

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 for field divisions:

**strikeout denotes deletion*

**underlined denotes addition/revision*

■ Coordinating Pre-Construction Activities

Records documenting all activities relating to the planning and execution of pre-construction activities (including preliminary design plans, receipts, transmittals, general correspondence, traffic reports, studies, BR eligibility, agreements, permit approvals, permits, calculations, etc., but excluding right-of-way records and agreements and design records that document design decisions)

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

Disposition: Temporary Record.

Retain records of built projects 3 years after completion of construction.

Retain transitory records of the design of projects not to be built for useful life.

The following two records series are currently listed in the agency's RDA for the central office, but need to be added to field divisions:

SURVEYOR FILES

Disposition: PERMANENT RECORD. Retain in Office.

DESIGN DOCUMENTATION

Disposition: PERMANENT RECORD. Retain in Office.

■ Supervising Construction

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.~~

~~Disposition: Temporary Record. Retain 6 years after final closure by the Federal Highway Administration.~~

~~For non-federal participating projects, retain 6 years from the contractor's final payment voucher has been processed.~~

Project Diaries

~~Disposition: Temporary Record. Retain 13 years after project is completed and accepted.~~

Construction Information Memoranda

~~Disposition: Temporary Record. Retain 3 years after superseded.~~

■ **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.~~

**This series is to be replaced by the following:*

Turn Out Applications and Permits

~~Disposition: Division Copy: Temporary Record. Retain 3 years after permit is issued.~~

~~_____ 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.~~

**This series is to be replaced by the following:*

~~Utility Permit Applications for accommodation/installation on public rights-of-way~~

~~Disposition: Division Copy: Temporary Record. Retain 3 years after the end of the fiscal year in which the bond was returned.~~

~~_____ District Copy: Temporary Record. Retain until utility is removed.~~

Permit Applications for Drainage Structures, Landscaping, Political Boundary Signs, and other Directional Signs

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

District Copy: PERMANENT RECORD. Retain in Office.

~~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.*~~

**This series is to be replaced by the following:*

Maintenance Agreements

Disposition: Temporary Record. Retain for life of agreement.

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.~~

Disposition: Temporary Record. Retain 1 year after removal or 3 years after the end of the fiscal year in which the permit was paid for, whichever is longer.

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.~~

Disposition: Temporary Record. Retain 1 year after removal or 3 years after the end of the fiscal year in which the permit was paid for, whichever is longer.

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.~~

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the signal was removed or is no longer in operation.

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.~~

Disposition: Temporary Record. Retain 3 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:

Accident Review Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the accident was reviewed by the agency's Accident Review Committee.

Encroachment Notice Orders

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

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

~~CONSTRUCTION INFORMATION AND COUNTY TRANSPORTATION
MEMORANDUMS~~

~~Disposition: PERMANENT RECORD. Retain in Office.~~

~~COUNTY AID MEMORANDUMS~~

~~Disposition: PERMANENT RECORD. Retain in Office.~~

Construction Information, County Transportation, and County Aid memoranda*

Disposition: Temporary Record: Retain for useful life.

** The agency's County Transportation Bureau maintains these records permanently.*

County As-Let Plans*

~~Disposition: Temporary Record: Retain until project is accepted.~~

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

** Individual county commission maintains these records permanently.*

County As-Built Plans*

~~Disposition: Temporary Record: Retain 3 years after project completion.~~

Disposition: Temporary Record: Return to county commission after final estimate check.

** Individual county commission maintains these records permanently.*

County Construction Project Files (includes Form C-13C)

~~Disposition: Temporary Record: Retain 3 years after final estimate period.~~

Disposition: Temporary Record: Retain 3 years after final payment.

Project Record Files for County and City Projects (state and federal aid)

~~Disposition: Temporary Record: Retain 3 years after project completion.~~

Disposition: Temporary Record: Retain 3 years after final payment.

■ Administering Internal Operations

Managing the Division:

~~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.~~

** These records are maintained by the agency's Office Engineer Bureau.*

~~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.~~

** These records are maintained by the agency's Computer Services Bureau.*

Managing Human Resources:

** Due to the Reynolds Consent Decree, the agency is required to keep personnel related records created from 1979 until the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.*

Records documenting job descriptions (including Form 40)

Disposition: Temporary Record. Retain until superseded.

Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

Position Classification Files

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

Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

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.

Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

Records documenting interviewing and selecting

Disposition: Temporary Record. Retain 3 year after the position is filled.

Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

Division Personnel Files (including, but are not limited to, certification/personnel transaction files, payroll deduction authorizations, final leave status, completion of courses and programs, policy acknowledgments, warning, write-ups, etc.)

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

Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

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.

Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

Records documenting an employee's hours worked (including maintenance crew day cards), leave earned, and leave taken (including time sheets), and leave donations

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

Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

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.

Subsidiary Training Documentation (including certification records of required course)

Disposition: Temporary Record. Retain 3 years or until completion of course or program, whichever is longer.

Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

Records documenting verification of accuracy of State Personnel Department records

Disposition: Temporary Record. Retain for useful life.

Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

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.

Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

b. Complaint Records

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

Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

~~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:

INVENTORY LISTS

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

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 July 25, 2007.

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

Date

Receipt acknowledged:

Joe McInnes, Director
Alabama Department of Transportation

Date