

Alabama Senior Citizens Hall of Fame

Functional Analysis & Records Disposition Authority

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State Records Commission
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Functional and Organizational Analysis of the Alabama Senior Citizens Hall of Fame

Sources of Information

Representatives of the Alabama Senior Citizens Hall of Fame

Code of Alabama 1975, Sections 41-9-740 through 41-9-745

Alabama Government Manual (1994)

Audit Report for the Alabama Senior Citizens Hall of Fame, October 1, 1997 through September 30, 1999

Historical Context

The legislature created the agency in 1983 to provide for the recognition of citizens who have made significant contributions to the lives of older citizens. The original members of the hall were elected by a committee appointed by the governor for this purpose.

Agency Organization

The Senior Citizens Hall of Fame consists of citizens as elected by existing members by majority vote. No more than ten members may be elected in any calendar year. An executive committee governs the agency with a chairperson and secretary elected by the members. Members meet annually to award new memberships. The agency does not employ any personnel. The Alabama Department of Senior Services provides office space and clerical services at no charge to the Senior Citizens Hall of Fame. An accountant of the Department of Senior Services maintains the accounting records of the agency. Other department employees perform other services such as organizing the annual induction ceremony. An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the agency is to bestow honor and recognition upon deserving citizens for their outstanding accomplishments, service, and contributions to the lives of older citizens. It is one of the agencies primarily involved in carrying out the Stewardship function of state government. In the performance of its mandated function, the agency may engage in the following subfunctions.

- **Selecting.** The agency is responsible for carrying out the process of selecting citizens to become members of the Senior Citizens Hall of Fame and also selects individuals for other awards and recognition. Any Alabama citizen may nominate a person who has outstanding accomplishments, service, and contributions to the lives of older citizens. Citizens must

submit written nominations, which contain detailed information about the accomplishments, service, and contributions of the nominee. The agency prepares the ballot and submits it to the members, who vote at the meeting.

- **Honoring.** The agency plans and carries out an annual event to honor the citizens it has selected for the Senior Citizens Hall of Fame and other awards. The agency maintains space inside the tunnel that runs between the Capitol and the State House where it displays statues, plaques, books, papers, pictures, and other exhibits honoring members.
- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

Managing the Agency: Activities involved in managing the agency may include internal office management activities such as corresponding and communicating; scheduling; meeting; creating policy and procedures; reporting; litigating; legislating (drafting, lobbying, tracking); 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 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 Alabama Senior Citizens Hall of Fame

Agency Record Keeping System

The Department of Senior Services uses personal computers for word processing and administrative activities, but maintains most of the records of the Senior Citizens Hall of Fame in paper form.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the agency: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered their active life and be disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the agency are discussed below:

- **Loan Files.** Not all of the items in the display collection belong to the agency. Many of the items are on loan. The agency needs the loan files for twenty-five years after the disposition of each item to document that the item was either returned to the owner or disposed of per the request of the owner.

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

Selecting:

- **Meeting Minutes of the Alabama Senior Citizens Hall of Fame.** The meeting minutes constitute the core documentation of the agency's activities. Besides documenting the selection process among candidates for the Hall of Fame, the minutes provide evidence of other subfunction activities. (RDA 3-2) **(Bibliographic Title: Meeting Minutes)**

Honoring:

- **Inductee and Special Awards/Recognition Files.** Once the agency inducts a nominee into the Senior Citizens Hall of Fame, the nominee file becomes an inductee file. This biographical information file is documentation of the achievements of the inductee and why he/she is worthy of induction. Information is added to the file as needed. The special awards/recognition files document the special awards given by the agency (RDA 3-2) **(Bibliographic Title: Inductee Files)**

Administering Internal Operations:

- **Publications, News Releases, and Photographs.** The publications, news releases and photographs of the agency serve as documentation of the actions of the agency and its members. Current publications include an annual banquet booklet. (RDA 3-3)
(Bibliographic Title: Publications; News Releases; Photographs)

Permanent Records List Alabama Senior Citizens Hall of Fame

Selecting:

1. Meeting Minutes of the Alabama Senior Citizens Hall of Fame

Honoring:

1. Inductee and Special Awards/Recognition Files

Administrating Internal Operations:

1. Publications, News Releases, and Photographs

Alabama Senior Citizens Hall of Fame 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 Senior Citizens Hall of Fame. The RDA lists records created and maintained by the Senior Citizens Hall of Fame 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 Senior Citizens Hall of Fame 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 Alabama Senior Citizens Hall of Fame's records. Copies of superseded schedules are no longer valid and should be discarded.
- The 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 records-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 require 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, 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 Alabama Senior Citizens Hall of Fame 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 Alabama Senior Citizens Hall of Fame may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

■ **Selecting**

Nominee Files

Disposition: Temporary Record. Retain 5 years unless the nominee is inducted, in which case transfer to Inductee File.

Ballots

Disposition: Temporary Record. Retain 2 years.

MEETING MINUTES OF THE ALABAMA SENIOR CITIZENS HALL OF FAME

Disposition: PERMANENT RECORD.

Recordings of Meetings

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

■ **Honoring**

INDUCTEE AND SPECIAL AWARDS/RECOGNITION FILES

Disposition: PERMANENT RECORD.

PHOTOGRAPHS

Disposition: PERMANENT RECORD.

Display Inventory

Disposition: Temporary Record. Retain until superseded.

Loan Files

Disposition: Temporary Record. Retain 25 years after disposition of loaned item(s).

■ **Administering Internal Operations**

Managing the Agency:

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Mailing Lists/RSVP Cards

Disposition: Temporary Record. Retain for useful life.

PUBLICATIONS AND NEWS RELEASES

Disposition: PERMANENT RECORD.

Correspondence

Disposition: Temporary Record. Retain 3 years.

Calendar of Events

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

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.

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 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 end of the fiscal year in which the records were created.

Records of original entry or routine accounting transactions such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and cancelled checks

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

Records documenting requests for authorization to travel on official business and other related materials, such as travel reimbursement forms and itineraries

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

Contractual records established for the purpose of services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

Disposition: Retain in office (Code of Alabama 1975, Sections 41-16-24).

Agency Audit Reports

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

Managing Properties, Facilities, and Resources:

Semiannual Inventory Lists

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

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 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 the lease or rental of office or warehouse space for the department

Disposition: Temporary Record. Retain 6 years after expiration of the lease.

Approval of Records Disposition Authority

By signing this agreement the agency acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Senior Citizens Hall of Fame will designate a managerial position as the agency records officer. This position 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, submitting an annual report on records management activities to the State Records Commission in July of each year, and ensuring the regular implementation of the agency's approved RDA.
- Permanent records in the Senior Citizens Hall of Fame's custody will 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 Senior Citizens Hall of Fame agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the agency and to inspect records destruction documentation. Government Records Division archivists are available to train the agency's staff in RDA implementation and otherwise assist the agency in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
George L. Layton, Executive Director
Alabama Senior Citizens Hall of Fame

By: _____ Date: _____
Edwin C. Bridges, Chairman
State Records Commission