

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:

A. Central Office:

I. Addition:

Coordinating Pre-Construction Activities:

Signed Letting Lists (lists of projects approved/signed by governor for bid)

Disposition: Temporary Record. Retain 10 years.

Bid Review Committee Letters (letters of recommendation from internal committee to the agency director regarding project bidders)

Disposition: Temporary Record. Retain 10 years.

Administering Contracts for Highway/Bridge Construction Projects:

Mail Records

Disposition: Temporary Record. Retain 1 year.

Special Provisions/General Application Lists (copies of changes to the agency's spec book that are captured in new spec book and are only useful to bidders on projects)

Disposition: Temporary Record. Retain 1 year after the release of subsequent specification book.

Proposal/Plan Changes

Disposition: Temporary Record. Retain 5 years.

Newspaper Advertisement of Projects to be Let (Open for Bid)

Disposition: Temporary Record. Retain 5 years.

Newspaper Advertisement Requests

Disposition: Temporary Record. Retain 1 year.

Regulating and Developing Aeronautical Facilities:

Airport Design Plans

Disposition: Temporary Record. Retain until project is completed.

Administering Internal Operations:

Managing the Agency:

Administrative Procedures Rule Filings

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

records were created.

Register of Administrative Procedures Rule Filings

Disposition: PERMANENT RECORD. Retain in office (Code of Alabama 1975, Section 41-22-6).

Collection Files

Disposition: Temporary Record. Retain 3years after closure.

Managing Finances:

Examiners of Public Accounts Audit Reports

Disposition: Temporary Records. Retain 6 years after the end of the fiscal year in which it was created.

Internal Audit Reports

Disposition: Permanent Record.

Internal Audit Work Papers

Disposition: Temporary Records. Retain 6 years or until subsequent audit of that area, whichever is longer.

Bid Records for Public Works Projects

Disposition: Temporary Records. Retain 5 years.

Managing Human Resources:

Payroll Register from Department of Finance

Disposition: Temporary Record. Retain for useful life.

Employee Assistance Records

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

The Family and Medical Leave Act (FMLA) records

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

II. Revision:

Collecting, Compiling, Analyzing, and Reporting Data:
ROAD INVENTORY AND VIDEO LOGGING RECORDS
Disposition: PERMANENT RECORD.

Records documenting the gathering of annual average daily traffic volumes
Subsidiary Documentation
Disposition: Temporary Record. Retain 5 years.

Administering Internal Operations:

Managing Human Resources:

Records documenting drug testing
Disposition: Temporary Record. Retain 1 year after separation of the employee from the department.

B. Field Divisions:

I. Addition:

Assisting Counties with Highway/Bridge Construction Projects. The Department of Transportation assists counties in the design, construction, and maintenance of county roads/bridges and administers state and federal money for highway construction projects. The agency disseminates procedural guidelines for counties to use in preparing construction documents.

Equipment Usage Reports
Disposition: Temporary Record: Retain 1 year.

Annual Road Inspection and Maintenance Inspection Files
Disposition: Temporary Record: Retain 5 years.

CONSTRUCTION INFORMATION AND COUNTY TRANSPORTATION
MEMORANDUMS

Disposition: PERMANENT RECORD. Retain in Office.

As-let County Plans

Disposition: Temporary Record: Retain until project is accepted.

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

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

As-built Plans

Disposition: Temporary Record: Retain 3 years after project completion

COUNTY AID MEMORANDUMS

Disposition: PERMANENT RECORD. Retain in Office.

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

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

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 26, 2006.

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

Date

Receipt acknowledged:

Joe McInnes, Director
Alabama Department of Transportation

Date