

Alabama Board for Registered Interior Designers

Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
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Functional and Organizational Analysis of the Alabama Board for Registered Interior Designers

Sources of Information

Representatives of the Alabama Board for Registered Interior Designers
Code of Alabama 1975, Sections 34-15C-1 through 34-15C-19
Code of Alabama 1975, Section 41-22-1 through 41-22-27 (Administrative Procedures Act)
Alabama Government Manual (2010 pg. 511-12)
Government Records Division, State Agency Files (1985-ongoing)

Historical Context

The state legislature established the board in 1982 to examine and register interior designers and to supervise the profession and practice of interior design. The profession was not regulated prior to the creation of the board.

In 2010 the state legislature passed an amended law that further defined the responsibilities of the board relative to the licensing of qualified interior designers, granting them sealing privileges, and recognizing them as design professionals along with architects and engineers.

Agency Organization

The board, appointed by the governor, consists of seven members as follows: five members who are registered interior designers and are engaged in the full-time practice of interior design; one member who teaches in a college or university level interior design program and who is a registered interior designer or was previously registered or certified by the former Alabama State Board of Registration for Interior Design; and one member who is a layman. Of the seven members at least one shall be a member of a minority race, and the total membership of the board shall reflect the racial, gender, urban/rural, and economic diversity of the state. No member may serve more than two consecutive terms of four years. The board elects a chairman and a secretary from its members, meets at least twice per year, and may employ necessary support staff.

Agency Function and Subfunctions

The mandated function of the Alabama Board for Registered Interior Designers is to govern the registration process for those interior designers who choose to obtain the credentials required to seal and submit construction documents for commercial interior projects in certain spaces less than 5,000 contiguous square feet within a building which has a total area of 2,500 square feet or more to building officials for review and permitting purposes. The board is one of the agencies primarily involved in carrying out the Regulatory function of Alabama government. In the performance of its mandated function, the board may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** In accordance with the Administrative Procedures Act (Code of Alabama 1975, Section 41-22-3), the board has the authority to prescribe rules and regulations for those interior designers who choose to obtain the credentials required to seal and submit construction documents for commercial interior projects in certain spaces less than 5,000 contiguous square feet within a building which has a total area of 2,500 square feet or more to building officials for review and permitting purposes. The board also develops appropriate procedures or techniques for the implementation of the rules and regulations. This subfunction encompasses activities pertaining to the establishment and promulgation of rules, regulations, and procedures by the board for carrying out its duties and responsibilities.
- **Registering.** An interior designer may apply for registration as a Registered Interior Designer once they have taken and passed the National Council for Interior Design Qualification (NCIDQ) examination, and have met all other requirements for registration as defined in the Code of Alabama 1975, Section 34-15C-6.
- **Investigating.** The board may conduct investigations and hearings concerning charges against registered interior designers, at any time or place within the state, administer oaths and affirmations, examine witnesses, and receive evidence in the course of any such hearings (Code of Alabama 1975, Section 34-15C-5).
- **Administering Internal Operations.** A significant portion of the agency's activities include general administrative, financial, and personnel activities performed to support its programmatic areas.

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

Managing finances: Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department, 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 Board for Registered Interior Designers

Agency Record Keeping System

The Alabama Board for Registered Interior Designers operates a hybrid system composed of a computer system and paper record-keeping.

Computer Systems: The board currently has two computers (one desktop and one laptop) that utilize Microsoft Windows 2003 and Microsoft Office Professional Edition. Information in the registered designer database, an Excel database, is compiled from paper records. The board has an email account through the State of Alabama.

Paper-based System: The board continues to maintain files for each registered designer in paper form. The board also continues to keep hard copy files for all correspondence from the various agencies of the State of Alabama, NCIDQ, and other essential documentation. Currently, no records are stored off-site.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Board for Registered Interior Designers: 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. Some of the temporary records created by the Alabama Board for Registered Interior Designers are discussed below.

- **Registration Files.** The registration files are created when an applicant is approved for registration. The files contain all information required for approval of the application. The agency recommends a retention of 35 years after the registration files become inactive.
- **Application/Inquiry Files.** These files are created when someone applies or inquires about application to the board. When the application is approved by the board, the files become registration files with a retention of 35 years after becoming inactive. However, if the application is not approved, or if the applicant does not submit all documentation required for registration, the files remain Application/Inquiry Files until such time as they are either approved for registration or completing documentation is received. The agency recommends a retention of 7 years after date of last documentation.
- **Violation Files.** A violation file is created when the board receives a completed complaint form. Documentation kept in the file includes, but is not limited to: the original complaint form, all correspondence to any individuals involved in the complaint and the investigation process, investigative findings, and any legal actions taken by the board. The agency recommends

retention of 15 years after closure.

- **Employee Records and Work History Files.** These records, which are generally maintained as case files, are scheduled for shorter retention in most agencies because the Department of Personnel maintains its copies of the records for much longer. Because the board does not utilize the merit system, the Department of Personnel does not have a copy of the records. The agency recommends a retention of 25 years after separation of an employee from the agency.

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

Promulgating Rules and Regulations

- **Meeting Agendas, Minutes, and Packets of the Board.** The board's meeting agendas, minutes, and packets document the decisions and actions of the board. These records provide important information and documentation of the board's actions that might not be found elsewhere. (RDA page 3-2) **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Board)**

Investigating

- Records documenting this subfunction are found in the agency's meeting minutes as described in the Promulgating Rules and Regulations subfunction above.

Administering Internal Operations

- **Website.** The agency has a website at www.idboard.alabama.gov. Information on the website includes the roster of registered interior designers, the list of board members, the laws affecting the practice of interior design in the state, forms and applications, information on continuing education, and information on how to report a complaint. This series documents the functions of the agency and its interaction with the public. The agency should preserve a complete copy of the website annually or as often as significant changes are made. (RDA page 3-3) **(Bibliographic Title: Website)**
- **Annual Reports.** The annual reports are summary documentation of the activities of the board. (RDA page 3-3) **(Bibliographic Title: Annual Reports)**

Permanent Records List

Alabama Board for Registered Interior Designers

Promulgating Rules and Regulations

1. Meeting Agendas, Minutes, and Packets of the Board

Administering Internal Operations:

1. Website
2. Annual Reports

Alabama Board for Registered Interior Designers 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 board. The RDA lists records created and maintained by the Alabama Board for Registered Interior Designers 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 Board for Registered Interior Designers 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 Board for Registered Interior Designers' 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 records and records-related materials need not be retained as records under the disposition requirements in 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 stationery, blank forms,

or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes 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.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama Board for Registered Interior Designers and lists the groups of records created and/or maintained by the board as a result of activities and transactions performed in carrying out these subfunctions. The board 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**

Register of Administrative Rules

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

Administrative Rule Files

Disposition: Temporary Record. Retain for useful life.

MEETING AGENDAS, MINUTES, AND PACKETS OF THE BOARD

Disposition: PERMANENT RECORD.

■ **Registering**

Registration Files

Disposition: Temporary Record. Retain 35 years after becoming inactive.

Application/Inquiry Files

Disposition: Temporary Record. Retain 7 years after date of last documentation.

Registered Designer Database

Disposition: Temporary Record. Retain until superseded or obsolete.

■ **Investigating**

Violation Files

Disposition: Temporary Record. Retain 15 years after closure.

■ **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.

Board Meeting Notices

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

Listing of Board Members

Disposition: Temporary Record. Retain until superseded.

Appointments to the Board

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

ANNUAL REPORT

Disposition: PERMANENT RECORD.

Internal Procedures

Disposition: Temporary Record. Retain until superceded.

Calendars

Disposition: Temporary Record. Retain 1 year.

Requests for Information

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

Routine Correspondence

Disposition: Temporary Record. Retain 3 years.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

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

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

Copy of RDA

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

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

Recycling Plan

Disposition: Temporary Record. Retain until superseded.

Managing Finances:

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

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

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

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

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

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

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

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

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
Disposition:

- a. Original bid records maintained in the purchasing office of the agency for contracts over \$7,500.00.
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (originals are maintained by the agency itself)
Disposition: Temporary Record. Retain 3 years after the 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.

Managing Human Resources:

Job Recruitment Materials

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

Records documenting salary and wages

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

Records documenting payroll deductions for tax purposes

Disposition: Temporary Record. Retain 25 years after separation of an employee from the agency

Employee records and work history files-generally maintained as a case file

Disposition: Temporary Record. Retain 25 years after separation of an employee from the agency.

Application Materials

Disposition: Temporary Record. Retain 1 year.

Position Classification Questionnaire

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

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

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

Records documenting employee hours worked, leave earned, and leave taken

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

Managing Properties, Facilities, and Resources:

Semiannual Inventory Lists

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

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

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

Property Inventory Cards and/or Computer Files

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

Property Inventory Affidavits

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

Receipts of Responsibility for Property

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

Requirements 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 Board for Registered Interior Designers (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submits an annual Records Disposition Authority Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in October 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 Alabama Board for Registered Interior Designers 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 department, 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 department's approved RDA.

- Permanent records in the Alabama Board for Registered Interior Designers'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 Alabama Board for Registered Interior Designers should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency maintains permanent records solely in electronic format, it should employ an electronic records management system that is capable of tying retention and disposition instructions to records in the system and of purging temporary records when their retention periods expire. The agency is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility for the periods legally required.
- Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA's requirements, the division should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.
- The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the board and inspect records destruction documentation. Government Records Division archivists are available to instruct the department's 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 25, 2012.

By: _____ Date: _____
Edwin C. Bridges, Chairman, by Tracey Berezansky
State Records Commission

**Revision
RDA
04/2012**

Receipt acknowledged:

By: _____ Date: _____
Wallace Williams, Chairperson
Alabama Board for Registered Interior Designers