

Revision to the Retirement Systems of Alabama Records Disposition Authority (RDA)

At the request of the Retirement Systems of Alabama, the State Records Commission approved the following addition to the Retirement Systems of Alabama's RDA:

MANAGING FINANCE

Accounting Division:

b. Payroll Accounting Section:

- Supporting Backup Materials for Monthly Retirement Benefit Distribution Listings for Regular and DROP

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

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

- Supporting Backup Materials for Weekly DROP, Refund, and Supplemental Payroll Reports on Retirement

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

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

d. Investment Accounting Section:

New Records Series:

- Investment Accounting Legal Documents (Related to Contracts, Defaulted Securities, and Securities Litigation)
Disposition: PERMANENT RECORD. Retain in Office.

MANAGING PROPERTIES, FACILITIES, AND RESOURCES

Real Estate Accounting Section:

- Records documenting the lease or rental of office or warehouse

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

New Disposition: PERMANENT RECORD. Retain in Office.

Requirement and Recommendations for Implementing the Records Disposition Authority

Under the Code of Alabama 1975, Section 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Retirement Systems of Alabama (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in 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 agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.
- Electronic mail containing permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the agency should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value

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

The State Records Commission adopted this records disposition authority on October 24, 2012.

Steve Murray, Chairman
State Records Commission

Date

Receipt acknowledged:

David G. Bronner, Chief Executive Director
Retirement Systems of Alabama

Date