ALABAMA DEPARTMENT OF ARCHIVES AND HISTORY

ARCHIVES DIVISION
RECORDS MANAGEMENT SECTION

FISCAL YEAR 2019
ANNUAL REPORT

Alabama DEPARTMENT OF ARCHIVES & HISTORY

CONTENTS

ABOUT US 3

STATE AND LOCAL GOVERNMENT RECORDS COMMISSION UPDATES 4-7

PERMANENT RECORDS TRANSMITTALS 8

STATE RECORDS CENTER ACTIVITY 9

ANNUAL RDA IMPLEMENTATION REPORTS: STATISTICS & SURVEY RESULTS 10

LOCAL DESTRUCTION OF OBSOLETE RECORDS 11

ELECTRONIC RECORDS 12-13

STATE, LOCAL, & PRIVATE/NONPROFIT OUTREACH 14-18

CONTACT US 19

RECORDS MANAGEMENT

One of the Alabama Department of Archives and History's (ADAH) central missions is to aid state and local governments in the management of their records. From the mountains of north Alabama to the Mobile Bay, Records Management staff work with state and local agencies to organize, manage, and preserve their records for long-term access. This work is vital in the preservation of government records for the benefit of current and future generations of Alabamians.

The Records Management Section serves as support staff for the State Records Commission and the Local Government Records Commission. The Commissions issue retention requirements for state and local government records based on the records' evidential, informational, and historical value. No state, county, municipal or other public official shall cause any state or local government records to be destroyed without first obtaining approval of the State or Local Government Records Commissions (Code of Alabama 1975 § 41-13-21 through 23). Through collaboration with agency representatives, Records Management staff survey government records and develop retention schedules known as Records Disposition Authorities, or RDAs.

Each year, Records Management Section staff assist agencies by providing free, onsite records-management training, transferring permanent records to the Alabama Department of Archives and History for continued preservation, offering storage and access services for temporary records at the State Records Center, and collecting documentation related to RDA implementation. This annual report provides a snapshot of the Records Management Section's work in Fiscal Year 2019.

STATE AND LOCAL GOVERNMENT RECORDS COMMISSIONS

The **State Records Commission** and **Local Government Records Commission** are charged by the Code of Alabama § 41-13-21 and 41-13-23 with determining **"which government records shall be permanently preserved... and which may be destroyed or otherwise disposed of."** Both Commissions are chaired by the director of the Alabama Department of Archives and History. The Commissions meet each April and October to review records activity at state and local levels as presented by members of the Records Management Section, who serve as support staff to both Commissions.

The **State Records Commission** is comprised of representatives from nine state agencies, including the Examiners of Public Accounts, the Office of the Attorney General, and the Office of the Secretary of State. Commissioners are tasked with approving all **Records Disposition Authorities, or RDAs**. RDAs list all records that an agency creates or may create in the course of its business and prescribe minimum retentions for each record type. RDAs are written by Records Management Section staff in consultation with agency representatives to make the document as comprehensive as possible.

The **Local Government Records Commission** is comprised of sixteen representatives from state agencies and local government bodies, including a school superintendent, a county sheriff, a probate judge, and a county administrator, among others. Local government RDAs apply to **broad categories of local agencies**, such as Municipalities, Fire Departments, County Commissions, and Boards of Education. All municipalities, for example, are covered by the Municipalities RDA. Commissioners revise each of these RDAs based on recommendations from local representatives or Records Management Section staff.

STATE RECORDS COMMISSION

OCTOBER 24, 2018

Alabama School of Mathematics and Science (Minor RDA Revision)

The Alabama School of Mathematics and Science in Mobile is a public residential high school for sophomores, juniors, and seniors pursuing advanced studies in math, science, and the humanities.

The minor revision to the RDA clarified which documents are included in "Student Permanent Records." The revised RDA combines Student Permanent Records and Student Transcripts into one series titled "Student Permanent Records (Transcripts)" with a list of specific records covered by this series.

Alabama Department of Commerce (Major RDA Revision)

The Department of Commerce coordinates with other federal, state, and local government entities to promote economic development of the state's business and industrial resources.

This revised RDA covers the department's Business Development Division. An RDA describing records created by the Workforce Development Division is pending development. Newly described record series include records of tax credit programs designed to bring business to Alabama with economic incentives and records related to grant projects.

Board of Medical Examiners/Medical Licensure Commission (Major RDA Revision)

The Board of Medical Examiners and the Medical Licensure Commission together license and regulate medical doctors and doctors of osteopathic medicine who practice in Alabama.

New subfunctions include "Processing Physician Applications for Expedited Licensure under the Interstate Medical Licensure Compact" and "Treating and Rehabilitating Impaired Physicians." The new subfunction "Registering Physicians Who Provide Pain Management Services" reflects increased supervision over these services in reponse to the opioid crisis.

Alabama State Board of Pharmacy (Major RDA Revision)

The State Board of Pharmacy regulates and licenses pharmacists, pharmacies, and drug distributors in Alabama and enforces pharmaceutical laws in the state.

The revised RDA includes the additional subfunction "Treating and Rehabilitating Impaired Pharmacists" and associated record series. The revised subfunction "Approving Pharmacy Education Programs" reflects the board's use of the national standards of the Accreditation Council for Pharmacy Education.

Mobile County Health Department (Major RDA Revision)

The Mobile County Health Department promotes the health of residents of Mobile County by providing health information, ensuring access to quality health services, preventing disease, and enforcing health regulations.

This revised RDA separates some record series and provides additional descriptions and justifications for the retention of several record series, such as "Onsite Sewage Disposal System Application and Maintenance Files" and "Radiation Exposure Reports." The record series "Narcotics Dispensation Records" describes records created in compliance with federal regulations.

STATE RECORDS COMMISSION

APRIL 24, 2019

Alabama Office of the Attorney General (Major RDA Revision)

The Alabama Office of the Attorney General was established in 1819. The Attorney General is a constitutional officer selected by popular election and provides legal advice and legal representation for the state.

The agency requested RDA revision to better address the subject of firearms petitions pursuant to the Attorney General's new responsibilities described in Alabama Act 2013-283. The revision expands subfunction descriptions to add further detail and assigns more specific retention requirements in compliance with the law.

Alabama Board of Licensure for Professional Engineers and Land Surveyors (Major RDA Revision)

The Board for Professional Engineers and Land Surveyors safeguards life, health, and property by licensing and regulating individuals involved in the practice of engineering and/or land surveying in the state.

The revision updates the RDA's record retentions to reflect the board's current recordkeeping practices. The RDA incorporates the board's new licensure database, removes language referring to obsolete paper records, and expands the subfunction "Licensing" to describe the scope of licensing that the board performs. The board licenses professional engineers, engineer interns, professional land surveyors, and land surveyor interns.

Alabama Space Science Exhibit Commission (New RDA)

The Alabama Space Science Exhibit Commission oversees the activities of the U.S. Space and Rocket Center and U.S. Space Camp in Huntsville, Alabama.

Records Management staff began working with the commission in the fall of 2018 to develop a new RDA. Subfunctions include promulgating rules and regulations, constructing and managing exhibits of the space exploration and defense industries, educating, building public awareness, and administering internal operations.

Does your agency not currently have an RDA? Does your agency's RDA no longer reflect the work you do? Contact the Records Management Section! Contact information can be found on page 19.

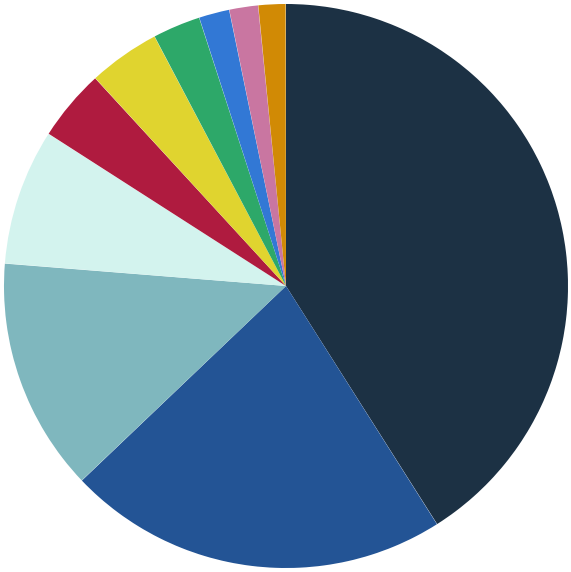
LOCAL GOVERNMENT RECORDS COMMISSION

APRIL 24, 2019

The Local Government Records Commission approved revisions to or additions of the following record series in local government Records Disposition Authorities (RDAs). RDAs may require revision if a local government creates new records which are not included in the RDA, no longer creates records that are included in the RDA, or if new state and/or federal laws modify the minimum retention of records in the RDA.

RECORD SERIES	REVISION/ADDITION	APPLICABLE RDA
Student Registration Forms, Student Residence Forms, and Student Dropout Records	New record series	Boards of Education
Child Support Reimbursement Requests	New record series	County Probate Offices
Public Transit Program Administrative Files	New record series	Municipalities
Adoption Records	Expanded record series also encompasses court recordings of the proceedings	County Probate Offices
Involuntary Commitment Records	Extended retention ensures that records remain available to the court; Updated description consistent with the Code of Alabama 1975 § 22-52-9	County Probate Offices
Employee Personnel Files	Updated description includes both files maintained at city/county personnel office and files maintained in-office, which may contain additional information	Fire Departments & Local Law Enforcement Agencies
Vehicle and Equipment Ownership and Maintenance Files	Updated description includes maintenance and repair of equipment such as tasers, firearms, and radar devices, which must be calibrated on a schedule set by state and federal guidelines	Local Law Enforcement Agencies
Audio/Video Field Recordings	Updated record series title includes recordings of incidents other than arrests, such as recordings of traffic stops	Local Law Enforcement Agencies
Alabama Uniform Incident/Offense Reports, Sex Offender Registration Records, Investigation Files, and Arrest Case Files and Indices	Updated descriptions of "youthful offenders" are consistent with the Code of Alabama 1975 Title 15 Chapter 19 and differentiates between offenses committed by juveniles and offenses committed against juveniles	Local Law Enforcement Agencies

PERMANENT RECORDS TRANSMITTALS



State Agencies with Most Cubic Feet Transmitted

- Legislative Services Agency - 210 cf
- Office of the Secretary of State - 112.07 cf
- Dept. of Archives and History - 68.51 cf
- Court of Criminal Appeals - 40 cf
- Examiners of Public Accounts - 21 cf
- Council on the Arts - 21 cf
- Dept. of Agriculture and Industry - 14 cf
- Dept. of Labor - 9 cf
- Dept. of Commerce - 8.5 cf
- Office of the Governor - 8 cf

FY 2019 Transmittal Highlights

- The State Council on the Arts transmitted 18 cubic feet of audio recordings, video, and images of field records collected across the state over the span of decades.
- The Archives received 7 cubic feet of negatives and photographs from Governor Fob James' administration.
- The Department of Commerce transmitted several oversized items, including 41 maps and 9 posters.
- The Department of Mental Health transmitted patient admission records from Bryce Hospital in Tuscaloosa dating from 1861 to 1952.

State Permanent Records
Transmittal Statistics

Category	Number
Total State Agencies	22
Total Cubic Feet	527.80
Total Megabytes	10.303
Date Span	1861-2019

STATE RECORDS CENTER

State Records Center Services

1. Provides storage and access services for state agency temporary paper records.
2. Retains state agency temporary records and tracks the authorized destruction dates for a small monthly fee.
3. Provides archival boxes for the transfer of permanent records to the ADAH and assists with the transport of records.

Note: Agencies must have a Records Disposition Authority approved by the State Records Commission or an interagency Records Storage Agreement with the ADAH to use these services. These records must be retained to fulfill all administrative, legal, and/or fiscal requirements prior to final disposition.

42,024
cubic feet of records housed

3,500+
records requests

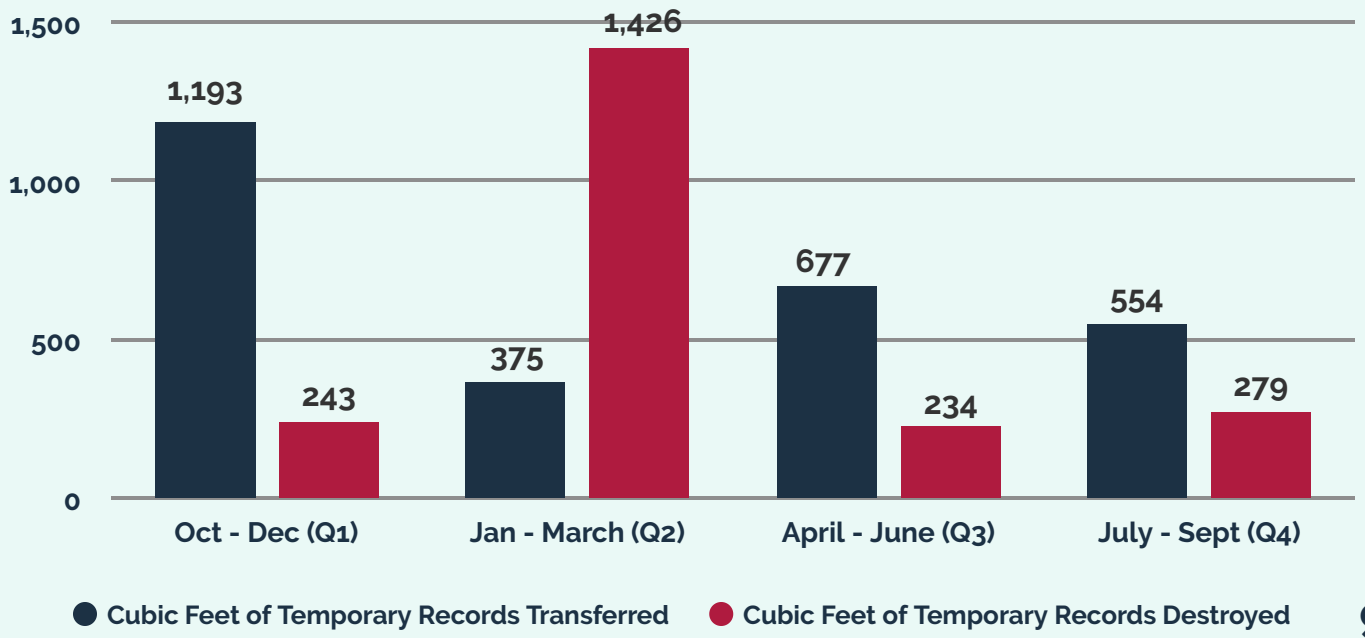
2,799
cubic feet of records transferred

2,182
cubic feet of records destroyed

$270,898
total expenditures

$292,675
actual revenue

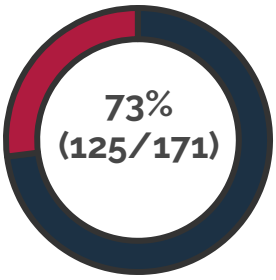
State Records Center Activity by Quarter



ANNUAL RDA IMPLEMENTATION REPORTS

State agencies and district attorneys with approved Records Disposition Authorities may destroy their obsolete records in accordance with minimum required retention guidelines. Agencies must submit an Annual RDA Implementation Report, due January 15 every year for the previous fiscal year, which provides records destruction and other general records-management documentation.

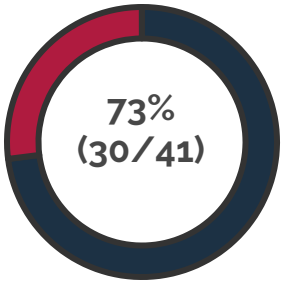
State Agency Submission



Submitted FY 2018 Report
Did Not Submit FY 2018 Report

	State Agencies	District Attorneys
Submitted FY2018 Report	125	30
Submitted All Reports FY2014-FY2018	78	25
Submitted at least one report for requested years	145	36

District Attorney Submission



Submitted FY 2018 Report
Did Not Submit FY 2018 Report

Obsolete Temporary Records Destroyed in FY 2018

28,533 cubic feet
of obsolete paper records destroyed by state agencies

1,804 cubic feet
of obsolete paper records destroyed by District Attorneys

53,000 MB
of obsolete electronic records destroyed by state agencies

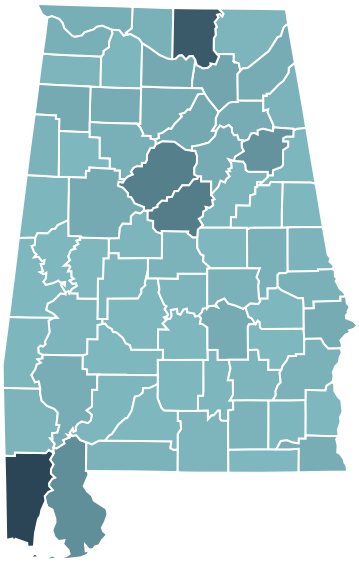
27 MB
of obsolete electronic records destroyed by District Attorneys

Survey Results

We asked state agencies and District Attorneys who did not destroy any temporary records in FY 2018 why they did not carry out records destruction. The top three responses for both state agencies and District Attorneys were as follows:

1. The agency needs to maintain records for administrative reasons
2. The agency's records are ineligible for destruction because the retention has not been fulfilled
3. The agency lacks the time or staff to destroy records

LOCAL DESTRUCTION OF OBSOLETE RECORDS



Destruction notices were submitted most frequently from the following counties in FY 2019:

1. Mobile County - 128 notices (16.82% of total)
2. Madison County - 105 notices (13.80% of total)
3. Shelby County - 65 notices (8.54% of total)

No notices were received from the following counties in FY 2019:

Bullock	Coosa	Greene	Macon
Butler	Dallas	Hale	Randolph
Clay	Fayette	Henry	Sumter
Conecuh	Geneva	Lowndes	Wilcox

RDA Type	Quantity of Notices Submitted	Number of Entities Submitting	% of RDA Type Submitting Notices	Total Volume of Obsolete Records Destroyed (Gigabytes or Cubic Feet)
911 Emergency Communications Districts	1	1	1.14%	112 GB
Archives and Museums	0	0	0.00%	0 cf
Boards of Education	457	66	46.48%	10,964.07 cf
County Boards of Registrars	1	1	1.49%	18 cf
County Commissions	27	13	19.40%	2,730.75 cf
County Probate Offices	27	16	23.53%	11,108.77 cf
County Taxation Offices	13	12	17.91%	1,352.80 cf
Emergency Management Agencies	1	1	1.50%	27 cf
Fire Departments	4	4	0.50%	68.5 cf
Health Care Authorities	2	1	0.57%	238 cf
Law Enforcement Agencies	25	13	3.46%	938.25 cf

ALABAMA STATE ELECTRONIC RECORDS PROJECT (ASERP)

THE CHALLENGE

From **2006** to **2016**, the amount of **electronic records in state archives** grew

1,693%*

3 YEAR GRANT 2017-2019

Funded by the **National Historical Publications and Records Commission (NHPRC)**

Partnership with the **Alabama Office of the Governor**

PROJECT GOAL

Increase our institutional capacity for **managing**, **preserving**, and **providing access** to electronic records

2017

- Instituted weekly meetings of Records Management, Collections, & Reference staff
- Identified 1,954 removable media devices in current archival holdings to separate for processing
- Processed 1.16 GB of electronic office files from Governor Bob Riley's administration
- Conducted records surveys and records management training with Office of the Governor staff
- Transmitted 2.47 TB of photographs and 237 GB of email messages from Governor Robert Bentley's administration

2018

- Introduced public access to Governor Riley's electronic office files via Preservica
- Processed 1.24 TB of photographs from Governor Riley's administration
- Began collection initiative for state agency electronic newsletters and annual reports
- Introduced public access to the 1998-2018 Journals of the Alabama House of Representatives
- Continued identifying and separating media devices in current archival holdings

2019

- Introduced public access to the 1998-2018 Journals of the Alabama Senate
- Began collection initiative for electronic rosters and registers of state licensing boards
- Processed and launched public access to newsletters and annual reports from thirty-five state agencies
- Introduced public access to Governor Riley's photographs

Barbara Teague, "State of State Electronic Records 2017," Council of State Archivists, 2017.

New in the Electronic Records Collections

The Alabama Department of Archives and History provides access to born-digital records through Preservica, a cloud-based service that verifies file integrity and migrates electronic file formats to ensure their long-term preservation.

Alabama House and Senate Journals

The Journals of the Alabama Legislature detail the day-by-day proceedings of the Senate and House of Representatives. They record officer elections, committee assignments, and actions taken on legislation, as well as the governor's annual State of the State Address. The legislative journals have been published from the establishment of the territorial legislature in 1818 to the present day. The journals assist researchers studying the legislative intent for bills.

State Agency Publications

The newly available collections include full-text publications produced electronically by Alabama state agencies, including annual reports, newsletters, and bulletins. Annual reports typically describe the agency's yearly activities, ongoing programs, accomplishments, announcements, challenges, and priorities. Newsletters and bulletins contain news about the agency or larger industry and are regularly sent to subscribers. All of these state publications document critical activities, updates, industry developments, and interaction with the public. They provide a "snapshot in time" of agencies and therefore form a unique historical resource.

Governor Riley Photographs

Robert Renfroe "Bob" Riley served as the 52nd governor of Alabama from 2003 to 2011. He publicly signed bills, presented proclamations, and made speeches including the annual State of the State Address. He spoke at a variety of venues, from schools, to businesses, to local rotary clubs. He participated in annual events like the Thanksgiving Turkey Pardoning and the Christmas Tree Lighting. He also responded to crises in the state, such as the *Deepwater Horizon* oil spill in 2010. Photographs of these events and others document not only Governor Riley's administration, but the history of Alabama at the beginning of the twenty-first century.

OVERVIEW

In FY 2019, Records Management Section staff consulted with representatives from state agencies, local governments, and private or non-profit organizations about records-management topics.

Topics ranged from advice on proper records storage, to email and electronic records management, to differentiating between temporary and permanent records.

76

total outreach sessions with state and local governments. These included 62 sessions with state agencies, 11 sessions with local government entities, and 3 sessions with private/nonprofit entities.

1,386

total inquiries from state and local governments resolved. These included 595 inquiries from state agencies, 775 inquiries from local government entities, and 16 inquiries from private/nonprofit entities.

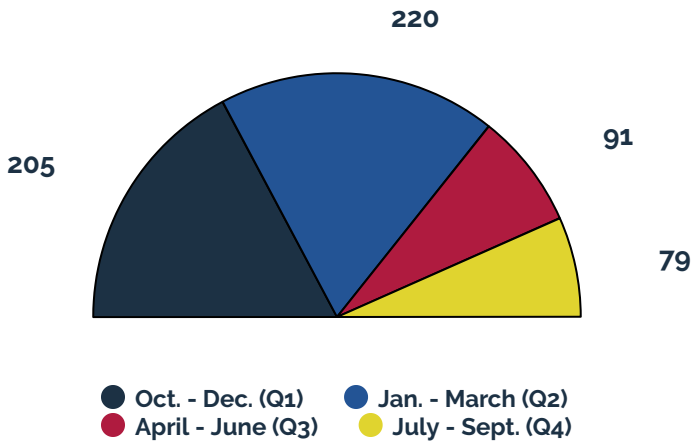
548

total attendees of outreach sessions. These included 170 state agency attendees, 373 local government attendees, and 5 private/nonprofit entity attendees.

STATE AGENCY CONSULTATIONS & TRAINING SESSIONS

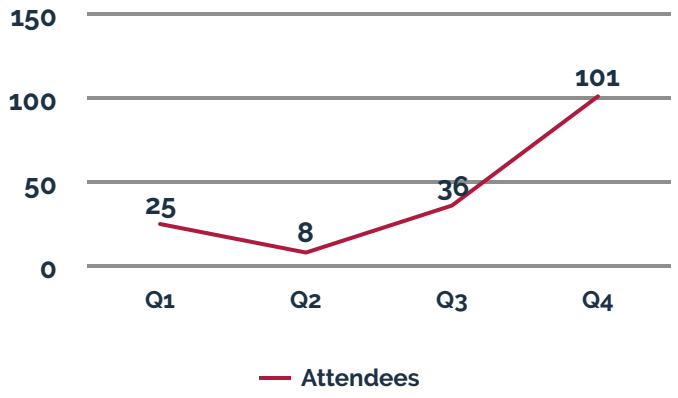
595 TOTAL INQUIRIES RESOLVED

State Agency Inquiries Resolved

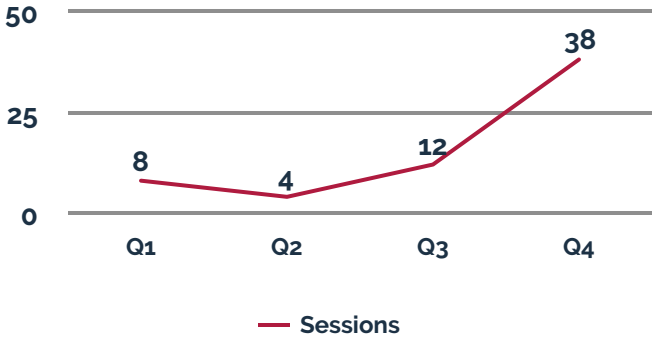


170 TOTAL ATTENDEES

State Agency Outreach Attendees

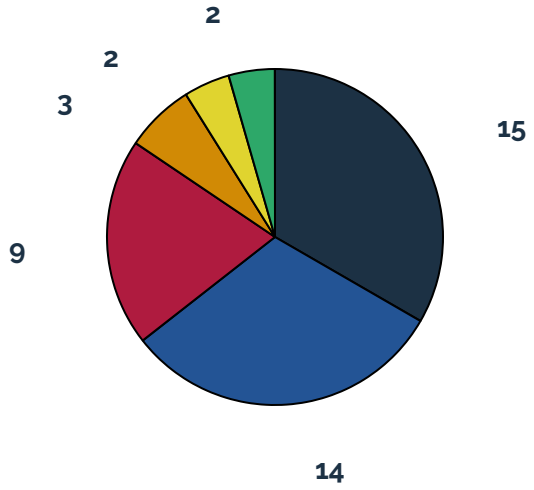


State Agency Outreach Meetings and Training Sessions



62 TOTAL SESSIONS

Sessions by Agency - Top Six

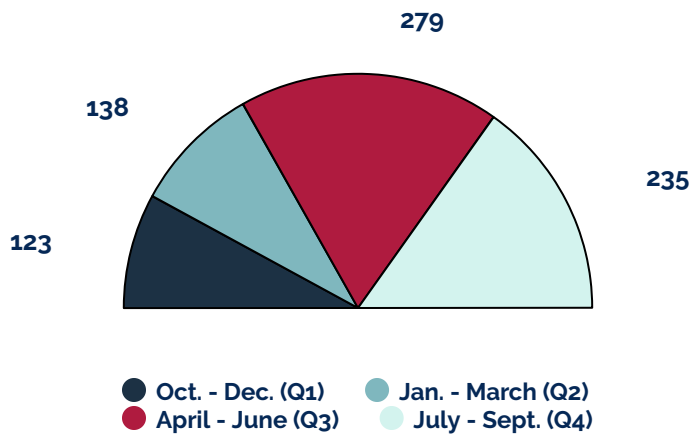


- Office of the Secretary of State (15)
- Office of Information Technology (14)
- Department of Archives and History (9)
- Office of the Governor (3)
- Department of Commerce (2)
- Office of the State Treasurer (2)

LOCAL GOVERNMENT CONSULTATIONS & TRAINING SESSIONS

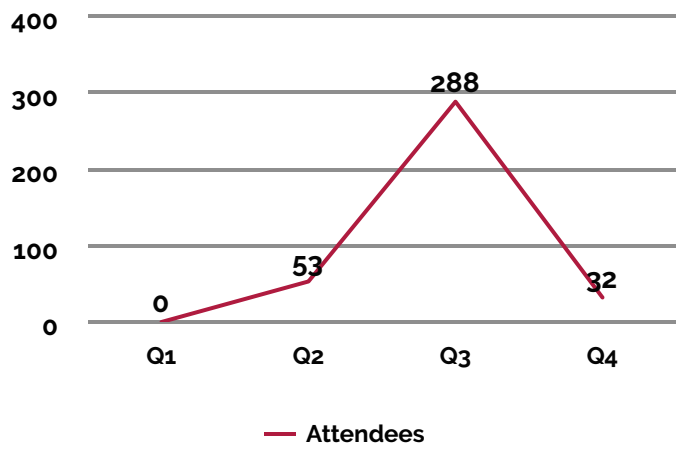
775 TOTAL INQUIRIES RESOLVED

Local Government Inquiries Resolved

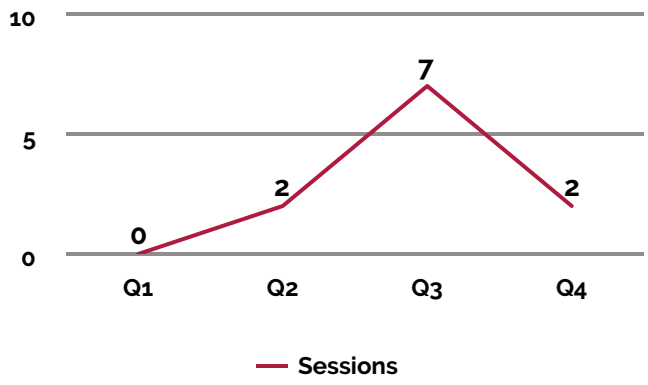


373 TOTAL ATTENDEES

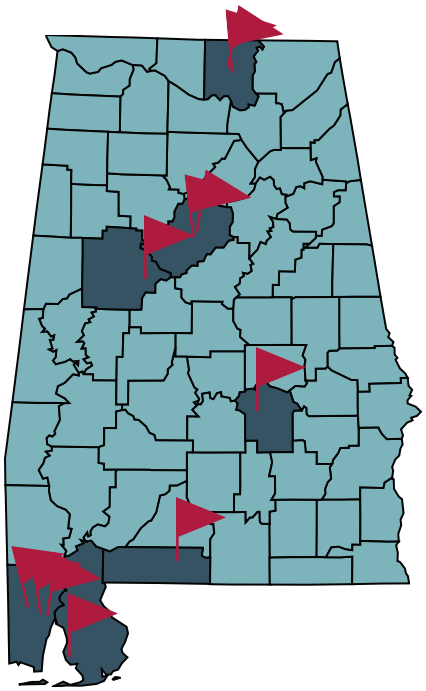
Local Government Outreach Attendees



Local Government Outreach Meetings and Training Sessions



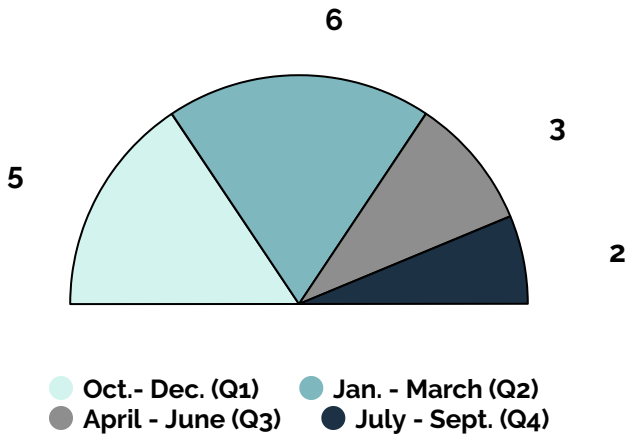
11 TOTAL SESSIONS



PRIVATE & NON-PROFIT CONSULTATIONS & TRAINING SESSIONS

Records Management staff may assist private or non-profit entities with records management concerns upon request. In 2019, this included consultations with the Alabama Symphony Orchestra and the Alabama Humanities Foundation.

Non-Profit and Private Inquiries Resolved



16 INQUIRIES RESOLVED

Alabama Symphony Orchestra

May & June 2019
2 Attendees

Records Management staff conducted two sessions with the ASO in May and June of 2019. ASO staff asked for assistance organizing the Symphony's records in anticipation of special programming to commemorate ASO's 100th anniversary as an organization.

Alabama Humanities Foundation

September 2019
3 Attendees

Records Management staff met with the AHF to discuss electronic records management. As part of a donor agreement with AHF, the ADAH accepts grant records into their permanent holdings, thereby documenting how the AHF encourages humanities programs in the state of Alabama.

FOR THE RECORD

For the Record, the Records Management Blog of the Alabama Department of Archives and History, went live on October 10, 2018. The blog is designed to share information pertinent to the management and preservation of government records, including such topics as records retention, professional training, disaster preparedness, electronic records, and more. The blog also reports the activities of the State Records Commission and the Local Government Records Commission.

About the Commissions

- Getting to Know the Alabama State Records Commission
- Getting to Know the Local Government Records Commission

Meet the Staff

- Sophie Law, Records Management
- Rebecca Jackson, Records Management
- Michael Grissett, Records Center
- Katie Ray, Records Management
- David Spriegel, Records Management

Preservation

- Newspaper Preservation
- Preserving Historic Ledgers and Books
- Capturing Web Content with Archive-It

Accessions

- Preserving Alabama's Musical Heritage: The Alabama State Council on the Arts Processing Project

Records Disposition

- Local Government Records Destruction: Avoid Common Errors
- Local Government Records Destruction 101
- You Don't Need to Keep It All: Start Decluttering Your Email

Updates

- Something Old, Something New: Records and Information Management Section Blog
- Thinking Outside the Acid-Free Box on Electronic Records Day
- Digitized Alabama House and Senate Journals Now Live on Preservica

Records Management

- What about Government Email?
- Steps to Better Email Management
- Introduction to the RDA
- State Agency RDA Revision Process
- The 2018 State Agency Annual Records Disposition Authority Implementation Report

CONTACT US

Becky Hebert

334-353-5039

becky.hebert
@archives.alabama.gov

- State and Local Government Records Coordinator
- Records Management Training

Michael Grissett

334-277-9898

michael.grissett
@archives.alabama.gov

- State Records Center Archivist
- State Temporary Record Storage & Access Services

Devon Henschel

334-353-4693

devon.henschel
@archives.alabama.gov

- Local Records Management Training
- Local Records Destruction

Rebecca Jackson

334-353-4615

rebecca.jackson
@archives.alabama.gov

- Local Records Destruction
- State Permanent Records Transmittal

Sophie G.H. Law

334-353-4706

sophie.law
@archives.alabama.gov

- RDA Revision
- State Annual RDA Implementation Reports

Katie Ray

334-353-4702

katie.ray
@archives.alabama.gov

- State Electronic Publication Transmittal
- RDA Revision

David Spriegel

334-353-1103

david.spriegel
@archives.alabama.gov

- Secretary of State Liaison Archivist

Angelia Wilson

334-277-9898

angelia.wilson
@archives.alabama.gov

- State Temporary Record Storage & Access Services