

# **Revision to Alabama Department of Transportation Records Disposition Authority**

At the request of the Alabama Department of Transportation, the State Records Commission approved the following revision to the Alabama Department of Transportation's RDA:

## **1. Planning**

Planning Agreements

Disposition: Temporary Record. Retain until no longer valid.

Cost Allocation Plan

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

Traffic Requests

Disposition: Retain 10 years after the end of the fiscal year in which the records were created

### **■ Coordinating Pre-Construction Activities**

Records documenting design of highway and bridge plans

CONTRACT PLANS (AS LET)

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)

Construction Records (Fabrication drawings; welder certifications; welding procedures; films of weldments; NDE reports of weldments; SSI project records and logs; in-shop fabrication records; correspondence)

Disposition: Retain 10 years after the completion of the construction project.

Subsidiary documentation of the design process

Disposition: Retain 3 years after the completion of the construction project.

Records documenting utility agreement process

Disposition: Retain 3 years after the final utility invoice is paid or after the construction project is completed, whichever is longer.

Bridge Card Files

Disposition: Retain for Life of Structure.

Bridge Foundation Borings  
Disposition: Retain for life of the structure.

Bridge Hydraulic Reports  
Disposition: Retain for life of the structure.

Bridge Pile Driving Records  
Disposition: Retain for life of the structure.

Funding Agreements With Other Agencies  
Disposition: Temporary Record. Retain 6 years after expiration of agreement.

■ **Acquiring Rights-of-Way**

Records documenting all activities (including authorization provided to divisions to acquire rights-of-way, but excluding the appraisal of property) relating to the acquisition of rights-of-way  
Disposition: Temporary Record. Retain 3 years from the date the state receives federal reimbursement of the final payment made to each owner of a property and to each person displaced from a property; or retain 3 years from the date a credit toward the federal share of a project is approved based on early acquisition activities of the state (23 CAR 710.201[f][1]).

RECORDS DOCUMENTING SALE OF REAL PROPERTIES

Disposition: PERMANENT RECORD. Retain in Office.

■ **Testing and Approving Highway/Bridge Construction Materials**

AGREEMENTS/CONTRACTS FOR THE PERFORMANCE OF RESEARCH STUDIES

Disposition: PERMANENT RECORD. Retain in Office.

■ **Administering Contracts for Highway/Bridge Construction Projects**

Records of Distribution of Proposals/Plan Changes

Disposition: Temporary Record. Retain 5 years.

■ **Assisting Counties with Highway/Bridge Construction Projects**

NUMBERED MEMORANDA

Disposition: PERMANENT RECORD. Retain in Office.

■ **Administering Highway Safety Programs**

Records documenting multi-jurisdictional/specially funded traffic safety programs  
Disposition: Retain 3 years after the end of the fiscal year in which the project was completed.

Records documenting specially funded traffic safety programs  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

■ **Collecting, Compiling, Analyzing, and Reporting Data**

HIGHWAY FUNCTIONAL CLASSIFICATION MAPS  
Disposition: PERMANENT RECORD. Retain in Office.

ANNUAL AVERAGE DAILY TRAFFIC VOLUME REPORTS  
Disposition: PERMANENT RECORD. Retain in Office

ROAD DESCRIPTIONS  
Disposition: PERMANENT RECORD. Retain in Office.

Traffic Origin and Destination Studies  
Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the project was completed.

Highway Performance Monitoring System Records (includes report and sample section)  
Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the project was completed.

Linear Reference System Records  
Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the project was completed.

Link/Node Reference System Records  
Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the project was completed.

Mileage Reports Not Required by FHWA  
Disposition: Temporary Record. Retain for useful life.

County and Local Mileage Reports  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the record was created.

Annual/Monthly Motor Fuel Reports

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

## ■ **Administering Multimodal Transportation Programs**

### **Administering Congressional Earmark (non-highway related) Projects:**

CONGRESSIONAL EARMARK (NON-HIGHWAY RELATED) PROJECT NARRATIVE REPORTS

Disposition: PERMANENT RECORD.

Records documenting routine project activities and compliance with project requirements

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

### **Administering Scenic Byway Projects:**

NATIONAL SCENIC BYWAY PROJECT NARRATIVE REPORTS

Disposition: PERMANENT RECORD.

## ■ **Regulating and Developing Aeronautical Facilities**

Airport/Heliport Inspection Files

Disposition: Temporary Record. Retain 5 years after airport's closure.

## ■ **Administering Internal Operations**

### **Managing the Agency:**

Litigation Case Files

Disposition: Temporary Record. Retain 6 years after the resolution of the complaint or case.

Requests for Production

Disposition: Temporary Record. Retain 3 years.

RECORDS DOCUMENTING THE IMPLEMENTATION OF THE AGENCY'S RDA (transmittals to Archives, approved destruction notices, approved RDAs, annual reports to SRC, disaster plans, and long-term plans)

Disposition: PERMANENT RECORD. Retain in Office.

Finding Aids

Disposition: Temporary Record. Retain until superseded or obsolete.

DOT Records Center and OneView Access Authorizations  
Disposition: Temporary Record. Retain 3 years after superseded.

DOT Records Center Transmittals and Records Requests  
Disposition: Temporary Record. Retain for life of transmitted/requested record.

System Documentation (hardware/software manuals, guidelines, diskettes, and 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.

System Discrepancy Reports and Updates  
Disposition: Temporary Record. Retain for life of system.

Weekly Discrepancy Report Summaries  
Disposition: Temporary Record. Retain 1 year.

Records of terms of agreements and payments of ISD and Mainframe Software and Hardware  
Disposition: Temporary Record. Retain 5 years.

Mainframe System Activity Logs  
Disposition: Temporary Record. Retain 3 months.

Records documenting writing of specifications for computer equipment  
Disposition: Temporary Record. Retain until superseded.

Software License Cards and Database  
Disposition: Temporary Record. Retain 1 year after implementation of SMS.

System Security and Access Forms  
Disposition: Temporary Record. Retain 6 months.

Thermograph Sheets/Logs  
Disposition: Temporary Record. Retain for useful life.

Daily Disaster Recovery Inventory Reports  
Disposition: Temporary Record. Retain 3 months.

**Managing Finances:**

Original Bid Records Maintained In the Purchasing Office Of The Department Of Transportation For Contracts Over \$7500  
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.

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.

~~Other bid records~~

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

Records documenting Internal Audit (not Internal Audit Report)

Disposition: Temporary Record. Retain until superseded.

PEER Review Audit Records

Disposition: Temporary Record. Retain 4 years.

Contract Audit Reports (external)

Disposition: Temporary Record. Retain 3 years after the final payment of the contract.

External Audit Records

Disposition: Temporary Record. Retain 5 years.

External Single Audit Financial Reports

Disposition: Temporary Record. Retain 5 years after last audit.

Consultant Cost Plus Invoices

Disposition: Temporary Record. Retain 3 years after expiration of contract.

Project Files/Cash Receipts

Disposition: Temporary Record. Retain 3 years after final closure by FHWA.

**Managing Human Resources:**

~~Position Classification Files~~

~~Disposition: Temporary Record. Retain 4 years after position is reclassified.~~

~~Certification/Personnel Transaction Files~~

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

Subsidiary Employment Documentation in Bureaus/Divisions

Disposition: Temporary Record. Retain until inclusion of necessary documentation in employee's personnel file.

#### Training Program Records

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

#### Records Documenting Interviewing and Selecting Individuals for Employment

Disposition: Temporary Record. Retain 3 years.

#### Commercial Driver License Drug Testing Files

Disposition: Temporary Record. Retain 1 year after separation of the employee from the department or 2 years, whichever is longer.

#### Suspension/Termination Review Files

Disposition: Temporary Record. Retain 3 years after case is closed.

#### Contract Compliance Review Records

Disposition: Temporary Record. Retain 3 years after final closure by FHWA.

#### Title VI Review Records

Disposition: Temporary Record. Retain 3 years after final closure by FHWA.

#### On the Job Training Program Records

Disposition: Temporary Record. Retain 3 years after final closure by FHWA.

#### State Employee Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency or 3 years after final disbursement, whichever is longer.

#### Disadvantaged Business Enterprise (DBE) Program Administrative Records

Disposition: Temporary Record. Retain 3 years.

#### Disadvantaged Business Enterprise (DBE) Certified Firm Files

Disposition: Temporary Record. Retain 3 years.

#### Disadvantaged Business Enterprise (DBE) Certification Denials

Disposition: Temporary Record. Retain 3 years after denial.

#### Disadvantaged Business Enterprise (DBE) Program Inactive Certified Firm Files

Disposition: Temporary Record. Retain 1 year after becoming inactive.

#### Disadvantaged Business Enterprise (DBE) Program Non-certified Applicant Files

Disposition: Temporary Record. Retain 1 year.

#### Disadvantaged Business Enterprise (DBE) Project Files

Disposition: Temporary Record. Retain 3 years after project is final.

Employee Assistance Records

Disposition: Temporary Record. Retain 6 years after last contact.

MONTHLY REPORTS OF RECRUITING ACTIVITIES

Disposition: PERMANENT RECORD. Retain in Office.

FHWA COMPLIANCE YEARLY REPORTS

Disposition: PERMANENT RECORD. Retain in Office.

**Managing Properties, Facilities, and Resources:**

Records documenting the requisition, transfer, and disposal of equipment (includes property inventory cards and electronic files)

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

**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 Department of Transportation (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 April 25, 2007.

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

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Date

Receipt acknowledged:

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Joe McInnes, Director  
Alabama Department of Transportation

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Date