

**Alabama Department of Archives and History**

**Functional Analysis  
&  
Records Disposition Authority**

**Revision  
Presented to the  
State Records Commission  
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# **Functional and Organizational Analysis of the Department of Archives and History**

## **Sources of Information**

Staff Members of the Department of Archives and History

Code of Alabama 1975, Sections 12-20-24, 16-32-2, 36-12-5, 41-3-5, 41-6-1 through 41-6-77, 41-9-21, 41-9-510, 41-9-530, 41-9-850, 41-9-922, and 41-13-20 through 41-13-22

Alabama Government Manual (1998)

Department of Archives and History Audit Report for October 1, 1993 through September 30, 1996

Assessing Alabama's Archives: A Plan of the State's Historical Records (1985)

Combined Task Force of ADAH (March 1996)

Holdings of the Department of Archives and History

## **Historical Context**

When Alabama achieved statehood in 1819, the records of the Alabama Territory were split between officials of Alabama, Mississippi, and the federal government. The legislature passed a law in 1820 that required the Secretary of State's office to be responsible for the care of legislative records. The Secretary of State was also responsible for consolidating and copying British, French, and Spanish records in Alabama relating to Alabama's colonial period. The Alabama Historical Society was created in 1850 to try and preserve the history of the state. The society was not very successful and its members began to lose interest. The society was reorganized in the mid-1870's, but had only a meager collection. The State Superintendent of Army Records collected the records of Alabama's soldiers during 1863-1865. Until the turn of the century, there were few other efforts to preserve and/or promote Alabama's history. In 1898, the legislature created a historical commission to study the condition of Alabama's historical records. Based upon the recommendations of this commission, the legislature, with the support of the governor, created the Department of Archives and History in 1901 with the mandate to collect all historical sources and to encourage research. The department soon became a major source for reference for the legislature. In 1915, the legislature passed a law that required all public officials to transfer all non-current records to the department. During the next several decades the department began to increase its activities including attempts to work with counties and their records. In 1945, the legislature acknowledge this work with the counties, passing a law allowing non-current county records to be deposited in the department. From 1936 to 1942, the Historic Records Survey, a federally funded relief program, produced guides and inventories to manuscripts and public records across Alabama. These guides and inventories became the basis for many of the reference resources of the department. In 1955, the State Records Commission (see separate RDA) and the County Records Commissions were established to identify records of historical value and to authorize the destruction of records that have no long-term use. The Local Government Records Commission (see separate RDA) was created in 1987 to replace the County Records Commission. The director of the Department of Archives and History is chairman of each of these commissions.

## Agency Organization

The organizational structure of the Department of Archives and History, hereafter referred to as the department, is as follows: a Board of Trustees governs the department. The board is made up of one member from each congressional district and the governor. The board elects new members, subject to Senate confirmation, and determines the qualifications of appointed members. Board members serve six-year terms of office and meet quarterly. The board adopts rules and employs a director for a six-year term. The director serves as secretary to the board. The department's legislation provides for archivists, librarians, stenographers, and other personnel (Code of Alabama 1975, Section 41-6-9). An organizational chart is attached.

## Agency Function and Subfunctions

The mandated functions of the Department of Archives and History are to ensure the preservation of Alabama's historical records and artifacts and to promote a better understanding of Alabama's history. It is one of the agencies responsible for performing the Stewardship function of Alabama government. In performance of its mandated functions, the Department of Archives and History may engage in the following subfunctions.

- **Identifying Records and Artifacts of Historical Value.** The department works to identify records and artifacts that document the history of the state. Members of the government records appraisal staff research and analyze agencies and their records to identify the government records of the state that are historically valuable. The appraisal process results in the creation of a functional analysis of state government and its agencies. As the staff of the State and Local Government Records Commissions, the Government Records Division staff members create a records disposition authority for the agency that is analyzed. The records disposition authority designates the retention periods for all records and also identifies records that are archival.

Members of the public frequently bring in items for identification. The staff of the department may identify the items and provide what background information they can. Some of these items are later donated to the department.

- **Acquiring Materials.** The Department of Archives and History is responsible for collecting materials documenting the overall history and administration of the state and its government. The department obtains records and artifacts of the government and people of the state after they have been deemed archival. These records and artifacts are obtained by transferring both the ownership of the item and the item itself from an agency, individual, or group to the department. Artifacts and records are given an accession number and then placed into storage. The department also acquires reference materials including books and serials.

- **Arranging and Describing Holdings.** After acquisitions are in the holdings of the department, staff members arrange and place them into proper containers or storage, if necessary, and then describe the acquisitions. For records, description includes entering bibliographic and control information into a computerized format that is then transmitted to the RLIN database in Mountain View, California. These descriptions and container listings are printed and become part of the finding aids and reference files of the department. Descriptions for artifacts are created by filling out Museum Catalog Worksheets. These worksheets are the only source of descriptive information for many artifacts in the collection. Information about the department's newspaper collection is entered into the national On-line Computer Library Center (OCLC) bibliographic database, which serves as a finding aid.

The department promotes the description of all Alabama government records and also monitors bibliographic standards.

- **Preserving Records and Artifacts.** The department is responsible for promoting the preservation of the archives of the state both in its own holdings and around the state. Work in this area includes supporting statewide preservation initiatives; providing staffing for the Alabama Historical Records Advisory Board; responding to requests for professional preservation assistance and advice from state and local agencies and organizations across Alabama; and performing limited conservation treatment on records and artifacts.

The department cooperates with and assists other agencies and the public to preserve artifacts/records by giving advice on preservation techniques and on disaster planning and recovery. In-house microfilming projects of the department include the filming of current and historical newspapers. Department staff members presently work with state and local agencies, historical societies, museums, the Genealogical Society of Utah, and local historical groups to preserve historical records and artifacts through onsite visits and by offering advice and information. Members of the department's staff also work to ensure the quality of microfilm copies of historic records by making onsite visits, giving recommendations, and offering microfilm inspection and storage at the Microfilm Preservation Storage Vault. The work of the Department of Archives and History in this area coordinates with the work of the State and Local Government Records Commissions in issuing guidelines and policies for long-term and archival records.

The department preserves and manages manuscripts, photographs, maps, posters, pamphlets, rare books, architectural records, audiovisual records, artifacts, newspapers, and government records in the holdings of the Archives. Examples of preservation techniques include microfilming, encapsulation, photocopying onto acid-free paper, making minor repairs if appropriate, and providing improved environmental and storage conditions to stabilize material. Other preservation activities undertaken by the department include monitoring environmental conditions and disaster planning.

Staff members also attend workshops and give presentations on preservation techniques such as disaster planning and recovery, reformatting, and conservation methods. These programs enable staff and government officials to better preserve the archives of the state.

- **Providing Reference Assistance and Access.** Providing reference assistance to the history of the state is a subfunction of the department. Staff members provide researchers with reference information about Alabama history and help them use the department's collections for research. The department maintains a non-permanent collection of reference books and other sources of information to assist researchers. Section 41-6-2 of the Code of Alabama 1975 requires the department to publish an official and statistical register. At this time, the Archives's website contains the information that was formerly published in the register.

Researchers must sign in to use the ready reference facilities and must also register to use the archival reference materials. The reference facilities enable researchers to browse through card catalogues and open stacks of periodicals, books, and microfilm. Archival reference provides finding aids that detail the holdings of the Archives and give location numbers that are used by the staff to locate the record requested by the patron. Members of the staff also coordinate the outsourcing of microfilm and photographs to aid patrons in obtaining copies; answer reference questions over the phone and through correspondence including e-mail; and maintain the reference collection. The museum's curators can provide limited access to the artifacts of the collection upon request.

- **Interpreting/Teaching.** The department is responsible for exhibits, publications, and programs about Alabama history. This includes developing and maintaining gallery spaces and displays of archival holdings. Artifacts are also loaned to other qualified institutions through the loan program. Staff members of the department provide educational opportunities to members of the public. Services provided include education workshops such as how to use the department's services and how to perform genealogical research, and intern and volunteer programs.

Services provided to the public include museum visitation services, docent led tours and programs, interpretative programs such as the monthly ArchiTreats lecture series, the Alabama Studies Symposium, the Hands On Gallery, workshops, special programs, and a web page. The web page includes information about Alabama and the Department of Archives and History. Section 41-6-8 of the Code of Alabama 1975 requires the director of the Department of Archives and History to edit the Alabama Historical Quarterly and other historical publications.

- **Administering Grants and Cooperative Projects.** The department occasionally receives grants to assist in the development of museum displays, the identification and preservation of the records and artifacts of the state, and the interpretation and promotion of Alabama history. The department has had grants in the past to help preserve the records of state and local governments, to microfilm newspapers, to conduct programs in history, to preserve manuscript materials, to catalog museum collections, and to work with the New York State Archives and Records Administration and the New York State Library, Manuscripts, and Special Collections to create guidelines for the arrangement and description of cartographic archives.

The department also administers cooperative projects with other agencies or groups. An example is the Intergovernmental Cooperative Appraisal Program (ICAP) Food Stamp Records Project. The purpose of the ICAP project was to enable organizations around the country to study the feasibility of a cooperative appraisal program using the food stamp system as a model.

- **Serving on Commissions, Boards, and Committees.** The Director of the Department of Archives and History is mandated by the Code of Alabama to serve on numerous boards and commissions of the state. These bodies include the Art Commission, the Historical Commission, the State Capitol Advisory Committee, the Governor's Mansion Advisory Board, the Alabama Men's Hall of Fame, Stonewall Jackson Memorial Fund, and the Alabama Agriculture Museum Board. The Director is also the chair of both the State and Local Government Records Commissions. Records of the Governor's Mansion Advisory Board are maintained at the Department of Archives and History but are covered in the RDA for the Governor's Mansion Advisory Board.

Staff members of the department serve on boards and committees within the department and also of outside entities such as National Association of Government Archives and Records Administrators (NAGARA), Association for Information and Image Management (AIIM), Society of American Archivists (SAA), and Society of Alabama Archivists (SALA). Work on these boards and committees may include setting up meetings and programs and giving presentations.

- **Serving as Staff for Other Agencies.** Archives's staff members serve as the staff for the Alabama Academy of Honor, the Stonewall Jackson Memorial Fund, the State and Local Government Records Commissions, and the Friends of the Alabama Archives.

The Alabama Academy of Honor honors distinguished living citizens of the state and consists of no more than 100 living members plus the current governor and all living former governors. The Academy holds annual meetings for the election of new members. The records of the Academy of Honor are maintained at the Department of Archives and History.

The Board of Trustees of the Alabama Stonewall Jackson Fund is made up of the State Superintendent of Education, the Director of the Department of Archives and History, and the president of the Stonewall Jackson Memorial Fund, Incorporated. The Department of Archives and History invests funds appropriated to the Stonewall Jackson Memorial Fund. The income from these funds is used for scholarship/loans that are given out to qualified applicants who submit essays on Stonewall Jackson. The scholarship/loans are given out to the applicants with the best essays and must be repaid. The records of the Alabama Stonewall Jackson Fund are maintained at the Department of Archives and History.

The Department of Archives and History also provides staff for the Friends of the Alabama Archives, a private organization that raises funds to support department programs, creates newsletters, gives out fellowship awards, and brings in lecturers.

- **Storing and Recycling Temporary Records.** The Department of Archives and History provides for the offsite storage of non-archival paper records at the State Records Center (SRC). Inactive short-term records are stored at the SRC until they are eligible for destruction. Access is provided to the agency that owns the records. The staff of the Records Center recycles the records when retention requirements have been met and proper authorization has been given by the State Records Commission.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

**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; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

## **Subfunctions No Longer Performed**

- **Establishing Disposition Requirements.** Prior to the creation of the State Records Commission (1955), the Department of Archives and History was responsible for determining the disposition of records. From 1945 to 1955, public records could be destroyed upon the recommendation of the record custodian and the consent of the director of ADAH. From 1963 until 1987 any custodian of municipal records could file a petition with the municipality's governing body, requesting permission to destroy specified series of public records. The governing body would then set a date for a public hearing and notify the director of ADAH. After 1987, the disposition requirements for records are established by either the State or Local Government Records Commission.

# **Analysis of Record Keeping System and Records Appraisal of the Department of Archives and History**

## **Agency Record Keeping System**

The department currently operates a hybrid record keeping system composed of a computer system, microfilm, and paper record-keeping.

**Paper-Based System:** The department utilizes the State Records Center for the storage of inactive temporary records and destroys records when eligible.

**Microfilm-Based System: Micrographics:** Newspapers and other selected records are microfilmed by the department. The film is processed by an outside lab. Reference copies of the microfilm are maintained in the reference room and the closed stacks, service copies are maintained in the stacks of the Archives building and at the State Records Center, and masters are stored in the Microfilm Storage Preservation Vault located at the State Records Center.

**Computer-Based System:** The Department of Archives and History uses computers that run in Windows 95 with a server running Novell Netware 5 that is backed up weekly on 12 gigabyte tapes. Backup tapes are stored in the room with the server and are on a ten week rotation. Archival records stored on the server include recent accession logs. The holdings inventory databases are created in Paradox and maintained only in electronic format.

Some collections information is entered into the Research Libraries Information Network (RLIN) system maintained by the Research Libraries Group, of which the Department of Archives and History is a member. This information is stored in Mountain View, California, and is accessible from terminals in the department as well as from terminals in other member organizations. The information is jointly owned by the department and RLG. Back-up tapes are sent to the Department of Archives and History annually if requested.

Information about the department's newspaper collection is entered into the On-line Computer Library Center (OCLC), which is a national bibliographic database maintained in Dublin, Ohio, that is accessed through OCLC terminals or through the Internet.

Buildings in the Capitol Complex, including the Archives' building have a Pegasys 1000 card key access protection system. This system allows the system administrator to control who has access to secure areas. The Department of Archives and History, the House of Representatives, and the Senate have terminals that allow their own security personnel to be systems administrators for their respective agencies. Security information, such as the issuance of card keys, is entered into the Pegasys 1000 card key system maintained by the Information Services Division of the Department of Finance. This system gives access to areas of the building, tracks access and alarms, and monitors entrance into secure areas. The information is entered by the system administrator and stored on the system at the Finance Department. It can be retrieved via any of the outside terminals. Property inventory is maintained in a DPac database connected to the State Auditor's Office.

The Department of Archives and History maintains a website at <http://www.archives.state.al.us>. Information about the department and Alabama History and Government is found here. Many of the staff have Internet access and external e-mail. Almost all staff have internal e-mail capabilities.

## **Records Appraisal**

The following is a discussion of the three major categories of records created and/or maintained by the Department of Archives and History: Temporary records, Permanent Records, and Records No Longer Created.

**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. Some of the temporary records created by the department are discussed below:

- **Microfilm Preservation Vault Transmittal/Evaluation Files.** These records document the transfer of film to the vault for storage and/or the evaluation of the film by vault staff. Prior to microfilm being placed into the vault, staff members evaluate the film and fill out an evaluation form. These files contain those forms as well as any correspondence regarding the form. If microfilm is returned to an agency, any question about the Archives' care of that microfilm will occur shortly after the return; thus, the retention needs to be three years after the film leaves the vault.
- **Microfilm Processing/Duplicating Lab Activity Files.** These files contain the records of the activities of ADAH's inactive microfilm lab. They include monthly reports regarding the number of rolls in the vault and logs for processing and duplicating.
- **Microfilming Project Progress Files.** These files are created for the various microfilming projects undertaken by the department. Included in these files are production reports, calendars, title targets, film logs, retake orders, statistics, and lists of names of newspapers.

- **Microfilm Job Order Files.** When a job order is placed, a file is created. Included in the file are job orders, correspondence, invoices, vouchers, copies of checks, and receipts. The lab shut down in 1995. Prior to its closure, ADAH staff performed the processing and duplication of film, therefore evaluations of the product were performed. These evaluations documenting the quality of the film were filed with the job orders. Once the lab shut down, the staff only coordinated the process with an outside vendor, therefore no evaluation was created after 1995. Because of this, the post 1995 files are only required for audit purposes, but it is necessary to retain the pre-1996 files longer to document the quality of the work performed by the lab.
- **Quality Control of ADAH Microfilm Processing/Duplicating Lab Operation Files.** These files document the quality of the lab and its work. Included in these files are reports to and from Kodak, tests results, and monitoring logs. The files lose their administrative and legal value seven years after the closure of the lab.
- **Microfilm, Digital Imaging, and Records Management Survey Files.** The department surveys various agencies to determine the condition of their records. The results of the surveys are used to help the department identify agencies that need help preserving their records. The department has also conducted surveys of governments in Alabama that used digital imaging to assist the National Archives and the National Association of Government Archives and Records Administrators (NAGARA) in their national survey program.
- **Unimplemented Architecture and Building Plans.** There have been numerous proposals to make changes/ additions to the Archives Building. These plans are the result of some of those proposals. They retain no long term value.
- **Administrative Reference Files.** These files contain reference information and copies of documents that are used by staff to assist them in carrying out their tasks. Once their usefulness to the user has expired, these files retain no value.
- **Researcher Registration Files.** A researcher registration file is created for each patron on their first visit each year to the reference section. The file consists of a registration form and a copy of all call slips completed by the researcher during the year. These files provide information for studies in collection use over long periods of time. They also are needed for security purposes in documenting researcher use in the case of recovery of missing items, but this use is limited.
- **Program/Workshop Files.** These files are created by staff members as reference files for their work with boards and committees within the department and also with outside entities such as National Association of Government Archives and Records Administrators (NAGARA), Association for Information and Image Management (AIIM), Society of American Archivists (SAA), and Society of Alabama Archivists (SALA). The files include information regarding meetings, programs, and presentations, and are retained until audited.

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

**Identifying Records and Artifacts of Historic Value:**

- **State and Local Government Agency Files.** These records, divided by type of agency (state, county, or municipality) include correspondence with agencies, memos documenting phone conversations and onsite visits, reports on the condition of microfilm operations of the agency, digital imaging certification files, and records analysis worksheets. Copies of transmittals, destruction notices, and background research materials may be removed from these files and destroyed as reference files. The correspondence, memos, reports, and worksheets are necessary to document the reasoning behind appraisal decisions as well as contacts with agencies. (RDA page 3-2) **(Bibliographic Title: State and Local Government Agency Files )**
  
- **Surveys/Reports of Historic Records and Properties.** The Archives creates records that document the survey of historic items in the state. In the past, these records have included the photographs and files of the surveys done through the work of the Works Progress Administration to identify historic records and properties, as well as surveys done by the Department of Archives and History. Currently the department is creating functional analyses that identify the historic records created by state agencies. These surveys/reports document the identification subfunction of the Archives as well as the location of historic items in the state. The records also document the activities of the WPA. (RDA page 3-2) **(Bibliographic Title: Surveys/Reports of Historic Records and Properties)**

**Acquiring Materials:**

- **Transmittals and Accession Records.** A transmittal or a deed of gift transfers the ownership of an item or a group of items to the Archives. Transmittals and deeds of gift are necessary to document the legal ownership of items by the Archives. Post-1985 transmittals and deeds of gift are found in Accession Files. Prior to August 1985, Transmittals and deeds of gift are not in Accession Files, because the files were not created.

Accession Logs supplement the Accession Files. The card files and bound volumes also document the donation of material to the department. The card files serve as a useful supplement to the pre-1985 Accession Logs. These records are necessary to document the transfer of legal title and physical custody of materials to the department. (RDA page 3-2)**(Bibliographic Title: Accessioning Records)**

- **Deaccessioned/Released Items Files.** These files document the return/release of custody from the department. They are necessary to prove that the item is no longer the responsibility of the department. (RDA page 3-2) (**Bibliographic Title: Deaccessioning Records**)
- **Declined Item Files.** When an item is offered to the department but is turned down, a file is created to document the decline of the offer. These files are used to verify that the item was not accepted by the Archives. (RDA page 3-2) (**Bibliographic Title: Declined Item Files**)
- **Ready Reference Materials Donor Files.** These files document the acquisition of the reference materials that are in the possession of the Archives. They are necessary to document donation of the materials. (RDA page 3-2) (**Bibliographic Title: Ready Reference Materials Donor Files**)

#### **Arranging and Describing Holdings:**

- **Museum Collection Catalog Information.** These records contain much of the known information about each artifact in the Archives' collection. The descriptions and other information document the history of the item and are necessary to place the object in context. This information supplements the information in the Accession Logs and Files and the Card Files. (RDA page 3-2)
- **Control Files.** These files contain copies of transmittals, RLIN printouts, finding aids, other bibliographic information, and newspaper control records. Some control files contain museum preservation files that should be separated. The files should be periodically weeded of routine information and copies. The permanent file consists of records documenting evaluations of and actions taken on holdings of the department. (RDA page 3-2)

#### **Preserving Records and Artifacts:**

- **Museum Preservation Files.** These records document work performed on holdings and act as part of the curatorial files. They may be found in control files. These records document preservation work performed on the objects and are necessary to ensure proper documentation of the history of the record. These records are currently in the control files of the Public Services Division. (RDA page 3-3)

#### **Providing Reference Assistance and Access:**

- **Records documenting permission to use ADAH collections for publications (Permission to Publish Contract).** Users must obtain approval to reproduce images or quote, cite, or publish materials from the collections of the Alabama Department of Archives and History. These agreements should be maintained permanently to document permission provided to use the collections for a work, to ensure that the publisher sends the department a copy of the

publication, and to document a significant function of the Archives. (RDA page 3-4)

### **Interpreting/Educating:**

- **Incoming/Outgoing Collection Loan Files and Registers.** These records document the loan of a collection or item to an institution or to the Department of Archives and History. (RDA page 3-5) **(Bibliographic Title: Incoming Collection Loan Files and Registers; Outgoing Collection Loan Files and Registers)**

### **Administering Grants and Cooperative Projects:**

- **Grant Project Final Reports.** These files are the final reports of the grants managed by the Department of Archives and History. Grant projects include the WPA projects, the NEH Grant for Civil Rights Era Records, the NEH US Newspaper Project, numerous grants from the Alabama Humanities Foundation, and other grants administered by the department. Grant Program Final Reports document the activities of the grant. (RDA page 3-5) **(Bibliographic Title: Grant Project Final Reports)**
- **Cooperative Program/Project Reports.** The department works with other agencies and organizations on projects. Project reports document the department's work on the project. (RDA page 3-5) **(Bibliographic Title: Cooperative Program/Project Reports)**

### **Serving on Commissions, Boards, and Committees:**

- Permanent records providing summary documentation of this subfunction are found in the director's files as described in the Administering Internal Operations subfunction.

### **Serving as Staff for Other Agencies:**

- **Records of the Academy of Honor.** These records include nominations, ballots, minutes, and correspondence of the Academy of Honor. They are necessary to document the activities of the Academy and the election of members to it. Financial records of the Academy of Honor fall under the records categories listed under Administering Office Operations. (RDA page 3-6) **(Bibliographic Title: Records of the Academy of Honor)**
- **Records of the Stonewall Jackson Memorial Fund.** These records include press releases, correspondence, submitted essays, and judge's ratings of the essays. They are necessary to document the activities of the fund. The financial records of the fund fall under the records categories listed under Administering Office Operations. (RDA page 3-6) **(Bibliographic Title: Records of the Stonewall Jackson Memorial Fund)**

### **Storing and Recycling Temporary Records:**

- **State Records Center Agency Files.** These files include transmittals from state agencies to the State Records Center and witnessed destruction notices. They are necessary to document the Storing and Recycling Temporary Records subfunction as well as the legal authority to receive and dispose of the records. (RDA page 3-6) (**Bibliographic Title: State Records Center Agency Files**)

### **Administering Internal Operations:**

- **Publications.** The department creates numerous publications including procedural leaflets and museum handouts. These publications provide documentation of department procedures and education activities. (RDA page 3-7) (**Bibliographic Title: Publications**)
- **Quarterly Reports.** The quarterly report is a compilation of statistics and information that provides a summary of the activities of the department for the quarter. The department does not publish an annual report. (RDA page 3-7) (**Bibliographic Title: Quarterly Reports**)
- **Policies and Procedures.** These records include internal documents created by the department that explain its policies, such as written procedures regarding the use of the facilities and services of the department. Until the department has an entry in the Administrative Code, these policy documents provide the only documentation of these procedures. (RDA page 3-7) (**Bibliographic Title: Policy Documents**)
- **Press Releases.** State agencies release information to the news media. This series consists of statements or announcement concerning the department and its work issued for distribution to the news media and the public. Included may be copies of news releases, published articles, photographs, typescripts of broadcast announcements, and other reference material. A file may contain background data relative to the subject of the news release or newspaper clippings of the release. This series needs to be kept permanently as documentation of the agency's attempt to keep the public informed and to promote departmental programs. (RDA page 3-7) (**Bibliographic Title: Press Releases**)
- **Director's Files.** Included in these files are correspondence, information on speaking engagements, programmatic records, minutes of the Board of Trustees, and documentation of dealings with the State Legislature. They are necessary to document the administration of the department and its policies and procedures.(RDA page 3-7) (**Bibliographic Title: Administrative Files**)
- **Division Head/Manager Files.** These files include correspondence, meeting minutes of various committees and the State Historical Records Advisory Board, planning documents, and programmatic records. They document the divisions' activities and procedures. (RDA

page 3-7) (**Bibliographic Title: Administrative Files of the Government Records Division; Administrative Files of the Public Services Division**)

- **Minutes of the Board of Trustees.** As a record of meetings of the Board of Trustees, these minutes are necessary to document the board's actions. (RDA page 3-7) (**Bibliographic Title: Minutes of the Board of Trustees**)
- **Search Records.** These records document the department's process of searching for and selecting candidates for director. (RDA page 3-8) (**Bibliographic Title: Administrative Files of the Board of Trustees**)
- **Building Plans and Specifications.** The Archives Building has undergone various renovations/ remodeling. These plans document the changes to the historic Archives Building and also provide information that will be useful for future renovations. (RDA page 3-8) (**Bibliographic Title: Building Plans and Specifications**)
- **Website.** The board has a website at [www.archives.state.al.us](http://www.archives.state.al.us). Information on the web includes information for genealogists and historians, teachers and students, museum visitors, and state and local officials. The website contains contact information and can be used to glean information about Alabama or the Department of Archives and History. The website can also be used to access such data as informational leaflets related to records management. The disposition statement says to preserve a complete copy of website annually or as often as significant changes are made. (RDA page 3-9)

**III. Records No Longer Created.** The following records were created by the Department of Archives and History over time, but are no longer created in this same format. In most cases these records were created for a purpose that no longer exists, such as the creation of a disposition for individual records series without an overview of the entire agency.

**Establishing Disposition Requirements:**

- **State and Local Government Disposition Files/Cards.** The records of the approval of dispositions are necessary to document this subfunction that is now performed by the State and Local Government Records Commissions. (**Bibliographic Title: State and Local Government Disposition Files/Cards**)

# **Permanent Records List**

## **Department of Archives and History**

### **Identifying Records and Artifacts of Historic Value:**

1. State and Local Government Agency Files
2. Surveys/Reports of Historic Records and Properties

### **Acquiring Materials:**

1. Transmittals and Accession Records
2. Deaccessioned/Released Items Files
3. Declined Item Files
4. Ready Reference Materials Donor Files

### **Arranging and Describing Holdings:**

- \*1. Collection Catalog Information
- \*2. Control Files

### **Preserving Records and Artifacts:**

- \*1. Museum Preservation Files

### **Interpreting Alabama History:**

1. Incoming/Outgoing Collection Loan Files and Registers.

### **Administering Grants and Cooperative Projects:**

1. Grant Project Final Reports
2. Cooperative Program/Project Reports

### **Serving as Staff for Other Agencies:**

1. Records of the Academy of Honor
2. Records of the Stonewall Jackson Memorial Fund

### **Storing and Recycling Temporary Records:**

1. State Records Center Agency Files

**Administering Internal Operations:**

1. Publications
2. Quarterly Reports
3. Policy Documents
4. Director's Files
5. Division Head/Manager Files
6. Minutes of the Board of Trustees
7. Search Records
8. Building Plans and Specifications
9. Web Sites

**Establishing Disposition Requirements:**

1. State and Local Government Disposition Files/Cards

\*indicates records that ADAH anticipates will remain in the care and custody of the creating agency. ADAH staff members are 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 Department of Archives and History 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 Department of Archives and History. 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 governing the retention of the Department of Archives and History. 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 record-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 Department of Archives and History and lists the groups of records created and/or maintained by the agency as a result of activities and transactions performed in carrying out these subfunctions. The department may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

### **■ Identifying Records and Artifacts of Historical Value**

STATE AND LOCAL GOVERNMENT AGENCY FILES

Disposition: PERMANENT RECORD.

SURVEYS/REPORTS OF HISTORIC RECORDS AND PROPERTIES

Disposition: PERMANENT RECORD.

### **■ Acquiring Materials**

TRANSMITTALS AND ACCESSION RECORDS

Disposition: PERMANENT RECORD.

DEACCESSIONED/RELEASED ITEMS FILES

Disposition: PERMANENT RECORD.

DECLINED ITEMS FILES

Disposition: PERMANENT RECORD.

READY REFERENCE MATERIALS DONOR FILES

Disposition: PERMANENT RECORD.

Acquisition Tracking Records  
Disposition: Temporary Record. Retain for useful life.

■ **Arranging and Describing Holdings**

COLLECTION CATALOG INFORMATION (including Museum Catalog Worksheets)  
Disposition: PERMANENT RECORD.

Control Worksheets/Logs (Archives Manuscripts Control (AMC), Book Cataloging Forms, and Inventory Control Records)  
Disposition: Temporary Record. Retain 1 year after data verification.

CONTROL FILE  
Disposition: PERMANENT RECORD.

Holdings Inventory Logs/Databases (government records, newspaper, vault, service master, and special collections)  
Disposition: Retain in office.

■ **Preserving Records and Artifacts**

PRESERVATION FILES  
Disposition: PERMANENT RECORD.

Microfilm Preservation Vault Transmittal/Evaluation Files  
Disposition: Temporary Record. Retain 3 years after film leaves the vault.

Microfilm Silver Master Evaluation Forms  
Disposition: Temporary Record. Retain for life of film.

Microfilm Processing/Duplicating Lab Program Files  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

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

Microfilm Job Order Files  
Disposition: Temporary Record. Pre-1996: Retain until October 2005.  
Post-1995: Retain 3 years after end of the fiscal year in which the records were created.

Quality Control of ADAH Microfilm Processing/Duplicating Lab Operation Files  
Disposition: Temporary Record. Retain until October 2005.

Condition Reports of Reference Copies of Microfilm  
Disposition: Temporary Record. Retain for useful life.

Microfilm Preservation Vault Log  
Disposition: Temporary Record. Retain for useful life.

Recording Hygrothermograph Charts.  
Disposition: Temporary Record. Retain 5 years.

Microfilm/Digital Imaging and Records Management Survey Files  
Disposition: Temporary Record. Retain 5 years.

## ■ **Providing Reference Assistance and Access**

RECORDS DOCUMENTING PERMISSION TO USE ADAH COLLECTIONS FOR  
PUBLICATIONS (PERMISSION TO PUBLISH CONTRACT)  
Disposition: PERMANENT RECORD.

Finding Aides  
Disposition: Temporary Record. Retain until superseded or obsolete.

Newspaper Check-in Log  
Disposition: Temporary Record. Retain 1 year following the year created.

Microfilm Tracking Log  
Disposition: Temporary Record. Retain 1 year following the year created.

Photograph Order Log  
Disposition: Temporary Record. Retain 1 year from the date order is mailed to customer.

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

Interlibrary Loan Files  
Disposition: Temporary Record. Retain 3 years after the year in which the record was created.

Researcher Registration Files  
Disposition: Temporary Record. Retain 15 years.

Archival Reference Retrieval Files  
Disposition: Temporary Record. Retain 3 years after the year in which the record was created.

Reference Letter Log  
Disposition: Temporary Record. Retain 1 year after the year in which the record was created.

## ■ **Interpreting/Educating**

Visitor Registration Books

Disposition: Temporary Record. Retain 5 years.

Museum Tour Reservation Forms

Disposition: Temporary Record. Retain 3 years.

Museum Tour Evaluations

Disposition: Temporary Record. Retain until completion of quarterly report.

Workshop Registration Files/Evaluations

Disposition: Temporary Records. Retain until completion of workshop summary/report.

INCOMING/OUTGOING COLLECTION LOAN FILES AND REGISTERS

Disposition: PERMANENT RECORD.

Gallery Statistics Forms

Disposition: Temporary Record. Retain until completion of Quarterly Report.

Intern Files

Disposition: Temporary Record. Retain for useful life.

## ■ **Administering Grants and Cooperative Projects**

GRANT PROJECT FINAL REPORTS

Disposition: PERMANENT RECORD.

Federal Grant Project Files

Disposition: Temporary Record. Retain 6 years after date of submission of final federal financial report.

Non-federal Grant Project Files

Disposition: Temporary Record. Retain 6 years after end of grant.

COOPERATIVE PROGRAM/PROJECT REPORTS

Disposition: PERMANENT RECORD.

Intergovernmental Cooperative Appraisal Program (ICAP) Records (Not report)

Disposition: Temporary Record. Retain for useful life.

■ **Serving on Commissions, Boards, and Committees**

Program/Workshop Files

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

■ **Serving as Staff for Other Agencies**

RECORDS OF THE ACADEMY OF HONOR (not financial)

Disposition: PERMANENT RECORD.

RECORDS OF THE STONEWALL JACKSON MEMORIAL FUND (not financial)

Disposition: PERMANENT RECORD.

Financial Records of the Academy of Honor

Disposition: Same as disposition for financial records for ADAH.

Financial Records of the Stonewall Jackson Memorial Fund (not investment records)

Disposition: Same as disposition for financial records for ADAH.

Investment Records of the Stonewall Jackson Memorial Fund

Disposition: Temporary Record. Retain 6 years after the fund/account is closed.

Student Loan Repayment Records of the Stonewall Jackson Memorial Fund

Disposition: Temporary Record. Retain 3 years after end of the fiscal year following the repayment of the loan.

■ **Storing and Recycling Temporary Records**

STATE RECORDS CENTER AGENCY FILES (Transmittals and Completed Destruction Notices)

Disposition: PERMANENT RECORD.

Agency Access Authorization Form

Disposition: Temporary Record. Retain until superseded.

Reference Requests

Disposition: Temporary Record. Retain 3 years.

Records Center Transmittal

Disposition: Temporary Record. Retain for useful life.

## ■ **Administering Internal Operations**

### **Managing the Agency:**

PUBLICATIONS (Includes Discovery Boxes Files, Activity Sheets, Pamphlets)

Disposition: PERMANENT RECORD.

QUARTERLY REPORTS

Disposition: PERMANENT RECORD.

POLICIES AND PROCEDURES

Disposition: PERMANENT RECORD.

PRESS RELEASES

Disposition: PERMANENT RECORD.

Weekly Reports

Disposition: Temporary Record. Retain 1 year after end of calendar year.

Weekly Schedules

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

Assistant Director/Staff Meeting Minutes

Disposition: Temporary Record. Retain for useful life.

Unimplemented Architectural and Building Plans

Disposition: Temporary Record. Retain for useful life.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

DIRECTOR'S FILES (Correspondence, Speaking Engagements, Divisions, Projects)

Disposition: PERMANENT RECORD.

DIVISION HEAD/MANAGER'S FILES (Correspondence, Speaking Engagements, Projects, Workshop Reports)

Disposition: PERMANENT RECORD.

Other Correspondence

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

MINUTES OF THE BOARD OF TRUSTEES

Disposition: PERMANENT RECORD.

Recordings of Meetings

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

SEARCH RECORDS

Disposition: PERMANENT RECORD.

BUILDING PLANS AND SPECIFICATIONS

Disposition: PERMANENT RECORD.

Volunteer Files

Disposition: Temporary Record. Retain 2 years after file becomes inactive.

Telephone Logs/Calendars

Disposition: Temporary Record. Retain 3 years.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Shipping Records

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

Printing Negative Plates and Materials

Disposition: Temporary Record. Retain until superseded or no longer useful.

Board of Adjustment Case Files

Disposition: Retain 5 years after the final disposition of the case.

Equal Employment Opportunity Complaint Files

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

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 is superseded.

## WEBSITE

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

System Documentation (hardware/software manuals and diskettes, warranties, Y2K records)

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 migrated to a new system.

Electronic Equipment Repair Logs

Disposition: Temporary Record. Retain for useful life.

Service Requests

Disposition: Temporary Record. Retain until work is complete.

## **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 received

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.

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

Disposition: Retain in office (Code of Alabama 1975, Sections 41-16-20 to 41-16-24).

### **Managing Human Resources:**

#### Job Recruitment Materials

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

#### Application Materials

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 3 years after end of the fiscal year in which the records were created.

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

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 end of the fiscal year in which the records were created.

#### Records documenting employees' daily and weekly work schedules

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

#### Records documenting leave donations

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

#### Records of final leave status

Disposition: Temporary Record. Retain record of individual employees' cumulative leave 6 years after separation of employee from the agency.

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

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

#### Section/Division Personnel Files

Disposition: Temporary Record. Retain until separation of an 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.

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

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

Employee Administrative Hearing Files

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

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

Semiannual Inventory Lists

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

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

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

Inventory Cards

Disposition: Temporary Record. Retain 3 years after end of the fiscal year following the removal of an item 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.

Computer Equipment Inventory Records

Disposition: Temporary Record. Retain until disposition of equipment.

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

Disposition: Retain 6 years after expiration of the lease.

Incident/Accident Report

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

Security Records

Disposition: Temporary Record. Retain for useful life.

Logs

Disposition: Temporary Record. Retain 6 months after last entry.

Fire Extinguisher and Alarm Maintenance/Inspection Records

Disposition: Temporary Record. Retain for 2 years.

Fire/Safety Inspection Results

Disposition: Temporary Record. Retain until superseded.

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

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

### ■ **Establishing Disposition Requirements**

STATE AND LOCAL GOVERNMENT DISPOSITION FILES/CARDS

Disposition: PERMANENT RECORD.

## 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 Department of Archives and History (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 July of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

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

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 July 22, 2003.

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Edwin C. Bridges  
Chairman, State Records Commission  
Director, Department of Archives and History

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Date

## **Recommended Retention Guidelines for Records Created/Maintained by Friends of the Alabama Archives and the Alabama Archives and History Foundation**

The Friends of the Alabama Archives is a nonprofit group that helps the Alabama Department of Archives and History serve the public through conservation projects, exhibits, and educational programs. The Alabama Archives and History Foundation is a 501 (c) 3 organization, whose main purpose is to raise funds from the private sector to fund the new wing that will house the Story of Alabama exhibit, as well as to fund other necessary programs of the Department of Archives and History. The Friends and the Foundation are private organizations, and as such, their permanent records will be transferred to the Archives as private records.

At the request of the Friends Coordinator and the Foundation Coordinator, the State Records staff recommends the following retention guidelines for the private records created by the Friends of the Alabama Archives and the Alabama Archives and History Foundation.

**ADMINISTRATIVE FILES OF THE FRIENDS AND FOUNDATION.** The Friends and Foundation organizations create files which, although consisting primarily of administrative correspondence, include other records documenting its activities. Typical records in these files include correspondence, memoranda, reports, and other materials concerning organization policy, procedures, and programs. This series should be maintained permanently to document the administration of the Friends and Foundation. Some correspondence within this series may be restricted from public access.

Disposition: PERMANENT RECORD.

**ORGANIZATIONAL RECORDS OF THE FRIENDS AND FOUNDATION.** This series may include articles of incorporation, bylaws and other supporting materials relating to the creation, organization, and reorganization of the Friends and Foundation. This series should be retained permanently to document the creation of these organizations.

Disposition: PERMANENT RECORD.

**MEETING AGENDA AND MINUTES OF THE FRIENDS AND FOUNDATION.** This series usually includes agenda that detail business to be considered at meetings, in addition to minutes of the meetings. These records should be maintained permanently to document the proposed and executed proceedings of these organizations.

Disposition: PERMANENT RECORD.

**PUBLICATIONS.** This series consists of publications such as newsletters, reports, and brochures that are distributed by the Friends and Foundation organizations for informational and public relations purposes.

Disposition: PERMANENT RECORD.

**PRESS RELEASES.** This series consists of statements or announcements concerning the organizations and their work issued for distribution to the news media and the public. Included may

be copies of news releases, published articles, photographs, typescripts of broadcast announcements, and other reference material. A file may contain background data relative to the subject of the news release or newspaper clippings of the release. This series needs to be kept permanently as documentation of the organizations' attempts to keep the public informed and to promote departmental programs.

Disposition: PERMANENT RECORD.

**PERIODIC REPORTS.** These statistical and/or narrative reports, which may be issued quarterly or annually document the achievements and activities of the Friends and Foundation organizations and should be maintained permanently.

Disposition: PERMANENT RECORD.

**INDEPENDENT AUDIT REPORTS OF THE FRIENDS AND FOUNDATION.** These audits are conducted annually. The resulting reports should be maintained permanently to document the financial accountability of the organizations.

Disposition: PERMANENT RECORD.

**Foundation Donor Files.** These files contain correspondence, donation records, and other materials about the donor. The retention, retain until donor is deceased, allows the foundation to maintain a comprehensive listing of potential donors. Information within these files may be restricted from public access.

a. **SIGNIFICANT FOUNDATION DONOR MATERIAL**

Disposition: PERMANENT RECORD.

b. **Routine Foundation Donor Material**

Disposition: Temporary Record. Retain until donor is deceased.

**Membership Files of the Friends.** A file is created for each individual who becomes a member of the organization. Included in this file is a record of the individual's application and annual renewal information. A retention of five years after the member becomes inactive is recommended to allow sufficient time to follow-up with possible membership renewals. This information is restricted from public access.

Disposition: Temporary Record. Retain 5 years after a member becomes inactive.

**Foundation Donor Database.** This database contains data on the donor, such as contact information, whether a "thank you" note was sent, ways to follow up, personal interests, family information, and other pertinent material. This series only needs to be retained for as long as the database is useful for the Foundation. This information is restricted from public access.

Disposition: Temporary Record. Retain for useful life.

**Administrative Reference Files**

Disposition: Temporary Record. Retain for useful life.

**Routine Correspondence**

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

**Telephone Logs/Calendars**

Disposition: Temporary Record. Retain for useful life.

**Mailing Lists**

Disposition: Temporary Record. Retain for useful life.

**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.

**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.

**Contractual records established for the purpose of services or personal property**

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

**Inventory**

Disposition: Temporary Record. Retain until inclusion in audit report.

The above guidelines were reviewed by the State Records Commission on July 22, 2003.

