

**Alabama Department of Transportation
Field Divisions**

**Functional Analysis
&
Records Disposition Authority**

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State Records Commission
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Functional and Organizational Analysis of the Department of Transportation --Field Divisions

Sources of Information

Representatives of the Department of Transportation
Code of Alabama 1975, Section 23-1-20 through 23-1-63
Code of Alabama 1975, Sections 41-20-1 through 41-20-6 (Sunset Law)
Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)
Code of Federal Regulations, Title 23 (Federal Highway Administration)
Alabama Administrative Code, Chapters 450-1-1 to 450-8-1
Alabama Government Manual (2002)
Department of Transportation Annual Report (2000 to 2001)
Department of Transportation Records Retention Schedules
Department of Transportation Website
Government Records Division, State Agency Files (1985-ongoing)

Field Division Organization

The Department of Transportation divides the state into nine geographical areas known as divisions, headed by division engineers. Grouped along county lines, each of the nine divisions is further divided into three to nine areas known as districts. Each district is headed by a district engineer who reports to the division engineer. All division engineers are supervised by an assistant chief engineer of operation at the agency's central office in Montgomery. Workforce of divisions/districts includes administrative, supervisory, technical staff members, and temporary laborers engaged in work related to highway and bridge construction and maintenance. In general, each field division is organized in sections that are somewhat similar to the structure of the agency's central office. A list of divisions is attached.

Field Division Function and Subfunctions

The mandated function of field divisions is to facilitate and execute plans and procedures administrated and established by the agency's central office. In performance of its mandated function, field divisions may engage in the following subfunctions.

- **Coordinating Pre-Construction Activities.** Field division staff members are responsible for coordinating pre-construction activities which may include the design of roadway and/or bridge construction projects; gathering of field information for the design of construction projects; review of plans to ensure the design specifications and environmental clearances have been met; inspection of construction sites; coordination

with utility companies to ensure no utility conflicts exist on projects; and finalization of project details.

- **Acquiring Rights-of-Way.** After a roadway/bridge is designed by the agency staff, the first step of the construction project is to obtain the rights-of-way, which means any real property and rights to be used for the construction, operation, or maintenance of transportation or related facilities. Activities of this subfunction may include: (1) prepare estimates on rights-of-way acquisition; (2) prepare relocation analysis on construction projects; (3) obtain information from various sources on property ownership; (4) prepare and coordinate appraisals of property; (5) meet with property owners to negotiate acquisition of property and discuss relocation; (6) locate replacement housing for displaced residents; (7) determine payments for replacement housing, moving, and incidentals; (8) coordinate with attorneys and public officials for probate and circuit court proceedings; and (9) coordinate sale of excess rights-of-way and structures.
- **Managing Equipment.** This subfunction involves the procurement, servicing, salvage, and disposal of all types of transportation and construction equipment. Staff members of the equipment section also prepare equipment budgets, submit requisitions for outsourcing and repairs, monitor expenditures, maintain equipment inventories, and conduct audits of equipment.
- **Testing Construction Materials.** Staff members of the testing section are responsible for the testing of materials used by the division in road and/or bridge construction. Field divisions provide inspectors at production plants to test plant mix and observe contractor tests during production. Staff members also provide quality assurance inspections/testings of concrete plants, asphalt plants, and aggregate quarries to ensure they meet the agency's criteria to remain certified material sources for the agency's construction projects.
- **Supervising Construction.** This subfunction, carried out mainly by staff members of the construction section, involves the actual implementation and supervision of federal /state construction projects. Supervision activities may include monitoring progress, resolving problems, and handling other related matters.
- **Coordinating Roadway/Bridge Maintenance.** The maintenance section is responsible for developing, prioritizing, and submitting the division's annual state highway resurfacing projects to the agency's central office to be let to contract. Staff members coordinate maintenance activities on state and federal roads within the division's boundaries. Specific activities may include surface patching, shoulder maintenance, drainage work, right-of-way vegetation management, and litter pickups. Section staff members also provide bridge inspections, truck weigh operations, traffic signal installation/repair, traffic counts and studies, and outdoor advertising signs / other permits reviews and approvals. Operation and maintenance of rest areas/welcome centers

are another responsibility carried out by field division staff members.

- **Administering Internal Operations.** A significant portion of the division's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the division.

Managing the Division: Activities include internal office management work common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the agency's central office; 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 division'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 division; 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 Department of Transportation --Field Divisions

Agency Record Keeping System

Field divisions currently operate 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 field divisions: 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 their fiscal, legal, and administrative requirements have been met. Some of the temporary records created by field divisions are discussed below:

- **Records documenting activities (excluding the appraisal of property) relating to the acquisition of rights-of-way and property management.** These records are created to document the process of acquiring real property for roadway/bridge construction. During this phase, all correspondence, reports, estimates, and other support documents are created/retained in accordance with federal regulations. Code of Federal Regulations, Title 23, Section 710.201 (f) (1) mandates these records must be retained three years from either (1) the date the agency receives federal reimbursement of the final payment made to each owner of a property and to each person displaced from a property; or (2) the date a credit toward the federal share of a project is approved based on early acquisition activities of the agency.
- **Records documenting all activities relating to the appraisal of property for rights-of-way acquisition.** In accordance with *the Uniform Standards of Professional Appraisal Practice (USPAP)*, all records created during the appraisal, appraisal review, or appraisal consulting assignment must be preserved as a workfile. The workfile should include the client identification documents, written appraisal reports, transcripts of testimony, and all other materials necessary to support the appraiser's opinions and conclusions. USPAP mandates that all appraisal related records be kept for five years after preparation of the appraisal or two years after the final disposition of any judicial proceeding in which testimony was given.
- **Construction Project Files.** This record series is created/maintained to document all activities concerning the development and implementation of roadway/bridge construction or resurface projects from conception to final completion. These files may

include, but are not limited to, correspondence, estimates, copies of contracts, change requests, supplements to contracts, and progress reports. Some files may be duplicated in the agency's central office. Although these files are subject to one audit review cycle after completion of project, the guiding factor for retention is the federal regulations, which require the files to be retained three (3) years after the end of the fiscal year in which the Federal Highway Administration (FHWA) final voucher and all other required documentation have been submitted to FHWA. For non-federal participating projects, the retention should be retain three (3) years from the date the contractor's final payment voucher has been processed.

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

Acquiring Rights-of-Way

- **Rights-of-Way Warranty Deeds and Leases for Roadways / Bridges.** This series consists of copies of legal warranty deeds and/or lease agreements that give the state legal title and/or authority to property for construction of roadways/bridges. (RDA pg. 3-2)
- **Road/Bridge Construction and Maintenance Agreements.** This series consists of contracts/agreements with various construction companies for work to be performed on construction projects and stating method of remuneration by the agency to the company. It may also include relocation agreements for property owners/utility companies and maintenance agreements with other governmental entities. (RDA pg. 3-2)

Testing Construction Materials

- **Approved Construction Materials Reports.** This series consists of final construction project materials reports approved by the agency for materials to be used for certain construction projects. Documentation of materials used needs to be maintained permanently in the office for future reference in maintenance and road extension projects. (RDA pg. 3-4)

Supervising Construction

- **Construction Project Final Plans (As Built Plans).** These records are created / maintained to document "As Built Plans," a composition of drawings, diagrams, charts, and box sheets indicating the local elevation, quantity of different materials, work items, and any adjustments required during construction of roadways and bridges. This series has long term administrative value to the agency's field divisions and needs to be maintained permanently as a source of documentation for maintenance of roadways/bridges and for future projects. (RDA pg. 3-4)

Coordinating Roadway/Bridge Maintenance

- **Records documenting the application for a permit issued by the agency for the construction of a private/commercial turnout to provide access to a state highway or a median crossover (Forms BM-111-A, BM-111-B, and BM-166).** This series consists of records relating to application and issuance of permits for the construction of private/commercial turnout to provide access to state highways or median crossover. These records may be needed if legal problems occurred and must be kept by district offices (within divisions) permanently for reference (RDA pg. 3-5)

Administering Internal Operations

- **Division Meeting Minutes.** This series usually includes agenda and minutes of staff meetings, pre-construction meetings, or/and other project related meetings held at field divisions. (RDA pg. 3-7)
- **Operational Guidelines and Procedural Manuals.** This series consists of all kinds of guidelines and/or manuals designed for the daily operation of field divisions. Examples may include various field operations manuals, right-of-way appraisal and operation manuals, property management manuals, roadway/bridge inspection manuals, and maintenance manuals. These manuals should be maintained for reference and documentation. (RDA pg. 3-7)
- **Inventory Lists.** The Code of Alabama 1975, Section 36-16-8[1] requires that "the head of each department or agency of the state shall designate one of its employees as property manager for the department or agency. Except for books, the property manager shall make a full and complete inventory of all nonconsumable personal property and certain other items of personal property deemed important or sensitive enough by the Property Inventory Control Division to be included in the inventory of state property of the value of five hundred dollars or more owned by the state and used or acquired by the department or agency. The inventory shall show the complete description, manufacturer's serial number, cost price, date of purchase, location, and custodial agency, responsible officer, or employee, and the state property control marking . . . All 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. 3-10)

Permanent Records List

Department of Transportation – Field Divisions

Acquiring Rights-of-Way

1. Rights-of-Way Warranty Deeds and Leases for Public Road*
2. Road/Bridge Construction and Maintenance Agreements*

Testing Construction Materials

1. Approved Construction Materials Reports*

Supervising Construction

1. Roadway/Bridge Construction Project Final Plans (As Built Plans)*

Coordinating Roadway/Bridge Maintenance

1. Records documenting the application for a permit issued by the agency for the construction of a private/commercial turnout to provide access to a state highway or a median crossover (Forms BM-111-A, BM-111-B, and BM-166)*

Administering Internal Operations

1. Division Meeting Minutes*
2. Operation Guidelines and Procedural Manuals*
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.

Department of Transportation --Field Divisions 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 Transportation – Field Divisions. The RDA lists records created and maintained by the Department of Transportation – Field Divisions 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 Transportation – Field Divisions. Copies of superseded schedules are no longer valid and may not be used for records disposition.
- This 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 required 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 Transportation – Field Divisions and lists the groups of records created and/or maintained by field divisions as a result of activities and transactions performed in carrying out these subfunctions. Field divisions may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

■ Coordinating Pre-Construction Activities

Records documenting all activities relating to the planning and execution of pre-construction activities

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the construction for project was completed.

Environmental Clearance Documents

Disposition: Temporary Record. Retain for the life of roadways/bridges.

■ Acquiring Rights-of-Way

RIGHTS-OF-WAY DEEDS AND LEASES FOR ROAD WAYS/BRIDGES (Forms ROW-4 and ROW-6)

Disposition: PERMANENT RECORD. Retain in office.

ROAD/BRIDGE CONSTRUCTION AND MAINTENANCE AGREEMENTS

Disposition: PERMANENT RECORD. Retain in office.

Records documenting all activities (excluding the appraisal of property) relating to the acquisition of rights-of-way and property management (Forms used may include, but are not limited to, the following: A-1 to A-16, FA-1 to FA-27, PA-1 to PA-4, ROW-6A, ROW-10-C, ROW-12-A, ROW-13, ROW-14, ROW-25, ACK-4, ACK-6, and ACK-6A)

Disposition: Temporary Record. Retain 3 years from either (1) the date the agency receives federal reimbursement of the final payment made to each owner of a property and to each person displaced from a property; or (2) the date a credit toward the federal share of a project is approved based on early acquisition activities of the agency (23 CFR 710.201 [f] [1]).

Records documenting all activities relating to the appraisal of property for rights-of-way acquisition

Disposition: Temporary Record. Retain 5 years after preparation or 2 years after final disposition of any judicial proceedings in which testimony was given, whichever is longer.

Records documenting all activities pertaining to relocation assistance and payment (Forms used may include, but are not limited to, the following: ROW-RA-1, RA-2, RA-3, RA-3A, RA-6, RA-7, RA-7M, RA-10, RA-11, RA-12, RA-12-1, RA-12-A, RA-12-B, RA-13-A, RA-15, RA-16, RA-17, RA-18, RA-21, RA-22, RA-24, RA-25, RA-25A, RA-28, RA-29, RA-30, RA-31, RA-32, RA-33, RA-9-0-180, RA-9-T-90, RA-9-LR, RA-9-BUS, RA-9-SECTION 8)

Disposition: Temporary Record. Retain 3 years from either (1) each owner of a property and each person displaced from the property receives the final payment to which s/he is entitled or in accordance with the applicable regulations of the federal funding agency, whichever is later (49 CFR 24.9 [a]).

■ **Managing Equipment**

Records documenting the requisition, transfer, and disposal of equipment (Forms used may include, but are not limited to, the following: E-18B, E19, and E30-CID)

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

Records documenting all activities relating to the distribution, repair, and usage of all types of equipment (Forms used may include, but are not limited to, the following: E-1, E-2, E-6, E-8, E-9, E-10, EP-10, S-5, S-9, V-3, and AF23B)

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

Equipment Accident Files (Form SJ114)

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the case was settled.

■ **Testing Construction Materials**

APPROVED CONSTRUCTION MATERIALS REPORTS

Disposition: PERMANENT RECORD. Retain in office.

Records documenting all activities relating to the selection, testing, inspecting, and certification of materials used by the agency for roadway and bridge construction and maintenance (Forms used may include, but are not limited to, the following: BMT-3, BMT-4, BMT-5, BMT-9, BMT-10, BMT-11, BMT-16, BMT-18, BMT-19, BMT-20, BMT-21, BMT-23, BMT-30, BMT-33, BMT-36, BMT-38, BMT-45, BMT-47, BMT-53, BMT-55, BMT-57, BMT-58, BMT-58A, BMT-60, BMT-65, BMT-66, BMT-72, BMT-73, BMT-78, BMT-79, BMT-82, BMT-83, BMT-86, BMT-90, BMT-91, BMT-95, BMT-97, BMT-108, BMT-109, BMT-112, BMT-113, BMT-114, BMT-117, BMT-122, BMT-123, BMT-139, BMT-146, BMT-148, BMT-167, BMT-172, and BMT-380)

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

Worksheets completed by staff members during the testing of materials

Disposition: Temporary Record. Retain until typed reports are completed.

Records documenting the transfer, test, and use of nuclear density gages

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created (Department of Public Health Administrative Code, Chapter 420-3-26).

■ **Supervising Construction**

CONSTRUCTION PROJECT FINAL PLANS (AS BUILT PLANS)

Disposition: PERMANENT RECORD. Retain in office. (Before destroying original paper copies after the imaging process, preserve a small sampling of historically significant design plans and transfer to the Alabama Department of Archives and History)

Video Tapes of Roadways/Bridges (copies)

Disposition: Temporary Record. Retain for useful life.

Construction Project Files (Forms used may include, but are not limited to, the following: C-7C, C-10, C-13C, C-17C, C-18C, C-19C, C-20, C-21, C-22C, C-23, C-24, C-25, C-26, and C-27)

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the Federal Highway Administration Final Voucher and all required documentation have been submitted to the Federal Highway Administration. For non-federal participating projects, retain 3 years from the date the contractor's final payment voucher has been processed.

Records documenting bridge foundation construction (Forms used may include, but are not limited to the following: C-14, C-15A, C-15A2, C-15B, C-15B2, C-15B3, C-15C, C-16)

Disposition: Temporary Record. Retain 10 years after the end of the year in which the bridge was no longer in service.

■ Coordinating Roadway/Bridge Maintenance

Records documenting the application for a permit issued by the agency for the construction of a private/commercial turnout to provide access to a state highway or a median crossover (Forms BM-111-A, BM-111-B, and BM-166)

Division Copy:

Disposition: Temporary record. Retain 3 years after the turnout was removed.

District Copy: PERMANENT RECORD. Retain in office.

Records documenting the application for a permit issued by the agency for the accommodation/installation of utilities/utility type facilities on public rights-of-way (Forms MB-01, MB-02, and MB-03).

Disposition: Temporary record. Retain 3 years after the end of the fiscal year in which the project was completed.

Records documenting agreements between the agency and private/public entities for the installation and maintenance of drainage structures, landscaping, political boundary signs, and other directional signs (Forms MB-05, MB-06, MB-07, MB-08, and MB-09)

Disposition: Temporary record. Retain until superseded.

Records documenting all activities relating to the maintenance and inspection of bridges (Forms used may include, but are not limited to, the following: BI-5, BI-6, BI-8, BI-9, BI-10, BI-12, BI-13, BI-14, BI-HY-1, BI-SC1, BI-SC2, and BI-SC4)

Disposition: Temporary Record. Retain 10 years after the year the bridge was no longer in service.

Outdoor Advertising Permit Application Files (Forms OA No.1 and OA No.5)

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

Annual Outdoor Advertising Permit Renewal Files

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

Business Logo Sign Application Files (Forms BM-189, BM-190, and BM-191)

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

Annual Business Logo Sign Renewal Files

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

Junkyard License Application Files (Forms CJS No.1 and CJS No.2)

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

Annual Junkyard License Renewal Files

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

Adopt-A-Mile Agreement Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the participating organization ceased to participate.

Traffic Signal Agreement Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the signal was removed or upgraded.

Monthly Truck Weighing Reports

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

Rest Area and Welcome Center Inspection Files

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

Welcome Center Wastewater Discharge Permit Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

Monthly Lagoon Discharge Monitoring Reports

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

Records documenting all activities relating to mowing

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

■ **Administering Internal Operations**

Managing the Division:

DIVISION MEETING MINUTES

Disposition: PERMANENT RECORD. Retain in office.

Recordings of Meetings

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

OPERATIONAL GUIDELINES AND PROCEDURAL MANUALS

Disposition: PERMANENT RECORD. Retain in office.

Administrative Reference Files (materials not created by the division, collected and used only as reference sources of information)

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.

Calendars

Disposition: Temporary Record. Retain for useful life.

Logs (Visitors, Copier Meter Reading)

Disposition: Temporary Record. Retain for useful life.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the division's RDA (copies of transmittal forms to Archives or State Records Center, destruction notices or other evidence of obsolete records destroyed, 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 was superseded.

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 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 for 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 (copy)

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

Position Classification Files

Disposition: Temporary Record. Retain 2 years after position is reclassified.

Certification/Personnel Transaction Files

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

Records documenting application for employment

Disposition: Temporary Record. Retain 1 year after request.

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

Disposition: Temporary Record. Retain 1 year 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 1 year after separation of the employee from the agency.

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

Disposition: Temporary Record. Retain 1 year 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 (including maintenance crew day cards), 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 1 year after separation of the employee from the agency.

Records documenting the identification, implementation, and monitoring of all kinds of training (including Employee Development Program) for employees

Disposition: Temporary Record. Retain until separation of the employee from the agency.

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).

Managing Properties, Facilities, and Resources:

Real Property Ownership Records

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

Real Property Leasing/Rental Records

Disposition: Temporary Record. Retain 6 years after termination of lease or rental agreement.

Records documenting reporting on real property

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

INVENTORY LISTS

Disposition: PERMANENT RECORD. 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 3 years after the 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 security of facilities

- a. Records documenting routine administrative functions of security
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- b. Records documenting incidents occurring on facilities
Disposition: Temporary Record. Retain 3 years after resolution of incident.

Records documenting maintenance of vehicle and equipment

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

Records documenting use of state owned or leased vehicles

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

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 Transportation – Field Divisions (hereafter referred to as the division) as stipulated in this document.

One condition of this authorization is that the division submit an annual Records Disposition Authority (RDA) Implementation Report on division records management activities, including documentation of records destruction, to the department’s central office for compilation of an agency-wide report to the State Records Commission in July of each year. In addition, the division should make every effort to establish and maintain a quality record-keeping program

through the following activities:

- The division 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 division, 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 division's approved RDA.
- Permanent records in the division'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 division--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 division 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 division 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 division and inspect records destruction documentation. Government Records Division archivists are available to instruct the division staff in RDA implementation and otherwise assist the division in implementing its records management program.

The State Records Commission adopted this records disposition authority on July 22, 2003.

Edwin C. Bridges, Chairman
State Records Commission

Date

Receipt acknowledged:

Joe McInnes, Director
Department of Transportation

Date