

Alabama State Council on the Arts

**Functional Analysis
&
Records Disposition Authority**

**Presented to the
State Records Commission
July 26, 2006**

Table of Contents

Functional and Organizational Analysis of the Alabama State Council on the Arts	1-1
Sources of Information	1-1
Historical Context	1-1
Agency Organization	1-1
Agency Function and Subfunctions	1-1
Planning and Promoting	1-2
Providing Financial and Technical Assistance	1-2
Managing the Alabama Center for Traditional Culture	1-2
Operating the Alabama Artists Gallery	1-3
Reporting	1-3
Administering Internal Operations	1-3
Organizational Chart	1-5
Analysis of Record Keeping System and Records Appraisal of the Alabama State Council on the Arts	2-1
Agency Record Keeping System	2-1
Records Appraisal	2-1
Temporary Records	2-1
Permanent Records	2-1
Permanent Records List	2-6
Alabama State Council on the Arts Records Disposition Authority	3-1
Explanation of Records Requirements	3-1
Records Disposition Requirements	3-2
Planning and Promoting	3-2
Providing Financial and Technical Assistance	3-2
Managing the Alabama Center for Traditional Culture	3-3
Operating the Alabama Artists Gallery	3-3
Reporting	3-3
Administering Internal Operations	3-3
Requirements and Recommendations for Implementing the Records Disposition Authority	3-8

Functional and Organizational Analysis of the Alabama State Council on the Arts

Sources of Information

Representatives of the Alabama State Council on the Arts

Code of Alabama, 1975, Sections 41-9-40 through 41-9-47 (Alabama State Council on the Arts)

Code of Alabama, 1975, Section 41-20-3 (Sunset Law)

Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)

Alabama Administrative Code, Chapter 130-X-1

Alabama Government Manual (2002) pg. 410

Alabama State Council on the Arts Website

Alabama State Council on the Arts Audit Report (2000-2003)

Alabama State Council on the Arts Publications

Historical Context

Legislative Act No. 551 established the Alabama State Council on the Arts (hereafter referred to as the council) and was signed into law by Governor Lurleen B. Wallace on September 8, 1967, thereby creating an official State Arts Agency as required by the National Foundation on the Arts and Humanities. Several legislative acts have been passed by the Legislature to get the council where it is today. In 1969, Legislative Act 551 was amended by Act No. 1065 to change the name of the council to the Alabama State Council on the Arts and Humanities. Legislative Act No. 689 of 1976 changed the composition of the membership and terms of office of the council. Finally, the Legislature changed the name of the council back to the Alabama State Council on the Arts in 1987.

Agency Organization

The Alabama State Council on the Arts is comprised of fifteen (15) individuals appointed by the governor from across the state who are broadly representatives of all fields of the performing and fine arts. Members each serve a six-year term, with one-third of the terms expiring every two years on a revolving basis. Not less than six months before the expiration of a term, the council must provide the governor with a list of three nominees from each of the same geographical areas as those whose terms are expiring. The governor appoints replacement members from these nominations. All council members serve without compensation. The council elects a chairman and a vice-chairman to serve as the executive officers of the council. Within the council, there are four standing committees: Executive, Grants Review, Community/Legislative, and Long-Range Planning. Other committees, such as a nominating committee, may be appointed by the chairman as needed.

In addition, the council appoints several advisory panels in all the arts disciplines to advise the council in projects/programs to be funded or undertaken. Each advisory panel is composed of four

to eight members to serve one-year terms with no member being eligible for more than four consecutive terms on the same panel.

The chairman, with the approval of the council, may employ an executive director and other necessary personnel to operate the council. An organizational chart is included.

Agency Function and Subfunctions

The mandated function for the Alabama State Council on the Arts is to serve as the official state agency to receive and disburse funds made available by the National Endowment for the Arts, as well as direct appropriations by the State Legislature intended to promote the arts in general and support particular arts activities. The council is one of the agencies primarily involved in carrying out the Economic Development, Client Services, and Stewardship functions of Alabama government. In the performance of its mandated function, the council may engage in the following subfunctions:

- **Planning and Promoting.** As mandated by the Code of Alabama 1975, Section 41-9-45 (1), the council is obligated to “stimulate and encourage throughout the state the study and presentation of the performing and fine arts and public interest and participation.” The council, as part of its charge to strengthen Alabama by promoting arts, has formulated, from time to time, comprehensive multi-year plans designed to guide policy priorities and give direction to initiatives.
- **Providing Financial and Technical Assistance.** As the official state arts agency, the council administers a grant program and provides financial assistance in arts planning and programming. The council receives an annual appropriation from the State Legislature and additional funds from the National Endowment for the Arts for specific programs. Since 1983, the council has also administered the Arts Development Fund, made up of contributions designated by Alabama citizens on their annual state income tax returns. Grants may be made to either organizations or individuals for specific program areas, such as arts in education, community arts, folklife, literary arts, performing arts, and visual arts. In addition, staff members of the council may provide technical assistance through publications, newsletters, workshops, conferences, forums, and other activities to individuals and/or organizations in supporting arts-related activities.
- **Managing the Alabama Center for Traditional Culture.** The Alabama Center for Traditional Culture, operating within the framework of the Alabama State Council on the Arts, was created in 1990, and is dedicated to the research, documentation, and preservation of the state’s folk culture. Staff of the center may participate in activities to identify, through research and fieldwork, folklife traditions in communities and among individuals throughout the state; to bolster, through projects/initiatives, the cultural activities of those traditional communities across the state where expressions of Alabama folklife exist; and to make the power, beauty, diversity, and significance of Alabama’s folklife expression more accessible

to the public.

- **Operating the Alabama Artists Gallery.** The Alabama Artists Gallery was created in 1986 to promote arts through exhibitions, publicity, and educational programs. The gallery maintains an onsite exhibition space to showcase and highlight the work of individual artists in sculpture, painting, printmaking, crafts, photography, and design. Recipients of Individual Artist Fellowships, folk artists, contemporary craft makers, college/university art faculty, and self-taught artists are regularly presented in the gallery. In addition, the gallery maintains an extensive information bank available to the public; works with artists, museums, festivals, art centers, and private galleries; offers technical assistance and career development information to individual artists; and encourages the purchase of art for corporate and public sites.
- **Reporting.** Article VII of the bylaws of the council mandates the council to report annually to the governor and the State Legislature on the state of the arts in Alabama. The council may also publish other reports or studies on matters affecting the arts. All such reports should be provided to the governor, the State Legislature, National Endowment for the Arts, and other agencies requiring such reports, and upon request, to the general public.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support its programmatic areas.

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

Managing Finances: Activities 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 Alabama State Council on the Arts

Agency Record-Keeping System

The Alabama State Council on the Arts operates a hybrid system composed of a computer system and a paper record-keeping system. In addition to word processing applications, staff members also utilize the Pearl Grant Management System to capture/track essential data about grant projects.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama State Council on the Arts: Temporary Records and Permanent Records.

I. 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.

- **Grant Project Financial Files.** This series consists of various financial records that document the expenditure of grant funds made to recipients. Records found in these files may include grant award letters, purchase orders, receipts, budgets, contracts, payroll information, interim reports, and other related documents. Since all important information on grant projects, such as applications and final reports, is scheduled for permanent retention, these financial records should only be retained for audit and reference for 5 years.

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

Planning and Promoting

- **Meeting Agendas, Minutes, and Packets of the Alabama State Council on the Arts.** The council conducts its regular meetings on a quarterly basis and may call for special meetings if needed. This series contains information on proposed and executed proceedings of the council. In addition to minutes, this series also includes meeting agendas and other supporting or reference documents. The meeting minutes of the council provide important documentation of the council's actions that may not be found elsewhere. (RDA page 3-2) **(Bibliographic Title: Meeting Agendas and Minutes of the Alabama State Council on the Arts)**
- **Multi-Year Plans.** The council formulates, from time to time, a comprehensive multi-year (usually for 5 years) plan designed to establish goals, objectives, and strategies for the promotion of arts. This series contains copies of multi-year plans and should be preserved as the key documentation of the council. (RDA page 3-2) **(Bibliographic Title: State**

Publications)

Providing Financial and Technical Assistance

- **Informational and Promotional Publications.** The council produces and distributes various publications to promote and advertise grant opportunities and other available assistance for the public. This series may include, but is not limited to, Grants and Fellowship Guidelines, Alabama Arts (a biannual magazine), and other related publications. (RDA page 3-2) **(Bibliographic Title: State Publications)**
- **Grant Applications and Final Reports.** The council supports the arts through a multi-faceted grant program which covers all disciplines and fields of art. This series is composed of grant applications and final reports submitted by grant recipients in the state in accordance with the agency's grants guidelines. These records should be preserved as the key documentation of the agency's primary function in supporting the arts. (RDA page 3-2) **(Bibliographic Title: Grant Applications and Final Reports)**
- **Federal Grant Applications and Final Reports.** The council is the official state agency to receive and disburse funds made available by the National Endowment for the Arts. This series contains applications (known as state plans) and final grant reports which are created in preparation for application and reporting to various programs of the National Endowment for the Arts. These records should be maintained permanently as documentation of the council's efforts in seeking federal funding for the promotion of the arts in Alabama. (RDA pg. 3-20) **(Bibliographic Title: Federal Grant Applications and Final Reports)**

Managing the Alabama Center for Traditional Culture

- **Photographic Images.** This series consists of photographic images taken by the agency staff during the course of research and special projects. Format of photographic images may include black & white negatives/prints, color negatives/prints, color transparencies, and digital photographs. This collection is an important documentation of the Alabama's traditional folk culture. (RDA page 3-3) **(Bibliographic Title: Images)**
- **Moving Images.** This series consists of moving films and video images taken by the agency staff during the course of research and special projects. They are primarily video or digital formats. In addition, the council has supported film production and may come in possession of original footage from these productions. This collection is important documentation of Alabama's traditional folk culture. (RDA page 3-3) **(Bibliographic Title: Moving Images)**
- **Sound Recordings.** This series consists of sound recordings made by the agency staff during the course of research and special projects. Formats for this series may include reel to reel, cassette, digital audio tapes (DAT), and digital audio files. This collection is important documentation of Alabama's traditional folk culture. (RDA page 3-3)

(Bibliographic Title: Sound Recordings)

- **Samples of Work by Artists.** This series consists of examples of folk art and performances produced solely by Alabama individual artists and given to the agency for various reasons. They may include artifacts, recordings, images, and moving images. This collection is important documentation of Alabama’s traditional folk culture. (RDA page 3-3) **(Bibliographic Title)**
- **Vertical Files.** This series consists of information compiled by the agency staff during the course of research and special projects. Files are organized either by subject matter, such as “Sacred Harp Singing,” or by individual artist name, such as “Jerry Brown.” Also included are newspaper clippings, event programs, and brochures, etc. This series is important documentation of Alabama’s traditional folk culture. (RDA page 3-3) **(Bibliographic Title: Public Information Subject Files)**

Operating the Alabama Artists Gallery

- **Gallery Guides.** This series consists of descriptions of the artists and works in a particular show in the council’s gallery. Compiled by the agency staff, copies of the guides are available to the public during their visits to the gallery. (RDA page 3-3) **(Bibliographic Title: State Publications)**

Reporting

- **Annual and Biennial Reports.** These annual and biennial reports function to document arts activities in the state, particularly grants awarded by the council to local institutions or individuals. (RDA page 3-3) **(Bibliographic Title: State Publications)**

Administering Internal Operations

- **Files of the Director.** Included in these files are administrative correspondence, memoranda, programmatic records, and other related documents. They are useful in documenting the administration of the agency. (RDA pg. 3-4) **(Bibliographic Title: Administrative Files)**
- **Website.** The agency has a website at www.arts.state.al.us. Information on the website includes the council’s history and mission statement, members, meeting dates and places, staff and contact directory, news, grant guidelines and application procedures, events calendars, and educational resources. The website should be preserved as it serves as an important medium for communication with the public.(RDA page 3-5)**(Bibliographic Title: Website)**
- **Inventory Lists.** The Code of Alabama 1975, Section 36-16-8[1] requires that “. . . All

[state agency] property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts.” These files need to be maintained in the agency’s office. (RDA pg. 3-8)

Permanent Records List

Alabama State Council on the Arts

Planning and Promoting

1. Meeting Agendas, Minutes, and Packets of the Alabama State Council on the Arts
2. Multi-Year Plans

Providing Financial and Technical Assistance

1. Informational and Promotional Publications
2. Grant Applications and Final Reports
3. Federal Grant Application and Final Reports

Managing the Alabama Center for Traditional Culture

1. Photographic Images
2. Moving Images
3. Sound Recordings
4. Samples of Work by Artists
5. Vertical Files

Operating the Alabama Artists Gallery

1. Gallery Guides

Reporting

1. Annual and Biennial Reports

Administering Internal Operations

1. Files of the Director
2. Website
3. Inventory Lists*

*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 State Council on the Arts 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 State Council on the Arts. The RDA lists records created and maintained by the Alabama State Council on the Arts in carrying out its mandated functions and subfunctions. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Alabama State Council on the Arts 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 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 Alabama State Council on the Arts' records. Copies of superseded schedules are no longer valid and should be discarded.
- 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 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 short-term records that do not materially document the work of an agency 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 maintains the original record for the period required; and (2) transitory records, which are temporary records created for 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. Other items that may be disposed of without destruction documentation include: (1) catalogs, trade journals, and other publications received that require no action and do not document government activities; and (2) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Alabama State Council on the Arts 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 agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

■ Planning and Promoting

MEETING AGENDAS, MINUTES, AND PACKETS OF THE ALABAMA STATE COUNCIL ON THE ARTS

Disposition: PERMANENT RECORD.

MULTI-YEAR PLANS

Disposition: PERMANENT RECORD.

Recordings of Meetings

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

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies

Disposition: Temporary Record. Retain 3 years.

■ Providing Financial and Technical Assistance

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

GRANT APPLICATIONS AND FINAL REPORTS

Disposition: PERMANENT RECORD.

FEDERAL GRANT APPLICATIONS AND FINAL REPORTS

Disposition: PERMANENT RECORD.

Grant Project Financial Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the final report is filed.

Federal Grant Project Financial Files

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the final report is filed.

Pearl Grant Management System Database

Disposition: Temporary Record. Retain until superseded.

■ **Managing the Alabama Center for Traditional Culture**

PHOTOGRAPHIC IMAGES

Disposition: PERMANENT RECORD.

MOVING IMAGES

Disposition: PERMANENT RECORD.

SOUND RECORDINGS

Disposition: PERMANENT RECORD.

SAMPLES OF WORK BY ARTISTS

Disposition: PERMANENT RECORD.

VERTICAL FILES

Disposition: PERMANENT RECORD.

■ **Operating the Alabama Artists Gallery**

GALLERY GUIDES

Disposition: PERMANENT RECORD.

■ **Reporting**

ANNUAL AND BIENNIAL REPORTS

Disposition: PERMANENT RECORD.

■ **Administering Internal Operations**

Managing the Agency:

FILES OF THE DIRECTOR

Disposition: PERMANENT RECORD.

WEBSITE

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

Routine Correspondence

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

Mailing/Contact Lists

Disposition: Temporary Record. Retain for useful life.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency's approved RDA (copies of transmittal forms to Archives or the 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.

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

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists in the agency and all permanent records have been 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 the end of the fiscal year in which the records were created.

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

Disposition: Temporary Record. Retain 3 years after the 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, including bank statements, deposit slips, and canceled checks

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

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

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

records were created.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of contract. (Code of Alabama, Section 6-2-34).

Agency Audit Reports

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

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

- a. Original bid records maintained in the purchasing office of the agency for contracts over \$7500
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Managing Human Resources:

Records documenting job recruitment

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

Position Classification Files

Disposition: Temporary Record. Retain 3 years after position is reclassified.

Records documenting job description

Disposition: Temporary Record. Retain until superseded.

Certification/Personnel Transaction Files

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

Records documenting application for employment

Disposition: Temporary Record. Retain 3 years after request.

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 payroll (e.g. pre-payroll report, payroll check registers)

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

Records documenting payroll deduction authorizations

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

Records documenting payroll deductions for tax purposes

Disposition: Temporary Record. Retain 3 years after the 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 an employee's hours worked, leave earned, and leave taken (including time sheets)

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

Records documenting sick leave donations

Disposition: Temporary Record. Retain 3 years after the 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.

Records documenting verification of accuracy of State Personnel Department records

Disposition: Temporary Record. Retain for useful life.

Records documenting Equal Employment Opportunity (Code of Federal Regulations, Title 29)

a. Compliance Records

Disposition: Temporary Record. Retain 3 years after the close of the program year.

b. Complaint Records

Disposition: Temporary Record. Retain 3 years from the date of resolution of the complaints.

State Employees Injury Compensation Trust Fund Files

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

Worker Compensation Injury and Settlement Reports

Disposition: Temporary Record. Retain 12 years after the end of the fiscal year in which the transaction occurred. (Code of Alabama 1975, Section 25-5-4).

Employee Flexible Benefits Plan Files (applications and correspondence)

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

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 the agency.

Managing Properties, Facilities, and Resources:

INVENTORY LISTS

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

Letters of Transmittal

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

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

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

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 3 years after the 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 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 is removed from the property inventory.

Insurance Policies / Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

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 Alabama State Council on the Arts (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 26, 2006.

Edwin C. Bridges, Chairman, by Tracey Berezansky
State Records Commission

Date

Receipt acknowledged.

Albert B. Head, Executive Director
Alabama State Council on the Arts

Date