travel requests/expenditures by state employees. For administrative and fiscal reasons, these documents should be retained for 10 years. This length of time allows for the final audit to take place for an administration as well as any reference/procedural use that may assist an incoming administration in understanding the status of out-of-state travel upon taking office.

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

Governing: Executive Office

- **Administrative Files of the Governor.** This series documents the substantive actions of the governor. These files constitute the official records of the governor's performance of his/her functions, policy formulation, and program initiatives. **(Bibliographic Title: Administrative Files)**
- **Calendars/Schedules of the Governor.** This series is created to keep track of the daily activities and commitments of the governor, and includes documents used to create the governor's daily calendar/schedule. The file also includes official engagements, official invitations, regrets, responses, and correspondence which may be in the form of a documented telephone call, e-mail, or letter. Also included are daily schedules of meetings, scheduled telephone calls, and other activities in which the governor participates. These records document the public activities of the governor. **(Bibliographic Title: Calendars and Schedules)**

- **Meeting Agendas, Minutes, and Packets of the Governor’s Cabinet.** Official records of proceedings of the Governor’s Cabinet. **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Governor’s Cabinet)**
- **Subject Files.** This series may be created/maintained by the staff of the governor and his/her executive level staff (e.g. Chief of Staff, Chief Legal Advisor, and Senior Advisor) to document various subjects/issues related to their office work. These records are usually filed alphabetically by subject/category. **(Bibliographic Title: Administrative Files)**
- **Files of the First Spouse.** This series contains the official correspondence, administrative files, scheduling files, and project files of the First Spouse. Records of events at the Governor’s Mansion are also included. **(Bibliographic Title: Administrative Files of the First Spouse)**

Governing: Office of the Chief of Staff

- **Administrative Files of the Chief of Staff.** Records actions of the Chief of Staff. Files may include memos, reports, correspondence, and other related documents concerning policies, programs, and activities. These records reflect the administration and coordination of state government functions and activities. **(Bibliographic Title: Administrative Files of the Chief of Staff)**
- **Administrative Files of the Senior Advisor.** The governor may appoint a Senior Advisor. This series includes memos, reports, correspondence, and other related documents authored by or directed to the Senior Advisor. **(Bibliographic Title: Administrative Files of the Senior Advisor)**

Governing: Legal Office

- **Administrative Files of the Chief Legal Advisor.** This series contains official correspondence and other related documents of the Chief Legal Advisor and Deputy Legal Advisor(s) that are not filed with other records series. **(Bibliographic Title: Administrative Files of the Chief Legal Advisor)**
- **Legal Case Files.** This series documents legal cases in which the Office of the Governor is a party or involved. Included are case and research files, memos, correspondence, reports, and other related legal documents. Part of the records may be maintained, either in originals or duplicates, in the Office of Attorney General and/or courts having jurisdiction over the cases. **(Bibliographic Title: Legal Case Files)**

Governing: Constituent Service Office

- **Constituent Service Files.** This series documents constituent correspondence received or sent by the Office of the Governor. Records in this series include, but are not limited to,

correspondence, related documents, and tracking logs. **(Bibliographic Title: Constituent Service Files)**

Governing: Policy Office

- **Administrative Files of the Policy Office.** Files may contain information on policy areas on state and national levels and working files used to create policy reports or analysis. **(Bibliographic Title: Administrative Files of the Policy Office)**

Governing: Various Offices

- **Special Project, Task Force Files.** This series includes files on special projects, commissions, and/or task forces that the governor initiated or with which the Governor's Office was involved. **(Bibliographic Title: Special Project, Task Force Files)**

Appointing: Appointments Office

- **Appointment Files.** This series relates to gubernatorial appointments to various government entities, such as boards, commissions, and authorities. Typical documents may include letters from citizens, associations, and legislators nominating appointments, resumes of applicants, legislatively required lists of recommendations, and letters from the Governor notifying appropriate parties about the appointment. This series documents the governor's appointive power, the legal authority of various government entities, and membership composition. **(Bibliographic Title: Appointment Files)**

Reprieving and Commutating: Various Offices

- **Case Files.** This series is composed of various documents received/sent and handled by the staff of various offices (Executive Office, Constituent Services Office, and Legal Office) relating to pardons and paroles. Types of records may include correspondence, memos, reports, briefings, recommendations, and other related materials. **(Bibliographic Title: Pardons and Paroles Case Files)**

Issuing: Legal Office

- **Executive Orders.** Records related to orders and directives issued by the governor. Orders may include creation of commissions, councils, task forces, or other administrative organizations, declaration and administration of government functions related to statewide/local emergencies, filling vacant elective offices, and removal of indicted public officials. **(Bibliographic Title: Executive Orders)**
- **Reward Files.** These files contain documents concerning rewards offered by the governor for information leading to the arrest(s) and conviction(s) for serious crimes committed. **(Bibliographic Title: Reward Files)**

- **Proclamations, Writs of Election.** These files contain official election documents, including special election proclamations and writs of election, as well as proclamations declaring a state of emergency, and constitutional amendment proclamations. **(Bibliographic Title: Proclamations, Writs of Election)**

Issuing: Communications Office

- **Photographs and Audio/Visual Recordings.** This series includes official photographs and other audio/video recordings of activities of the governor. **(Bibliographic Title: Photographs and Audio/Visual Recordings)**
- **Proclamations, Commendations, and Appreciations.** This series consists of proclamations, commendations, and appreciations provided by the governor as a service to residents with the goal of honoring people, celebrating events, or increasing awareness of noteworthy issues among people across the state. **(Bibliographic Title: Proclamations, Commendations, and Appreciations)**
- **Public Relation Files and Press Release Files.** Records concerning public communications and press relations. Included are publications, press releases, media advisories, public service announcements, recordings of governor's TV or radio appearances, and other related supporting materials. **(Bibliographic Title: Public Relation Files and Press Release Files)**
- **Speech Files.** This series contains final copies of speeches given by the governor at various functions (legislature, meetings, interviews, conventions, or other public functions) on different subjects (inaugural address, state of state, state budget, etc.). **(Bibliographic Title: Speech Files)**

Legislating: Legislative Office

- **Legislative Project Administrative Files.** This series may include correspondence, memos, reports, and various versions of bills, review and analyses, copies of letters transmitting legislation, notes, clippings, and other related materials documenting any legislation sent to the legislature by the Office of the Governor. **(Bibliographic Title: Legislation Administrative Files)**

Administering Internal Operations: Communications Office

- **Website and Other Social Media Site(s).** The website of the Office of the Governor contains biographical information on the governor and First Lady/Spouse, news releases, proclamations, executive orders, speeches, flight logs, photographs, videos, cabinet members, staff directory, and contact information. Staff may also use other social media sites to communicate with constituents. **(Bibliographic Title: Website and Other Social Media Site[s]).**

Permanent Records List Alabama Office of the Governor

Governing: Executive Office

1. Administrative Files of the Governor
2. Calendars/Schedules of the Governor
3. Meeting Agendas, Minutes, and Packets of the Governor's Cabinet
4. Subject Files
5. Files of the First Spouse

Governing: Office of the Chief of Staff

1. Administrative Files of the Chief of Staff
2. Administrative Files of the Senior Advisor

Governing: Legal Office

1. Administrative Files of the Chief Legal Advisor
2. Legal Case Files

Governing: Constituent Service Office

1. Constituent Service Files

Governing: Policy Office

1. Administrative Files of the Policy Office

Governing: Various Offices

1. Special Project, Task Force Files

Appointing: Appointment Office

1. Appointment Files

Reprising and Commutating: Various Offices

1. Case Files

Issuing: Legal Office

1. Executive Orders
2. Reward Files

3. Proclamations, Writs of Election

Issuing: Communications Office

1. Photographs and Audio/Visual Recordings
2. Proclamations, Commendations, and Appreciations
3. Public Relation Files and Press Release Files
4. Speech Files

Legislating: Legislative Office

1. Legislative Project Administrative Files

Administering Internal Operations: Communications Office

1. Website and Other Social Media Site(s)

Administering Internal Operations: Managing the Agency (All Office Units)

1. Logs/Indexes/Control Listings Associated with Permanent Records

Administering Internal Operations: Managing Properties, Facilities, and Resources (All Office Units)

1. Semiannual Inventory Lists*

*indicates records that the Office of the Governor determined should be retained permanently and that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff is available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

Alabama Office of the Governor General Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Services Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Office of the Governor. The RDA lists records created and maintained by the Office of the Governor 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 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.

This RDA supersedes any previous records disposition schedules and/or RDAs governing the retention of records of the Office of the Governor. Copies of superseded schedules or/and RDAs are no longer valid and should be discarded.

The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the sub-functions to which the records belong.

Some temporary records listed under the Administering Internal Operations sub-function 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 maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank 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 sub-functions of the Office of the Governor and lists the groups of records created and/or maintain by the office as a result of activities and transactions performed in carrying out these sub-functions. The office may submit requests to revise specific records disposition requirements to the States Records Commission for consideration at its regular meetings.

Governing: Executive Office

ADMINISTRATIVE FILES OF THE GOVERNOR

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

CALENDARS/SCHEDULES OF THE GOVERNOR

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

MEETING AGENDAS, MINUTES, AND PACKETS OF THE GOVERNOR'S CABINET

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

SUBJECT FILES

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

FILES OF THE FIRST SPOUSE

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

Governing: Office of the Chief of Staff

ADMINISTRATIVE FILES OF THE CHIEF OF STAFF

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

ADMINISTRATIVE FILES OF THE SENIOR ADVISOR

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

Governing: Legal Office

ADMINISTRATIVE FILES OF THE CHIEF LEGAL ADVISOR

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

LEGAL CASE FILES

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

Governing: Constituent Service Office

CONSTITUENT SERVICE FILES

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

Governing: Policy Office

ADMINISTRATIVE FILES OF THE POLICY OFFICE

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

Governing: Various Offices

SPECIAL PROJECT, TASK FORCE FILES

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

Appointing: Appointments Office

APPOINTMENT FILES

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

Reprising and Commutating: Various Offices (Executive Office, Constituent Services Office, and Legal Office)

CASE FILES

DISPOSITION: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

Enforcing: Legal Office

Extradition Files

Disposition: Temporary Record. Retain for 75 years after the case is closed.

Commitment Receipt Files

Disposition: Temporary Record. Retain for 75 years after the case is closed.

Election Files

Disposition: Temporary Record. Retain for 25 years after the election results are certified.

Enforcing: Administrative Office

Out-of-State Travel Requests

Disposition: Temporary Record. Retain for 10 years after the end of the calendar year in which the travel occurred

Issuing: Legal Office

EXECUTIVE ORDERS

Disposition: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

REWARD FILES

Disposition: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

PROCLAMATIONS, WRITS OF ELECTION

Disposition: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

Issuing: Communications Office

PHOTOGRAPHS AND AUDIO/VISUAL RECORDINGS

Disposition: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

PROCLAMATIONS, COMMENDATIONS, AND APPRECIATIONS

Disposition: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

PUBLIC RELATION FILES AND PRESS RELEASE FILES

Disposition: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

SPEECH FILES

Disposition: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

Legislating: Legislative Office

LEGISLATIVE PROJECT ADMINISTRATIVE FILES

Disposition: PERMANENT RECORD. Transfer to the Archives at the end of the gubernatorial term.

Administering Internal Operations: Communications Office

WEBSITE AND OTHER SOCIAL MEDIA SITES

Disposition: PERMANENT RECORD.

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

Administering Internal Operations: Managing the Agency (All Office Units)

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.

Logs/Indexes/Control Listings

- a. LOGS/INDEXES/CONTROL LISTINGS ASSOCIATED WITH PERMANENT RECORDS
Disposition: PERMANENT RECORD. Transfer them along with permanent records to the Archives at the end of the gubernatorial term.
- b. Logs/Indexes/Listings/Control Listings not associated with permanent records
Disposition: Temporary Record. Retain for useful life.

Recordings of Meetings

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

Mailing Lists

Disposition: Temporary Record. Retain until superseded.

Shipping Records

Disposition: Temporary Record. Retain 1 year after audit.

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

Disposition: Temporary Record. Retain 1 year after audit.

Copy of RDA

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

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

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

Administering Internal Operations: Managing Finances (All Office Units)

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 until the completion of audit.

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

Disposition: Temporary Record. Retain until the completion of audit.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain until the completion of audit.

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

- a. Original bid records maintained in the purchasing office of the agency for contracts over \$7500
Disposition: Temporary Record. Retain 7 years after end of the fiscal year in which the bids were opened.
- b. 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.

Administering Internal Operations: Managing Human Resources (All Office Units)

Records documenting job recruitment

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

Records documenting application for employment

Disposition: Temporary Record. Retain 1 year.

Position Classification Records

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

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

Disposition: Temporary Record. Retain until the completion of audit.

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

Disposition: Temporary Record. Retain until the completion of audit.

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

- a. Records documenting work history of employees
Disposition: Temporary Record. Retain 25 years after separation of employee from the agency.
- b. Records, located within divisions/offices, which document an employee's work history
Disposition: Temporary Record. Retain 1 year after separation of the employee from the agency.

Records documenting payroll deduction authorizations

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

Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain until the completion of audit.

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

Disposition: Temporary Record. Retain until the completion of audit.

Records documenting sick leave donations

Disposition: Temporary Record. Retain until the completion of audit.

Records documenting final leave status

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

Records documenting verification of accuracy of State Personnel Department records

Disposition: Temporary Record. Retain for useful life.

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

a. Compliance Records

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

b. Complaint Records

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

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims

Disposition: Temporary Record. Retain 12 years after separation of the employee from the agency.

Employees Administrative Hearing Files

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

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

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

Employee Flexible Benefits Plan Files (applications and correspondence)

Disposition: Temporary Record. Retain 6 years.

Administering Internal Operations: Managing Properties, Facilities, and Resources (All Office Units)

SEMIANNUAL INVENTORY LISTS

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

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

Disposition: Temporary Record. Retain until the completion of audit.

Property Inventory Affidavits

Disposition: Temporary Record. Retain until the completion of audit.

Receipts of Responsibility for Property

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

Records documenting the lease or rental of office or warehouse space for the department

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

Incident/Accident Report

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

Security Records

Disposition: Temporary Record. Retain for useful life.

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

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

Requirements and Recommendations for Implementing the Records Disposition Authority (RDA)

Requirement

Under the Code of Alabama 1975, Section 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Alabama Office of the Governor (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 October of each year.

Recommendations

In addition, the Agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

The Agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring the permanent records held on alternative storage media (such as microfilms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.

Permanent records in the Agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.

Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. A draft document may be discarded once the use or need for the draft is concluded. 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, litigation hold, or subpoena.

The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

Electronic mail contain permanent, temporary, or transitory record information, Although e-mail records can be printed out, filed, and retained according to the RDA's requirements, the division should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

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

The State Records Commission adopted this records disposition authority on October 23, 2013.

Steve Murray, Chairman
State Records Commission

Date

By signing below, the agency acknowledges receipt of the retention periods and requirements established by the records disposition authority.

Robert Bentley, Governor
State of Alabama

Date