

Board for Registration of Architects



Functional Analysis & Records Disposition Authority

**Revision Approved by the
State Records Commission
April 22, 2015**

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Functional and Organizational Analysis of the Board for Registration of Architects

Sources of Information

Representatives of the Board for Registration of Architects
Code of Alabama 1975, Sections 34-2-30 through 34-2-42
Code of Alabama 1975, Sections 41-20-1 through 41-20-16 (Sunset Law)
Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)
Alabama Administrative Code, Chapters 100-X-1 through 100-X-2
Alabama Government Manual (1998)
Audit Report of the Board for Registration of Architects
Board for Registration of Architects Rules and Regulations
Government Services Division, Board for Registration of Architects Records Retention Schedules
Government Services Division State Agency Files

Agency Organization

The Board for Registration of Architects is composed of six members appointed by the governor. Members are appointed from the following districts: one from the northern district, two from the north central district, two from the central district, and one from the southern district. Each board member must be a registered architect residing in a particular district. Members serve four-year terms of office. The board elects annually a chairman and a vice chairman. Meetings are held at least four times each year. A quorum consists of four members. The board hires an executive director to supervise its day-to-day operations.

Historical Context

The board was established in 1931. The profession was not regulated prior to the board's creation.

Agency Functions and Subfunctions

The mandated function of the Board for Registration of Architects is to examine, register, and regulate architects in the state. 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.** The Board for Registration of Architects is authorized, under the Code of Alabama 1975, Section 34-2-39, to make and adopt by-laws, rules, and regulations setting minimum standards for professional conduct by architects. This

subfunction encompasses the board's efforts in making, altering, repealing, or amending rules and regulations that are implemented to accomplish its duties and functions vested by law.

- **Registering.** The board is empowered, under the authority of the Code of Alabama, Section 34-2-33, to issue certificates of registration to qualified applicants as architects. An applicant for registration must graduate from a school or college of architecture accredited by the National Architectural Accrediting Board and complete an internship under the supervision of a registered architect. Unless exempted, applicants must take and pass a written examination administered by the National Council of Architectural Registration Boards (NCARB). Once passed, the applicant is entitled to the certificate of registration issued by the board and may also apply for a certificate of registration issued by NCARB. Each registered applicant is required to complete a minimum of twelve (12) continuing education hours each year in order to renew the registration. Any registered architect who has allowed his or her registration to lapse for more than 90 days must complete a new application process for reinstatement.
- **Investigating Complaints or Violations.** The Code of Alabama 1975, Section 34-2-34, authorizes the board to conduct investigations, hearings, and proceedings concerning alleged violations of its rules or regulations. Depending on the findings following investigation and hearings, the board may dismiss the case, issue reprimands, levy fines, or suspend or revoke the certificate.
- **Administering Internal Operations.** A significant portion of the board's work includes general administrative, financial, and personnel activities performed to support its programmatic areas.

Managing the Agency. Activities involved in managing the agency may include internal office management activities, such as corresponding and communicating; scheduling, meeting; creating policies and procedures; reporting; litigating; legislating (drafting, lobbying, tracking); 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 the 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 training and 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.

Analysis of Record-Keeping System and Records Appraisal of the Board for Registration of Architects

Agency Record-Keeping System

The board currently operates a hybrid record-keeping system composed of paper, microfilm, and electronic records.

Paper-based Systems: Staff members created and maintain most of the board's records in paper form.

Micrographic System: The board contracted the Department of Industrial Relations to microfilm the Architect Registration Files created between 1931 and 1996. The microfilming project was terminated after 1996 because the board planned to implement a digital imaging system for its records in the future.

Computer Systems: The board has a Local Area Network (LAN) that runs a Microsoft Windows 97 operating system. There are four users on the LAN. Program databases are maintained in Access. The back-ups and network are managed by the Information Services Division, Department of Finance.

The board maintains a website at <http://www.boa.alabama.gov>. Information available on the website includes rules and regulations, code of conduct, examination/reciprocity/reinstatement procedures, the fee schedule, searchable roster database, and copies of board newsletters. All of the information is maintained also in paper format.

Records Appraisal

The following is a discussion of the three major categories of records created and/or maintained by the Board for Registration of Architects: Temporary Records, Permanent Records, and Records No Longer Created.

Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the board are discussed below:

- **Intern Files.** As a part of the architect registration procedures set up by the National Council of Architectural Registration Boards (NCARB), an individual seeking to take the Architect Registration Examination must first complete the Intern Development Program (IDP). Intern Files are created when an individual is eligible for the Architect Registration Examination. If the intern passes the examination, the files are transferred to the Architect

Registration Files. Otherwise, files are retained 10 years after the board's last contact with the intern to document his/her education, internship, and examination history. Files of interns who transfer to another state are retained 3 years, while files of interns known to be deceased are disposable immediately.

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

Promulgating Rules and Regulations

- **Meeting Agenda, Minutes, and Packets of the Board.** Code of Alabama 1975, Section 34-2-40, mandates that the board to hold at least four (4) regular meetings each year. These minutes document proceedings of the board meetings. **(Bibliographic Title: Meeting Minutes)** (RDA page 10)
- **The Architect's Handbook.** The board publishes annually a booklet that contains its laws and regulations. The booklet provides the public and the board's registrants with guidance and limitations governing the duties and responsibilities of the profession. **(Bibliographic Title: Rules and Regulations)** (RDA page 10)

Registering

- **Architect Registration Database.** The board maintains the database for all architects who have registered since 1931. Information includes: name, date of birth, education, last known employment, registration data, and disciplinary actions (if any). The database is set up with full text search capability so that any information related to a registered architect can be retrieved. The database may be utilized or manipulated by an employee to conduct research on architecture-related subjects. Disposition requirements include annually transferring a snapshot of the database to ADAH, along with the agency's RDA implementation report. **(Bibliographic Title: Architect Registration Database)** (RDA page 11).
- **Rosters of Registered Architects.** The board publishes annually an electronic roster of registered architects. The roster contains a listing of registered architects. The series provides the public with a ready reference to the membership of registered architects in the state. The rosters may be used for genealogical research. **(Bibliographic Title: Annual Rosters)** (RDA page 11)

Investigating Complaints or Violations

Records documenting this subfunction are found in the Architect Registration database.

Administering Internal Operations

- **Annual Reports.** The Code of Alabama 1975, Section 34-2-42, mandates that the board prepare and submit to the governor each year a report of its transactions for the preceding year. Information in the report includes receipts (application fees, renewal fees, and fines) and disbursements (personnel, traveling, repairs and maintenance, rentals, utilities, professional services, supplies, and equipment. (**Bibliographic Title: Annual Reports**) (RDA page 12)
- **Newsletters.** The board publishes occasional newsletters to serve as a communication tool between the board and individual registered architects. The newsletter may contain information on dates of upcoming board meetings, changes in rules and regulations, names of individuals who have passed the registration examination, disciplinary actions, and examination statistics. (**Bibliographic Title: Newsletters**) (RDA page 12)
- **Website and Social Media Sites.** The board maintains a website at <http://www.boa.alabama.gov>. Information available on the website includes rules and regulations, code of conduct, examination/reciprocity/reinstatement procedures, the fee schedule, searchable roster database, and copies of board newsletters. All the information is also maintained in paper format. ADAH archivists capture and preserve agency websites, and other social media sites, through a service offered by the Internet Archive (Archive It). This series documents the office's functions and interaction with budgeted entities and the public. (**Bibliographic Title: Website and Social Media Sites**) (RDA page 13)

Records No Longer Created. The following records are no longer created and/or maintained by the Board for Registration of Architects.

- **Architect Registration Examinations.** Architect Registration Examinations are designed by the National Council of Architectural Registration Boards (NCARB) for use by all 50 states in evaluation applicants' qualifications for registration as architects. Information on the results of the examination is recapitulated in the Architect Registration Files. In 1997, the examinations became computerized and hard copies of examinations are no longer given. The board only receives score sheets, which are placed in the Architect Registration Files. It has no remaining examinations created before 1997.

Permanent Records List

Board for Registration of Architects

Promulgating Rules and Regulations

1. Meeting Minutes, Agendas, and Packets of the Board
2. Rules and Regulations

Registering

1. Architect Registration Database
2. Rosters of Registered Architects

Administering Internal Operations

1. Annual Reports
2. Newsletters
3. Website and Social Media Sites

*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.

Board for Registration of Architects Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through -21. It was compiled by the Government Services Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Board for Registration of Architects. The RDA lists records created and maintained by the board in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for these records and provides the legal authority for the board 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 "loss, mutilation, and 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 Services Division at (334)242-4452 or records@archives.alabama.gov.

Explanation of Records Requirements

- This RDA shall govern the disposition of all records, regardless of format, created by the Department of Agriculture and Industries from its creation to its dissolution. Please contact the Department of Archives and History before destroying any record created prior to 1940.
- This RDA supersedes any previous records disposition authorities or schedules governing the retention of the Board for the Registration of Architects' records. Copies of superseded RDAs and schedules are no longer valid and may not be used for records disposition.
- The RDA establishes retention and disposition instructions for records, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the sub-functions to which the records belong.
- Certain record-like materials are not actually regarded as official records and need not be retained as records under this RDA. Such materials include (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no

action and do not document government activities; (3) stocks of blank 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 or ordinary documents not needed for their evidential value, copies of materials sent for informational purposes but not needed by the receiving office for future business, and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by agency staff. These may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Board for Registration of Architects and lists records created and/or maintained by the board in carrying out those 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

MEETING MINUTES, AGENDAS, AND PACKETS OF THE BOARD FOR
REGISTRATION OF ARCHITECTS

Disposition: PERMANENT RECORD.

THE ARCHITECT'S HANDBOOK

Disposition: PERMANENT RECORD.

Recordings of Meetings

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

Administrative Procedures Rule Filings

Disposition: Temporary Record. Retain 1 year after audit.

Register of Administrative Procedures Rule Filings

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

▪ Registering

ARCHITECT REGISTRATION DATABASE

Disposition: PERMANENT RECORD. Transfer a snapshot of the database to ADAH annually with the board's annual RDA implementation report.

ROSTER OF REGISTERED ARCHITECTS

Disposition: PERMANENT RECORD.

Intern Files

Disposition: Temporary Record.

Files of interns who have passed the examination: Transfer to Architect Registration Files.

Files of interns who have not completed the examination. Retain 10 years after last contact with intern. (Files of interns known to be deceased before 10 years may be destroyed.)

Intern Database

Disposition: Temporary Record. Retain for useful life.

Architect Registration Files

Disposition: Retain 15 years after the registered architect is deceased.

Annual Registration Renewal Files

Disposition: Temporary Record. Retain 1 year after audit.

▪ **Investigating Complaints or Violations**

Investigation Files

Disposition: Temporary Record. Retain 15 years after the registered architect is deceased.

▪ **Administering Internal Operations**

Managing the Agency

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

NEWSLETTERS

Disposition: PERMANENT RECORD.

Board Appointment Letters

Disposition: Temporary Record. Retain 1 year after audit in the year the term expires.

Routine Correspondence

Disposition: Temporary Record. Retain 3 years.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Legislative Files (drafts of proposed board-sponsored legislation)

Disposition: Temporary Record. Retain for useful life.

Legislative Tracking Files

Disposition: Temporary Record. Retain for useful life.

Mailing Lists

Temporary Record. Retain for useful life.

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

Disposition: Temporary Record. Retain 1 year after audit.

Copies of RDA

Disposition: Temporary Record. Retain 1 year after audit.

Printouts of acknowledgments from the Secretary of State relating to notices of meetings posted by state agencies

Disposition: Temporary Record. Retain 3 years.

Computer systems documentation (hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions)

Disposition: Temporary Record. Retain documentation 1 year after audit in the year the former hardware and software no longer exist anywhere in the agency and all permanent records have been migrated to the new system.

WEBSITE AND SOCIAL MEDIA SITES

Disposition: PERMANENT RECORD.

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

Managing Finances

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

Disposition: Temporary Record. 1 year after audit.

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

Disposition: Temporary Record. Retain 1 year after audit.

Records of original entry or routine accounting transactions, such as journals, registers, and ledgers, and funds deposited outside the state treasury

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting requests for authorization from supervisors to travel on officials business either within or outside the state, and other related materials, such as travel reimbursement forms and itineraries

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting contracts for 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: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.

Audit Reports

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Managing Human Resources

Position Classification Files

Disposition: Temporary Record. Retain 1 year.

Application Materials

Disposition: Temporary Record. Retain 2 years.

Records documenting payroll

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 5 years after separation of employee from the agency.

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

Disposition: Temporary Record. Retain 1 year after audit.

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

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

Records documenting employees' daily and weekly work schedules
Disposition: Temporary Record. Retain 1 year after audit.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)
Disposition: Temporary Record. Retain 1 year after audit.

Records documenting sick leave donations
Disposition: Temporary Record. Retain 1 year after audit.

Records of final leave status (cumulative leave)
Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Employee Flexible Benefits Plan Files
Disposition: Temporary Record. General information: Retain until superseded.
Other (applications, correspondence): Retain 6 years.

State Employee Injury Compensation Trust Fund Files
Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Equal Employment Opportunity Commission Case Files
Disposition: Temporary Record. Retain 3 years.

Managing Properties, Facilities, and Resources

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

Transfer of State Property Forms (SD-1) (agency copies)
Disposition: Temporary Record. Retain 1 year after audit.

Property Inventory Cards and/or Computer Files\
Disposition: Temporary Record. Retain 1 year after audit in the year the items were removed from inventory.

Receipts of Responsibility for Property
Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Leasing/Rental Records
Disposition: Temporary Record. Retain 6 years after expiration of the lease.

Facilities/Building Security Records (including visitor logs)
Disposition: Temporary Record. Retain 3 years.

Motor Pool Vehicle Use Records
Disposition: Temporary Record. Retain 1 year after audit.

Insurance Policies/Risk Management Records
Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Building Maintenance Work Orders
Disposition: Temporary Record. Retain 1 year.

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

Requirement

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

One condition of the authorization is that the board submit an Annual RDA Implementation Report on its records management activities, including documentation of records destruction, to the State Records Commission in July of each year.

By signing this agreement, the Board for Registration of Architects acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines below:

Recommendations

- The board 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 board, 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 board’s approved RDA.
- Permanent records in the board’s custody will 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 office-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 audit requirements or any legal notice or subpoena.
- The board should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (a) 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 updated or replaced. If the board chooses to maintain

permanent records solely in electronic format, it is committed to funding any system upgrades or migration strategies necessary to ensure the records' permanent preservation and accessibility.

- Electronic mail may contain permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA's requirements, the board should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.
- Staff of the State Records Commission and the Examiners of Public Accounts may examine the condition of permanent records in the board's custody and inspect records destruction documentation. Government Services Division archivists are available to instruct board staff in RDA implementation and otherwise assist the board in implementing its records management program.

The State Records Commission approved this records disposition authority on April 22, 2015.

Steve Murray, Chairman
State Records Commission

Date

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

Cindy McKim, Executive Director
Board for Registration of Architects

Date