

Alabama Construction Recruitment Institute

Functional Analysis & Records Disposition Authority

**Presented to the
State Records Commission
April 23, 2013**

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Functional and Organizational Analysis of the Alabama Construction Recruitment Institute

Sources of Information

Representatives of Alabama Construction Recruitment Institute
Act 2009-563 (Recruitment and Training Promotion Fund)
Act 2010-220 (Alabama Construction Recruitment Institute)
Code of Alabama 1975, Sections 41-10-720 to 41-10-726
Website, Alabama Construction Recruitment Institute
Alabama Government Manual, page 108 to 109

Historical Context

In 2010, the Alabama Construction Recruitment Institute (hereafter cited as ACRI, the institute, or the agency) was created by the Legislature as an independent public authority, to be funded through a fee based on the non-administrative payrolls of large construction firms. The fee is assessed at the rate of .0015 and is collected from employers.

Agency Organization

ACRI is governed by a board of directors, which consists of three (3) voting members. One member is appointed by the governor from a list of three (3) names provided by the Alabama local users group of the Construction Users Roundtable; the second member is appointed by the lieutenant governor from a list of three (3) names supplied by the board of directors of the Alabama American Federation of Labor and Congress of Industrial Organizations (AFL-CIO); and the third member by the speaker of the House of Representatives from a list of nine (9) names submitted by the Associated General Contractors, Alabama Chapter of the Associated Builders and Contractors, Mid-Gulf Chapter of Associated Builders and Contractors, North Alabama Chapter of Associated Builders and Contractors, and the American Subcontractors Association. Members may be reappointed for successive terms. The presence of all members of the board of directors constitutes a quorum for the transaction of business. An advisory board representative of the construction industry and its major training partners has also been established. The board of directors may employ an executive director and other support staff, outside the State's merit system, to operate the agency's day-to-day activities.

Agency Function and Subfunctions

The mandated function of ACRI is to educate the public concerning construction workforce opportunities and to provide workforce training programs for the construction trades and to recruit suitable craft trade workers for the construction industry in Alabama. It is one of the agencies primarily involved in carrying out the Economic Development function of Alabama government. In the performance of its mandated functions, ACRI may engage in the following subfunctions:

- **Promoting.** In accordance with the Code of Alabama, Section 41-10-725, ACRI is mandated to, among other activities, design and implement a program/programs to provide for the recruitment of /promotion of training programs and opportunities for new craft trade workers for the construction industry and the users of the construction industry. To achieve its goals, staff of the institute may engage in media advertising, marketing, website/database creation, and other related activities so that data and information on potential construction workforce recruits may be distributed to the construction industry and educational institutions. Currently, the institute has implemented a major marketing campaign, the “Go Build”, through a contract with a vendor.

- **Administering Internal Operations .** A significant portion of the agency’s work may include 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.

Analysis of Record Keeping System and Records Appraisal of the Alabama Construction Recruitment Institute

Agency Record Keeping System

The Alabama Construction and Recruitment Institute operates a hybrid record keeping system composed of paper and electronic records.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Construction and Recruitment Institute: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered their active life and be disposed of once all fiscal, legal, and administrative requirements have been met. Example(s) of the temporary records created by the Alabama Construction and Recruitment Institute are discussed below.

- **Contracts.** This series consists of contract (s) entered between the institute and various vendors so that educate people on the value of learning a trade so that they may engage in the construction industry. Since the statute of limitations for recovery of money is six (6) years (Code of Alabama, Section 6-2-34), contractual documents should be maintained for a period of six (6) years following the expiration of the contract.

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

Promoting:

- **Marketing Files.** This series contains all printed promotional files, audio/video recordings, and other related materials designed by the institute to promote the recruitment of new craft workers for the construction industry. (RDA page 8) **(Bibliographic Title: Marketing Files)**

Administering Internal Operations:

- **Meeting Agendas, Minutes, and Packet.** This series consists of the bi-monthly meeting proceedings of the board of directors. Also included are supporting documents to these meetings. (RDA page 8) **(Bibliographic Title: Meeting Agendas, Minutes, and Packet)**
- **Website and Other Social Media Site(s).** The website of the institute contains information on the agency and its services, resources, featured videos, job openings in construction, and news releases. Staff may also use other social media sites to promote its goals.

Permanent Records List

Alabama Construction and Recruitment Institute

■ **Promoting:**

1. Marketing Files

■ **Administering Internal Operations:**

1. Meeting Agendas, Minutes, and Packets of the Board of Directors
2. Website and Other Social Media Site(s)

Alabama Construction and Recruitment Institute 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 Alabama Construction Recruitment Institute. The RDA lists records created and maintained by the Alabama Construction Recruitment Institute in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA shall govern the disposition of all records, regardless of format, created by the agency from its creation to dissolution.
- This RDA supersedes any previous records disposition schedules and/or RDAs governing the retention of records of the Alabama Construction Recruitment Institute. Copies of superseded schedules or/and RDAs are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the 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 other record-like materials are not actually regarded as official records and may be disposed of under this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintain the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationary, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4)

transitory records, which are temporary records created for short-term internal purposes that may include, but are not limited to, telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama Construction Recruitment Institute and lists the groups of records created and/or maintain by the agency as a result of activities and transactions performed in carrying out these subfunctions. The agency may submit requests to revise specific records disposition requirements to the States Records Commission for consideration at its regular meetings.

■ Promoting:

MARKETING FILES

Disposition: PERMANENT RECORD.

Contractual records established for the purpose of services

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

■ Administering Internal Operations:

Managing the Agency

MEETING AGENDAS, MINUTES, AND PACKETS OF THE BOARD OF DIRECTORS

Disposition: PERMANENT RECORD.

WEBSITE AND OTHER 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 other social media sites are captured and preserved.)

Routine Correspondence

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

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Recordings of Meetings

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

Mailing Lists

Disposition: Temporary Record. Retain until superseded.

Shipping Records

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

Copy of RDA

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

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

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

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.

Records documenting the bid process, including requests for proposals and unsuccessful responses

1. Original bid records maintained in the purchasing office of the agency for contracts over \$7500

Disposition: Temporary Record. Retain 7 years after end of the fiscal year in which the bids were opened.

2. Duplicate copies of bid (originals are maintained by the Division of Purchasing, Department of Finance)

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

Managing Human Resources:

Records documenting job recruitment

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

Records documenting application for employment

Disposition: Temporary Record. Retain 1 year.

Position Classification Records

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

Records documenting payroll (e.g. payroll deductions, 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 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 an employee's hours worked, leave earned, and leave taken (including time sheets)

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

Records documenting final leave status

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

Managing Properties, Facilities, and Resources:

Semiannual Inventory Lists

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

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

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

Property Inventory 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.

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

Disposition: Retain 6 years after expiration of lease.

Requirements 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 obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Alabama Construction Recruitment Institute (hereafter referred to as the agency) as stipulated in the document.

One condition of this authorization is that the agency submits an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Record Commission in April 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 the permanent records held on alternative storage media (such as microfilms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.

- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis – for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. 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; (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

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

- The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records in the custody of the agency and inspect records destruction documentation. Government 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 April 24, 2013.

 Steve Murray
 Chairman, State Records Commission

 Date

Receipt acknowledged:

 Tim Alford
 Executive Director, Alabama Construction Recruitment Institute

 Date