

**Joint Fiscal Committee/  
Legislative Fiscal Office**

**Functional Analysis  
&  
Records Disposition Authority**

**Presented to the  
State Records Commission  
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# **Functional and Organizational Analysis of the Joint Fiscal Committee/Legislative Fiscal Office**

## **Sources of Information**

Representatives of the Joint Fiscal Committee/Legislative Fiscal Office

Code of Alabama, 1975, Sections 29-5-1 to 29-5-13; 16-13-235; 16-13-280 to 16-13-281; 29-2-80; 29-2-102; 29-2-122; 41-19-3.1; 41-20-9; 41-25-5

Constitution of Alabama of 1901, Amendment No. 621 and Amendment No. 709

Alabama Government Manual (2002) page 604

Legislative Fiscal Office Website

Legislative Fiscal Office Publications

## **Historical Context**

Both the Joint Fiscal Committee and Legislative Fiscal Office were created by Legislative Act No. 108 in 1975. The enabling act is codified in the Code of Alabama, Section 29-5-1, et seq.

## **Agency Organization**

The Legislative Fiscal Office (LFO) operates under the supervision of a continuing legislative committee known as the Joint Fiscal Committee. The Code of Alabama provides that the committee consists of the following ten (10) members: chairman of the House Ways and Means Committee; three members of the House Ways and Means Committee selected by the chairman of the House Ways and Means Committee; the chairman of the Senate Finance and Taxation Committee; three members of the Senate Finance and Taxation Committee selected by the chairman of the Senate Finance and Taxation Committee; the lieutenant governor; and the speaker of the House of Representatives. However, since the enactment of the statute creating the committee, the House Ways and Means Committee and the Senate Finance and Taxation Committee have each split into two committees, so that the actual composition of the Joint Fiscal Committee, by agreement of the chairs of the four budget committees, is as follows: the chairman of the House Government, Finance and Appropriations Committee; the chairman of the House Education, Finance and Appropriations Committee; two members of those House committees jointly selected by the committee chairmen; the chairman of the Senate Finance and Taxation - Education Committee; the chairman of the Senate Finance and Taxation – General Fund Committee; two members of these Senate committees jointly selected by the chairmen; the lieutenant governor; and the speaker of the House of Representatives. Members' terms are for the quadrennium for which they are elected and qualified. The chairman of the Senate Finance and Taxation-Education Committee serves as the chairman of the Joint Fiscal Committee. The committee meets at the call of the chairman, or any three members, and must meet at least once each four months.

The Legislative Fiscal Office functions under the direction, supervision, and control of a director, also known as the Legislative Fiscal Officer, appointed by the Joint Fiscal Committee. The director may appoint as many personnel as may be necessary to carry out the duties of the office. The majority of the office staff is classified as fiscal analysts. They may come from various educational backgrounds that are generally related to the functional areas to which they are assigned. Examples of the functional areas assigned to the analysts include: education, health and social services, natural resources, transportation, public protection and judiciary, and revenue and taxation. An organizational chart is attached.

## **Agency Function and Subfunctions**

The mandated function of the Legislative Fiscal Office is to provide independent, accurate, and objective fiscal information and analysis to members of the Alabama House of Representatives and the Senate. It is one of the agencies that is primarily involved in carrying out the Policy and Statute Development function of Alabama government. In the performance of its mandated functions, the office may engage in the following subfunctions:

- **Directing.** The Joint Fiscal Committee exercises general supervisory authority over the operations of the Legislative Fiscal Office, which provides fiscal information to members of the Alabama House of Representatives and the Senate. The committee also has the power to appoint the director of the Legislative Fiscal Office.
  
- **Assisting in the Legislative Budgeting Process.** In accordance with Code of Alabama, Section 29-5-7, the office is obligated to provide the House of Representatives and the Senate budget, tax, and revenue committees with “information with respect to the budget, appropriation bills and other bills authorizing or providing budget authority or tax expenditures; information with respect to revenues, receipts, estimated future revenues and receipts and changing revenue conditions.” Activities performed by the office staff may include the analysis of the proposed executive budget and tax and revenue proposals; creation of comparison sheets, change sheets, and condition of the fund sheets to show changes to the General Fund and the Education Trust Fund budgets throughout the budget process; tracking of budget, tax and revenue legislation; analysis of agency budgets and budget requests; estimation of revenue and monitoring of state tax and other receipts.
  
- **Preparing Legislative Fiscal Notes.** Code of Alabama, Section 29-5-12 mandates that every general bill creating, eliminating, or affecting a state or local program, service, function, or revenue source must be analyzed, before any vote is taken thereon in the Legislature, by staff members of the Legislative Fiscal Office first so that an estimate (known as a fiscal note) of the amount of money involved under provisions of those bills is prepared for reference by legislators. Amendment 621 to the Alabama Constitution of 1901 provides that no general law whose purpose or effect would be to require a new or increased expenditure of local funds shall become effective with regard to a local government entity

without enactment by a two-third vote unless it comes within one of a number of specified exceptions, it is approved by the affected entity, or the legislature appropriates funds or provide a local source of revenue. One of the specified exceptions is a determination by the Legislative Fiscal Office that the bill has an aggregate fiscal impact of less than \$50,000.00 annually – as reflected in the fiscal note for the bill. Fiscal notes are printed on the calendar on second reading, immediately following the title of the bill.

- **Drafting Legislation.** Upon request from individual members of the legislature, staff members of the LFO draft budget, tax, revenue and related proposals in the form of bills for introduction or in the form of substitutes for or amendments to bills which have already been introduced.
- **Staffing Special Interim Committees.** From time to time, the legislature may organize special interim committees to study or address specific issues, such as tax reform, and to make recommendations for legislation. Staff members of the Legislative Fiscal Office coordinate and participate in all activities for these committees, including the drafting of final reports.
- **Providing Information.** Staff members of the Legislative Fiscal Office conduct special research projects as requested by either legislative committees or individual legislators. Special projects may involve research, analysis, and compilation of information on government agencies, subjects, or programs. This subfunction encompasses the receipt of requests from individual legislators or committees, the assignment of the project to individual fiscal analysts, the verification of completed work, and the response to the requesting legislator or committee. Staff members also prepare various informational publications for reference. The Legislative Fiscal Officer provides legislators with information on state finances at legislative orientation prior to the organizational session held at the beginning of each legislative quadrennium.
- **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; 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 Joint Fiscal Committee/Legislative Fiscal Office**

## **Agency Record-Keeping System**

The Legislative Fiscal Office operates a hybrid system composed of a computer system and a paper record-keeping system.

The office maintains a Microsoft Access database that contains summary information about projects completed by staff members. The database contains tables that record the name of the person who requested the project; the date the project was assigned; the analyst to whom the project was assigned; the subject, category, subcategory, and keyword classifications for the project; the due date of the project; and a brief summary of the instructions for the project.

The office uses the Legislature's Alabama Legislative Information System (ALIS) software to produce bills and fiscal notes. Information is stored on a server maintained by the Legislative Computer Center.

Staff members utilize personal computers with software such as Microsoft Word, Excel, Outlook, Outlook Express and Corel WordPerfect, to produce and distribute documents and spreadsheets that are used in completing tasks assigned to them.

## **Records Appraisal**

The following is a discussion of the two major categories of records created and/or maintained by the Joint Fiscal Committee/Legislative Fiscal Office: 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.

- **Special Project Files.** This series contains special project files documenting special research requests from and responses to members of the legislature relating to fiscal matters. Included are project assignment sheets, memos, reports, research materials, and correspondence. The office staff maintains these files for 10 years for reference.
- **Draft Bills Not Introduced and Substitutes and Amendments Not Offered and/or Not Adopted.** This series is composed of bills, substitutes, and amendments drafted by the office staff. Bills which were introduced, and substitutes and amendments which were offered and adopted, become a part of the Legislative Fiscal Notes Files, which are recommended for permanent retention. Bills drafted by the office which were not introduced, and substitutes and amendments drafted by the office which were not offered and adopted, are maintained in the office, for staff reference, for 1 year after the end of the fiscal year in which the records

were created.

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

### **Directing**

- **Meeting Agendas, Minutes, and Packets of the Joint Fiscal Committee.** The Code of Alabama, Section 29-5-2, specifies that the committee should meet at the call of the chairman or any three members, but no less than once each four months. This series contains information on proposed and executed proceedings of the committee. In addition to minutes, this series also includes meeting agendas and other supporting or reference documents. The meeting minutes of the committee provide important documentation of the committee's actions that may not be found elsewhere. (RDA page 3-2) **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Joint Fiscal Committee)**

### **Assisting in the Legislative Budgeting Process**

- **Special Reports.** This series contains annual presentations made by the Legislative Fiscal Officer to the Permanent Joint Legislative Committee on Finances and Budgets at the beginning of each regular legislative session. Information in the presentation may include revenue structure of the state, appropriations for the past year, the U.S. and Alabama economy, status of the General Fund and the Education Trust Fund for the past two years, revenue projections for the upcoming year, outlook for the General Fund and the Education Trust Fund for the upcoming year, other updates on general fiscal matters, and exhibits. (RDA page 3-2) **(Bibliographic Title: Special Reports)**
- **Budget Request Hearing Analysis Reports.** At the request of legislative committees, the director of the Legislative Fiscal Office is responsible for creating budget request hearing analysis reports for those agencies designated by legislative committees which conduct budget hearings. These reports serve as reference materials for members of legislative committees during the hearings. (RDA page 3-2) **(Bibliographic Title: Budget Request Hearing Analysis Reports)**
- **Certifications of Projected Revenue for the Education Trust Fund.** In accordance with Amendment 709 to the Alabama Constitution, the Legislative Fiscal Officer is required to certify, in conjunction with a separate certification by the Finance Director, the projected growth in the Education Trust Fund. Beginning in 2002, withdrawals from the Education Trust Fund Rainy Day Account must be limited to the estimated revenue certified by the Legislative Fiscal Officer and the Finance Director. This series consists of copies of the certification prepared by the Legislative Fiscal Officer. Information on the certification include projected receipts, projected growth, signature of the Legislative Fiscal Officer, and notary public. (RDA page 3-2) **(Bibliographic Title: Certifications of Projected Revenue)**

## for the Education Trust Fund)

- **General Fund and Education Trust Fund Budget Comparison Sheets, Change Sheets, and Conditions of the Funds.** While comparison and change sheets summarize and track changes in the budget documents throughout the legislative process, the Conditions of the Funds illustrate the status of the General Fund and the Education Trust Fund throughout the budget process. (RDA page 3- 2) **(Bibliographic Title: Financial Records Related to the Status of Changes to the General and Education Trust Funds)**

## Preparing Legislative Fiscal Notes

- **Legislative Fiscal Notes Files.** For all general bills and certain local bills creating, eliminating, or affecting a state or local program, service, function, or revenue source fiscal notes are prepared and attached for reference by legislators when the bills are placed on a committee agenda. This series consists of fiscal notes, analyst notes, reports, and other related research materials or supporting documents. After a bill is passed by the legislature, an enacted fiscal note is also prepared by the office staff based on changes to the bill. These files should be maintained as core documentation for this office. (RDA page 3-2) **(Bibliographic Title: Legislative Fiscal Notes Files)**
- **Legislative Fiscal Notes Logs.** This series is composed of a listing of data created and used by the office staff as finding aids to the Legislative Fiscal Notes Files. Information on the log includes bill number, sponsor's name, committee, fiscal analyst's name, date the bill is introduced, completion date of fiscal note, and committee action. (RDA page 3-3) **(Bibliographic Title: Legislative Fiscal Notes Logs )**

## Staffing Special Interim Committees

- **Records and Reports of Interim Committees Staffed by the Office.** These records contain a variety of materials relating to the work of each committee. Since the majority of interim committees are organized to deal with notable subjects, these records should be maintained permanently. (RDA page 3-2) **(Bibliographic Title: Interim Committee Records)**

## Providing Information

- **Informational Publications.** Staff members prepare various informational publications for reference. These publications may include, but are not limited to: Legislative Orientation Report of the Legislative Fiscal Officer, A Legislator's Guide to Alabama's Taxes, Budget Fact Book, Significant Legislation Summaries, Alabama K-12 Education Data Handbook, Higher Education Fact Book – Alabama Four-Year and Two-Year Institutions, and Higher Education Fact Book – State to State Comparison. They should be preserved as part of the State Publication Collection. (RDA page 3-3) **(Bibliographic Title: State Publications)**

## Administering Internal Operations

- **Administrative Files of the Director.** This series, although consisting of correspondence of the director, also contains other records documenting important activities of the agency. These files should be maintained permanently to document the role of the director in managing the agency. (RDA pg. 3-3) **(Bibliographic Title: Administrative Files)**
- **Website.** The agency has a website at [www.lfo.state.al.us](http://www.lfo.state.al.us). Information on the website includes the agency's mission statement, governance, duties, publications, budget and fiscal information, special reports, and staff directory. The website should be preserved as it serves as an important medium for communication with the public. (RDA page 3-3) **(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**

### **Joint Fiscal Committee/Legislative Fiscal Office**

#### **Directing**

1. Meeting Agendas, Minutes, and Packets of the Joint Fiscal Committee

#### **Assisting in the Legislative Budgeting Process**

1. Special Reports
2. Budget Request Hearing Analysis Reports
3. Certifications of Projected Revenue for the Education Trust Fund\*
4. General Fund and Education Trust Fund Budget Comparison Sheets, Change Sheets, and Conditions of the Funds

#### **Preparing Legislative Fiscal Notes**

1. Legislative Fiscal Notes Files
2. Legislative Fiscal Notes Logs

#### **Staffing Special Interim Committees**

1. Records and Reports of Interim Committees Staffed by the Office

#### **Providing Information**

1. Informational Publications

#### **Administering Internal Operations**

1. Administrative 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.

# Joint Fiscal Committee/Legislative Fiscal Office 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 Joint Fiscal Committee/Legislative Fiscal Office. The RDA lists records created and maintained by the Joint Fiscal Committee/Legislative Fiscal Office 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 Joint Fiscal Committee/Legislative Fiscal Office 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 Joint Fiscal Committee/Legislative Fiscal Office 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 Joint Fiscal Committee/Legislative Fiscal Office 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.

### **■ Directing**

MEETING AGENDAS, MINUTES, AND PACKETS OF THE JOINT FISCAL COMMITTEE  
Disposition: PERMANENT RECORD.

Copies of Posted Notices of Meetings  
Disposition: Temporary Record. Retain 3 years.

### **■ Assisting in the Legislative Budgeting Process**

SPECIAL REPORTS  
Disposition: PERMANENT RECORD.

BUDGET REQUEST HEARING ANALYSIS REPORTS  
Disposition: PERMANENT RECORD.

CERTIFICATIONS OF PROJECTED REVENUE FOR THE EDUCATION TRUST FUND  
Disposition: PERMANENT RECORD.

GENERAL FUND AND EDUCATION TRUST FUND BUDGET COMPARISON SHEETS,  
CHANGE SHEETS, AND CONDITIONS OF THE FUNDS  
Disposition: PERMANENT RECORD.

Annual Agency Budget Requests (Copies)  
Disposition: Temporary Record. Retain 5 years.

Reports Required by Law Submitted to the Legislative Fiscal Officer by Various State Agencies  
(Copies)  
Disposition: Temporary Record. Retain for useful life.

■ **Preparing Legislative Fiscal Notes**

LEGISLATIVE FISCAL NOTES FILES  
Disposition: PERMANENT RECORD.

LEGISLATIVE FISCAL NOTES LOGS  
Disposition: PERMANENT RECORD.

■ **Drafting Legislation**

Draft Bills Not Introduced and Substitutes and Amendments Not Offered and/or Not Adopted  
Disposition: Temporary Record. Retain 1 year after the fiscal year in which the records were created.

■ **Staffing Special Interim Committees**

RECORDS AND REPORTS OF INTERIM COMMITTEES STAFFED BY THE OFFICE  
Disposition: PERMANENT RECORD.

■ **Providing Information**

INFORMATIONAL PUBLICATIONS  
Disposition: PERMANENT RECORD.

Special Project Files  
Disposition: Temporary Record. Retain 10 years.

Index to Special Project Files  
Disposition: Temporary Record. Retain for useful life.

■ **Administering Internal Operations**

**Managing the Agency:**  
ADMINISTRATIVE 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.

Telephone Call Records

Disposition: Temporary Record. Retain for useful life.

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).

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 (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.

Records documenting job description

Disposition: Temporary Record. Retain until superseded.

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 an employee's leave earned and leave taken

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.

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.

### **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.

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 (RDA)**

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 Joint Fiscal Committee/Legislative Fiscal Office (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 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 October 25, 2006.

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

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Date

Receipt acknowledged.

\_\_\_\_\_  
Joyce Bigbee, Director  
Legislative Fiscal Office

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Date