Board for Registration of Architects

Functional Analysis
&
Records Disposition Authority

Revision
Presented to the
State Records Commission
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Functional and Organizational Analysis of the Board for Registration of Architects

Sources of Information

- Representatives of the Board for Registration of Architects
- Code of Alabama 1975 § 34-2-30 through 34-2-42
- Code of Alabama 1975 § 41-22-1 through 41-22-27
- Alabama Administrative Code Chapters 100-X-1 through 100-X-8
- Audit Reports of the Board for Registration of Architects
- Board for Registration of Architects Rules and Regulations
- Board for Registration of Architects Website
- Archives Division State Agency Files

Historical Context

Architecture was an unregulated profession in Europe and the United States until the 1800s; prior to that time, “any talented and skilled person could become an architect through reading, apprenticeship, [and] self-study.”¹ Thirteen New York City architects founded the American Institute of Architects (AIA) in February 1857. The goals of the organization were, among others, to “promote the scientific and practical perfection of its members” and to “elevate the standing of the profession.” The AIA made early strides to professionalize architecture in the United States, including standardizing contracts, developing ethical standards, and outlining training and credential policies for its members.²

Alternative possibilities for formalized architectural licensure/registration were in development around the turn of the twentieth century. At the state level, Illinois was the first state to adopt licensing laws for its architects in 1897. The Association of Collegiate Schools of Architecture (ACSA) in 1912 established national standards for architectural education. Two years later, the ACSA adopted “standard minima,” a contemporary equivalent to accreditation for architectural schools.³ To further complicate matters, architects from fifteen states at the 1919 meeting of the American Institute of Architects (AIA) founded the organization now called the National

² Craven, “How Did Architecture Become a Licensed Profession?”
Council of Architectural Registration Boards (NCARB). This third body was intended "to foster uniformity in licensing and practice laws to facilitate reciprocal licensing" and "to discuss the merits of various examining methods as well as the scope and content of licensing examination."  

The Alabama Board for Registration of Architects was founded in 1931 during this period of competing standards. The ACSA abandoned the "standard minima" accreditation procedure in 1932, resulting in a period of confusion in architectural institutes of higher education. In 1940, the ACSA, the AIA, and NCARB collaboratively established a fourth organization, the National Architectural Accrediting Board (NAAB). This organization would be specifically tasked with developing an integrated system of architectural education. Attempts were also made around this time to resolve the issues stemming from the multiple licensure/registration standards which had developed in the prior decades.

NCARB produced the first paper national examination for architects in 1965, later moving to an electronic examination in 1997. NCARB developed the original draft of the Architect Registration Examination (ARE) in use today in 1979 and has revised it several times since then in accordance with current best practice.

NCARB and the AIA collaborated throughout the 1970s to develop the Intern Development Program (IDP), a structured program for licensure candidates to ensure that they gained knowledge and skills necessary to conduct independent practice. NCARB renamed the Intern Development Program in 2016 to the Architectural Experience Program (AXP). Today all AIA member jurisdictions, including the Board for Registration of Architects, accept the AXP to satisfy their experience requirements.

The Board for Registration of Architects has worked closely with its national affiliates to implement changes in licensure/registration requirements in subsequent decades.

**Agency Organization**

The Board for Registration of Architects is composed of six members appointed by the Governor. The Code of Alabama 1975 § 34-2-38 subdivides the State of Alabama into four geographic districts from which Board members must be appointed. The Governor appoints one member from the northern district (which includes Colbert, Cullman, DeKalb, Franklin, Jackson, Lauderdale, Lawrence, Limestone, Madison, Marion, Marshall, Morgan, and Winston Counties); two members from the north-central district (which includes Bibb, Blount, Calhoun, Cherokee, Clay, Cleburne, Etowah, Fayette, Greene, Hale, Jefferson, Lamar, Pickens, Randolph, Shelby, St. Clair, Sumter, Talladega, Tuscaloosa, and Walker Counties); two members from the central district (which includes Autauga, Barbour, Bullock, Butler, Chambers, Chilton, Coffee, Coosa, Covington, Crenshaw, Dale, Dallas, Elmore, Geneva, Henry, Houston, Lee, Lowndes, Macon, Marengo, Montgomery, Perry, Pike, Russell, Tallapoosa, and Wilcox Counties); and one

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member from the southern district (which includes Baldwin, Choctaw, Clarke, Conecuh, Escambia, Mobile, Monroe, and Washington Counties). Each Board member must be a registered architect practicing or residing in the district he/she represents. Members serve four-year terms of office, and the Board elects annually a chair and a vice chair from among the members. Meetings are held at least four times each year, with a quorum consisting of four members. The Board hires an executive director to supervise its day-to-day operations.

**Agency Functions and Subfunctions**

The mandated function of the Board for Registration of Architects is to examine, register, and regulate architects in the state. The Board is one of the agencies primarily involved in carrying out the Regulatory function of Alabama government.

In the performance of its mandated function, the Board may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** The Board for Registration of Architects is authorized, under the Code of Alabama 1975 § 34-2-39, to make and adopt by-laws, rules, and regulations setting minimum standards for professional conduct by architects. This subfunction encompasses the Board’s efforts in making, altering, repealing, or amending rules and regulations that are implemented to accomplish its duties and functions vested by law.

- **Registering.** The Board registers the following categories of persons in Alabama: professional architect, intern-architect, and emeritus status architect. According to the Code of Alabama § 34-2-33, professional architect applicants will be examined for registration on the grounds of education, experience, and examination, or a combination thereof. Professional architect applicants may meet the qualifications for registration via three methods: (a) pass the Architect Registration Examination (ARE) developed by the National Council of Architectural Registration Boards (NCARB) and administered by the Board or an authorized vendor; (b) procure the NCARB Certificate, a national-level certification which provides reciprocal licensure opportunities throughout the U.S.; (c) reinstate a professional architect registration which had previously lapsed.

Each registered professional architect is required to complete a minimum of twelve continuing education hours each year in order to renew the registration. Any registered professional architect who has allowed his or her registration to lapse for more than 90 days must complete a new application process for reinstatement.

The Alabama Administrative Code Chapter 100-X-5-.02 defines “intern-architect” as “an individual who possesses a [National Architectural Accrediting Board] NAAB-accredited professional degree in architecture, is actively enrolled in the NCARB Architectural Experience Program, and is working under the responsible control of a registered architect.”

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7 Alabama Administrative Code Chapter 100-X-2.
architect.” Professional architect applicants who will complete the Architect Registration Examination (ARE) are required to participate in the Architectural Experience Program (AXP) or AXP Portfolio Program and register with the Board as intern-architects. An applicant must complete at least 930 hours of approved experience in the AXP before receiving permission to sit for the Architect Registration Exam.⁸

A registered professional architect may apply for emeritus status if the following criteria are fulfilled: (a) applicant is sixty-five years of age or older; (b) applicant has been registered in Alabama for ten consecutive years or longer; (c) applicant is retired from the active practice of architecture. A registered emeritus architect may use the “emeritus architect” moniker on official documents and return to active practice by submitting renewal fees and continuing education (CE) hours for the current year.

Architectural firms may also be registered. The Code of Alabama § 34-2-37 regulates the practice of architecture by registered individuals via a corporation, professional corporation, professional association, partnership, or limited liability company (LLC). A minimum of two-thirds of those responsible for controlling the activities of the organization – including officers, partners, directors, and other members – are voting stockholders who are professional architects or professional engineers, or both, in the state of Alabama, including at least one architect. Agreements to perform services must be executed on behalf of the organization by a registered professional architect. Corporations, associations, or LLCs intending to provide architectural services to the public must apply to the Board for a certificate of authorization, which demonstrates that the organization is complying with state regulations in the licensure of its staff.

- **Investigating Complaints or Violations.** The Code of Alabama 1975 § 34-2-34 authorizes the Board to conduct investigations, hearings, and proceedings concerning alleged violations of its rules or regulations. The Board employs a part-time investigator to assist in its complaint proceedings. Depending on the findings following investigation and hearings, the Board may dismiss the case, issue reprimands, levy fines, or suspend or revoke the certificate.

- **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 including:

  - **Managing the Agency:** Activities include internal office management activities common to most government agencies such as corresponding and communicating, scheduling, meeting, documenting policy and procedures, reporting, litigating, legislating (drafting, tracking), publicizing and providing information, managing records, and managing information systems and technology.

  - **Managing Finances:** Activities include budgeting (preparing and reviewing budget package, submitting the budget package to the Department of Finance, documenting

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⁸ Alabama Administrative Code Chapter 100-X-2-.02.
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 Human Resources: Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker’s compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; investigating and disciplining.

Managing Properties, Facilities, and Resources: Activities include inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; leasing and/or renting offices or facilities; providing security for property managed by the agency; insuring property; and assigning, inspecting and maintaining agency property.
Records Appraisal of the Board for Registration of Architects

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

Temporary Records

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

- **Professional Architect Registration Database.** The Board maintains a database for all professional architects who have registered since 1931. Database records include the following information: name, date of birth, employment history, examination reports, Architect Experience Program materials, copies of diplomas and transcripts, NCARB certification data (if present), evidence of continuing education, registration data, and disciplinary actions (if any). The Architect Experience Program (AXP), formerly known as the Internship Development Program (IDP), is a common path to registration as a professional architect; as such, many professional architects begin their careers as intern-architects and transition to professional architects upon completion of the requisite number of AXP or AXP Portfolio program hours and completion of the Architects Registration Examination (ARE) administered by the National Council of Architectural Registration Boards (NCARB). Similarly, some professional architects become emeritus architects later in life. The database is set up with full text search capability so that any information related to a registered professional architect can be retrieved. The database may be utilized or manipulated by an employee to conduct research on architecture-related subjects. To ensure the availability of this file during the professional career of the registrant, the recommended retention for the file is twenty-five years after the end of the fiscal year in which the registrant becomes inactive, or two years after verification of the death of the licensee, and other data entry fields until superseded.

- **Intern-Architect Examination Permission Forms.** As a part of the architect registration procedures set up by the National Council of Architectural Registration Boards (NCARB), an individual seeking to take the Architect Registration Examination must first complete the Architect Experience Program (AXP) or AXP Portfolio Program, formerly known as the Internship Development Program (IDP). This record series is created when individuals who have completed the AXP receive permission from the Board to sit for the Architect Registration Examination (ARE). If an individual passes the ARE, the records are appended to the professional architect record in the electronic database and maintained for twenty-five years after the end of the fiscal year in which the registrant becomes inactive. Otherwise, files are retained for five years, the same retention as other intern-architect applications not resulting in professional architecture registration.
Certificates of Authorization Database. This record series consists of the information maintained by the Board for corporations, associations, and LLCs engaged in the practice of architecture in the state of Alabama. In accordance with the Code of Alabama 1975 § 34-2-37, all firm entities must comply with the law that regulates the practice of architecture by July 1, 2012. Firms that wish to practice architecture in Alabama must submit applications for Certificate of Authorization and pay the required fees annually. The series includes application forms, articles of incorporation, and correspondence. Application forms include the following information: business name, address, telephone number, type of business, list of the company's registered architects (including names and certificate numbers), state of original incorporation, and list of the company’s board of directors. The certificate of authorization file will be linked to the licensure file of the principal professional architect registrant the database. The certificate of authorization file may be transferred to a new principal in the event of the initial principal’s death, retirement, or lapse of activity. These records are needed by the agency for long-term administrative purposes, since it is sometimes necessary to prove a business was licensed to operate in the state. The retention is fifteen years after the end of the fiscal year in which the principal becomes inactive, or two years after the verification of death of the principal.

Register of Administrative Rules. According to the Code of Alabama 1975 § 41-22-6 through § 41-22-7, agencies must compile and maintain “an official register of regulations which shall be compiled, indexed, published in loose-leaf form, and kept up to date.” This “official register of regulations” is known as “The Board for Registration of Architects Code” and must be made available upon request to all persons. Since the register must be updated on an ongoing basis, it is to be retained until superseded.

Administrative Rule Change Working Files. The Alabama Administrative Procedure Act (Code of Alabama 1975 Title 41 Chapter 22) details the steps which an agency must follow when updating its administrative rules. Working files are produced in the course of the proposal, adoption, amendment, and/or repeal of administrative rules. Records in this series may include, but are not limited to, the following: received public comments, economic impact statements, and business impact analyses. A retention of one year after adoption, amendment, repeal, or rejection of an administrative rule permits review by staff when considering similar rules.

Permanent Records

The Archives Division has appraised the following records as permanent.

Promulgating Rules and Regulations

Meeting Minutes, Agendas, and Packets of the Board. The Code of Alabama 1975 § 34-2-40 mandates that the Board hold at least four regular meetings each year. Information in meeting minutes, agendas, and packets may include reports from the Board’s officers and various internal committees/task forces, actions of the Board on applicants, orders of the Board, and disciplinary actions. The packets consist of both
open/nonconfidential and closed/confidential sections, the latter of which contains personally identifiable information (PII) of registrants. These records are the best source of information about the functions of the Board and the creation of its policy.

(Bibliographic Title: Meeting Files)

- **Orders of the Board.** The Board issues declaratory rulings in response to petitions by persons substantially affected by a rule or regulation of the Board. Additionally, when the Board has determined that a registrant violated one or more of the Board’s rules and/or statutes, the Board will enter an order to fine, suspend, or revoke the registration at its discretion. The final outcome of the hearing is documented as part of the Orders of the Board record series. These records document the Board’s function of enforcement of the state’s architectural laws. The series is included in the closed/confidential section of the meeting packet, which contains personally identifiable information (PII) of registrants. (Bibliographic Title: Not Applicable) (Maintained by the Board for Registration of Architects)

Registering

- **Annual Rosters of Registered Professional Architects.** The Board publishes an annual electronic roster of registered professional architects. The roster contains a listing of registered architects. The series provides the public with a ready reference to the membership of registered architects in the state and may be used for genealogical research. These rosters are exported from files which are produced and maintained in an electronic database. (Bibliographic Title: Annual Rosters)

- **Annual Rosters of Certificates of Authorization.** This record series documents the Board’s regulation of corporations, associations, and LLCs engaging in the business of architecture in the State of Alabama. The record series includes the date on which the corporation, association, or LLC received its certificate from the Board and the date of expiration. The Certificate functions similarly to a business license in the community of professional architecture and demonstrates that the organization is complying with state regulations in the licensure of its staff. These rosters are exported from files which are produced and maintained in an electronic database. (Bibliographic Title: Annual Rosters)

Investigating Complaints or Violations

- **Investigative Final Reports.** The Board investigations conclude in the production of a final investigative report. The series is included in the closed/confidential section of the meeting packet, which contains personally identifiable information (PII) of registrants. (Bibliographic Title: Not Applicable) (Maintained by the Board for Registration of Architects)

Administering Internal Operations

- **Policies and Procedures - Policies and procedures governing core functions and**
services. These manuals contain policies promulgated by the Executive Director, Office Director, and/or the Board. The scope of the series does not include policies concerning the administration of routine, internal operations. (Bibliographic Title: Policies and Procedures)

- **Certified Copies of Administrative Rules.** The Alabama Administrative Code is a compilation of the rules of all state agencies covered by the Alabama Administrative Procedure Act. Each agency covered by the Act may propose and adopt revisions to its administrative rules. According to the Code of Alabama 1975 § 41-22-6, “each agency shall have an officer designated as its secretary and shall file in the office of the secretary of the agency a certified copy of each rule adopted [by the agency].” (Bibliographic Title: Not Applicable) (Maintained by the Board for Registration of Architects)

- **Administrative Files that Document Policy, Process, and Procedure.** These records, which include official correspondence of the agency document actions and positions of the agency and do not include correspondence dealing with routine matters. These records include, but are not limited to, correspondence with state officials, legal/advisory correspondence, correspondence documenting insurance coverage, correspondence between the Board and the director, and correspondence between the Board and other state agencies. These records may be paper or electronic. (Bibliographical Title: Administrative Correspondence)

- **Annual and Other Periodic Reports.** The Code of Alabama 1975 § 34-2-42 mandates that the Board prepare and submit to the Governor each year a report of its transactions for the preceding year. The report includes statistics for number of applicants, registrants, renewals, examinations, authorizations, and investigations, and financial statements. Annual reports provide the best summary documentation of the Board’s function and activities. Interim reports that contain the same substantive information as a corresponding annual or other periodic report need not be retained permanently. Where no agency annual report exists, or where the agency annual report does not adequately document activities of the agency, then division annual reports should be retained. (Bibliographic Title: State Publications)

- **Special Reports.** These records include reports created by the agency pertaining to a specific topic or subject area. Special reports may be prepared on an irregular schedule. Interim reports that contain the same substantive information as a corresponding special report need not be retained permanently. (Bibliographic Title: State Publications)

- **Newsletters.** The agency publishes newsletters which provide recipients with information regarding the activities of the department; highlights of agency projects and programs; news and announcements; and upcoming events. These publications document the agency’s outreach to key stakeholders and the public. (Bibliographic Title: State Publications)

- **Representational Final Versions of Informational and Promotional Materials.** The Board publishes *The Architect’s Handbook* annually, a document which summarizes the
agency’s rules and regulations. The Handbook provides registrants with guidance on the duties and responsibilities of members of the architectural profession. The Board also publishes an occasional newsletter, which may contain information on dates of upcoming Board meetings, changes in rules and regulations, names of individuals who have passed the registration examination, disciplinary actions, and examination statistics. Publications document the Board’s efforts in communicating with both registrants and the public. (Bibliographic Title: Publicity Files)

- **Board Member Files – Biographical and Historical Information.** These records include biographical description and other historical data related to the Board members. These records provide important documentation of the Board’s composition. (Bibliographic Title: Board Member Biographical Files)

- **Website and Social Media Sites.** The Board maintains a website at http://www.boa.alabama.gov. Information available on the website includes rules and regulations, code of conduct, examination/reciprocity/reinstatement procedures, the fee schedule, searchable roster database, and copies of Board newsletters. All the information is also maintained in paper format. ADAH staff capture and preserves the agency’s website and other social media sites via a service offered by the Internet Archive (Archive-It). Any content behind password protected or login would not be captured by ADAH. Check with the ADAH website at www.archiveit.org/organizations/62 to ensure your agency and social media site(s) are captured and preserved. If your agency’s website and social media site(s) are not being captured by the service, please contact the Archives Division at 334-242-4452 to get them included. (Bibliographic Title: Website and Social Media Sites)
Permanent Records List
Board for Registration of Architects

Promulgating Rules and Regulations

1. Meeting Minutes, Agendas, and Packets of the Board
2. Orders of the Board*

Registering

1. Annual Rosters of Registered Professional Architects
2. Annual Rosters of Certificates of Authorization

Investigating Complaints and Violations

1. Investigative Final Reports*

Administering Internal Operations

1. Policies and Procedures – Policies and procedures governing core functions and services
2. Certified Copies of Administrative Rules*
3. Administrative Files that Document Policy, Process, and Procedure
4. Annual and Other Periodic Reports
5. Special Reports
6. Newsletters
7. Representational Final Versions of Informational and Promotional Materials
8. Board Member Files – Biographical and Historical Information
9. Website(s) and Social Media Page(s)

* indicates records that the Board for Registration of Architects determined should be retained permanently and that ADAH anticipates will remain in the care and custody of the creating agency. All other permanent records are to be transmitted to the ADAH once they are no longer in active use by the Board for Registration of Architects.
Board for Registration of Architects 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 § 41-13-5 and 41-13-20 through 21. It was compiled by the Archives Division, Alabama Department of Archives and History (ADAH), which serves as the Commission’s staff, in cooperation with representatives of the Agency. The RDA lists records created and maintained by the Agency in carrying out their mandated functions and activities. It identifies records which must be maintained permanently and ultimately transferred to the ADAH; establishes retention periods for temporary records; and provides the legal authority for the Agency to implement destruction of eligible records.

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 may be made available to members of the public. Records also must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 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 agency records manager or ADAH Archives Division at (334) 242-4452.

Explanation of Records Requirements

The RDA shall govern the disposition of all records, regardless of format, created by the agency from creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created prior to 1940.

This RDA supersedes any previous records disposition schedules or RDAs governing the retention of the records created by the Agency. Copies of superseded schedules are no longer valid and may not be used for records disposition.

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.

Certain other record-like materials are not actually regarded as official records and may be disposed of under 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 agency 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; (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff. They may be disposed of without documentation of destruction.

**Records Disposition Requirements**

This section of the RDA is arranged by subfunctions of the Agency and lists the groups of records created and/or maintained as a result of activities and transactions performed in carrying out these subfunctions. The Agency may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular biannual meetings.

**Promulgating Rules and Regulations**

**MEETING MINUTES, AGENDAS, AND PACKETS OF THE BOARD**
Disposition: PERMANENT RECORD.

**ORDERS OF THE BOARD**
Disposition: PERMANENT RECORD. Retain in office.

**Recordings of Meetings**
Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

**Registering**

**Professional Architect Registration Database**
Disposition: Temporary Record. Retain licensure files for 25 years after the end of the fiscal year in which the registrant becomes inactive or 2 years after verification of the death of the registrant, and other data entry fields until superseded.

**ANNUAL ROSTER OF REGISTERED PROFESSIONAL ARCHITECTS**
Disposition: PERMANENT RECORD.

**Applications for Professional Architect Registration Renewal**

a. Applications for Professional Architect Registration Renewal (Inactive)
   Disposition: Temporary Record. Retain for 25 years after the end of the fiscal year in which the registrant becomes inactive.

b. Applications for Professional Architect Registration Renewal (Deceased)
   Disposition: Temporary Record. Retain 2 years after verification of death.
Applications for Intern-Architect Registration Renewal

a. Applications for Intern-Architect Registration Renewal (Inactive)
   Disposition: Temporary Record. Retain for 25 years after the end of the fiscal year in which the registrant becomes inactive.

b. Applications for Intern-Architect Registration Renewal (Deceased)
   Disposition: Temporary Record. Retain 2 years after verification of death.

Intern-Architect Examination Permission Forms

a. Forms for intern-architects who have passed the Architect Registration Examination (ARE)
   Disposition: Temporary Record. Upload to professional architect registration database; retain licensure files for 25 years after the end of the fiscal year in which the registrant becomes inactive or 2 years after verification of the death of the registrant, and other data entry fields until superseded.

b. Forms for intern-architects who have not passed the Architect Registration Examination (ARE)
   Disposition: Temporary Record. Retain 5 years.

Professional Architect Applications Not Resulting in Professional Architect Registration
Disposition: Temporary Record. Retain 5 years.

Intern-Architect Applications Not Resulting in Professional Architecture Registration
Disposition: Temporary Record. Retain 5 years.

Certificate of Authorization Database
Disposition: Temporary Record. Retain licensure files for 15 years after the end of the fiscal year in which the principal becomes inactive or 2 years after verification of the death of the principal, and other data entry fields until superseded.

ANNUAL ROSTER OF CERTIFICATES OF AUTHORIZATION
Disposition: PERMANENT RECORD.

Applications for Certificate of Authorization Renewal

a. Applications for Certificate of Authorization Renewal (Inactive)
   Disposition: Temporary Record. Retain for 15 years after the end of the fiscal year in which the firm becomes inactive.

b. Applications for Certificate of Authorization Renewal (Closure)
   Disposition: Temporary Record. Retain 2 years after verification of the closure of the firm.
Applications Not Resulting in Certificate of Authorization
Disposition: Temporary Record. Retain 5 years.

Incomplete Applicant Files
Disposition: Temporary Record. Retain 5 years.

Investigating Complaints or Violations

INVESTIGATIVE FINAL REPORTS
Disposition: PERMANENT RECORD. Retain in office.

Investigation Files
Disposition: Temporary Record. Retain 15 years after the registered architect is deceased.

Administering Internal Operations: Managing the Agency

Policies and Procedures

a. POLICIES AND PROCEDURES GOVERNING CORE FUNCTIONS AND SERVICES
   Disposition: PERMANENT RECORD.

b. Policies and procedures concerning internal operations, including the administration of finances, personnel, properties, facilities, and resources
   Disposition: Temporary Record. Retain 3 years.

CERTIFIED COPIES OF ADMINISTRATIVE RULES
Disposition: PERMANENT RECORD. Retain in office.

Register of Administrative Rules
Disposition: Temporary Record. Retain until superseded.

Administrative Rule Change Working Files
Disposition: Temporary Record. Retain 1 year after adoption, amendment, repeal, or rejection of the rule.

ADMINISTRATIVE FILES THAT DOCUMENT POLICY, PROCESS, AND PROCEDURE
Disposition: PERMANENT RECORD.

ANNUAL AND OTHER PERIODIC REPORTS
Disposition: PERMANENT RECORD.

SPECIAL REPORTS
Disposition: PERMANENT RECORD.
NEWSLETTERS
Disposition: PERMANENT RECORD.

REPRESENTATIONAL FINAL VERSIONS OF INFORMATIONAL AND PROMOTIONAL MATERIALS
Disposition: PERMANENT RECORD.

Informational and Promotional Working Files
Disposition: Temporary Record. Retain for useful life.

Board Member Files

a. BIOGRAPHICAL AND HISTORICAL INFORMATION
   Disposition: PERMANENT RECORD.

b. Board Appointment Letters
   Disposition: Temporary Record. Retain 1 year after audit after the term expires.

c. Other Files about Board Members
   Disposition: Temporary Record. Retain for useful life.

Routine Correspondence
Disposition: Temporary Record. Retain 3 years.

Administrative Reference Files
Disposition: Temporary Record. Retain for useful life.

Legislative Files (drafts of proposed agency-sponsored legislation, tracking files and records)
Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the agency’s approved RDA (copies of transmittal forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to State Records Commission)
Disposition: Temporary Record. Retain 10 years.

Signed Copies of Approved RDA
Disposition: Temporary Record. Retain until superseded.

Computer Systems Documentation (Hardware/Software Specifications and Warranties)
Disposition: Temporary Record. Retain documentation of former system 1 year after audit for the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.
WEBSITE(S) AND SOCIAL MEDIA PAGE(S)
Disposition: PERMANENT RECORD.

Note: ADAH staff capture and preserve the agency’s website and other social media pages via a service offered by the Internet Archive [Archive It]. Any content behind password protected or login would not be captured by ADAH. Check with the ADAH website at www.archiveit.org/organizations/62 to ensure your agency and social media page(s) are captured and preserved. If your agency’s website and social media page(s) are not captured by the service, please contact the Archives Division at 334-242-4452 to get them included.

Administering Internal Operations: 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 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records of original entry or routine accounting transactions, such as journals, registers, ledgers, and receipt books, and records of funds deposited outside the state treasury
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Purchase and Repair Order Documents
Disposition: Temporary Record. Retain for life of warranty.

Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records documenting contracts for 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: Temporary Record. Retain for 10 years after the award of the contract.
Agency Audit Reports
Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Records documenting the application for, award of, receipt and disbursement of, and reporting of expenditure of federal funds received through grants and federal funds
Disposition: Temporary Record. Retain 6 years after submission of final expenditure report.

Records documenting the unsuccessful application for grants and federal funds
Disposition: Temporary Record. Retain 1 year.

Administering Internal Operations: Managing Human Resources

Job Recruitment Materials
Disposition: Temporary Record. Retain 1 year after audit.

Application Materials
Disposition: Temporary Record. Retain 1 year.

Position Classification Questionnaire
Disposition: Temporary Record. Retain 4 years after reclassification of the position.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm.

Records documenting payroll deduction authorizations
Disposition: Temporary Record. Retain 6 years 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 compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Personnel File - Records documenting an employee’s work history - generally maintained as a case file
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting employees’ daily and weekly work schedules
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.
Records documenting employee hours worked, leave earned, and leave taken
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records Documenting Leave Donations
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Records of Final Leave Status
Disposition: Temporary Record. Retain record of individual employees’ cumulative leave 6 years after separation of employee from the agency.

Employee Flexible Benefits Plan Files (Applications and Correspondence)
Disposition: Temporary Record. Retain 6 years after termination of participation in program.

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting Equal Employment Opportunity Commission (EEOC) Charges of Discrimination
Disposition: Temporary Record. Retain 6 years after final dispensation.

Equal Employment Opportunity Commission Case Files
Disposition: Temporary Record. Retain 3 years.

Employee Administrative Hearing Files
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records Documenting Employee Grievances (Internal Complaints)
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting complaints against the agency and its employees from outside the agency (made by members of the public, officials, or supervisees, etc.)
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.
Records (maintained separately from employee personnel file) documenting employee disciplinary proceedings and appeals of formal reprimands, demotions, transfers, or terminations resulting from a grievance or complaint
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting the administration of the unemployment compensation program
Disposition: Temporary Record. Retain 6 years after conclusion of eligibility.

Administering Internal Operations: Managing Properties, Facilities, and Resources

Semiannual Property Inventory Lists
Disposition: Temporary Record. Retain 2 years. (Code of Alabama 1975 § 36-16-8[1]).

Agency Copies of Transfer of State Property Forms (SD-1)
Disposition: Temporary Record. Retain 1 year after property audit.

Property Inventory Cards and/or Computer Files
Disposition: Temporary Record. Retain 1 year after property audit.

Property Inventory Affidavits
Disposition: Temporary Record. Retain 1 year after property audit.

Receipts of Responsibility for Property
Disposition: Temporary Record. Retain until return of item to property manager.

Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the vehicle was removed from the property inventory.

Real Property Renting/Leasing records
Disposition: Temporary Record. Retain 6 years after the termination of lease or rental agreement or until agency is audited and audit report is released, whichever is longer.

Facilities/Building Security Records (including visitor logs)
Disposition: Temporary Record. Retain 1 year.

Motor Pool Vehicle Use Records
Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm or one year after the end of the fiscal year the audit covers, whichever is later.

Insurance Policies/Risk Management Records
Disposition: Temporary Record. Retain 6 years after termination of policy or membership.
Building Maintenance Work Orders
Disposition: Temporary Record. Retain 1 year.

Records Documenting Vehicle Use/Mileage
Disposition: Temporary Record. Retain 1 year.
Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

Requirement

Under the Code of Alabama 1975 § 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 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 its activities, including documentation of records destruction, to the State Records Commission.

Unless otherwise stipulated in this document, the Agency must transmit all permanent records which are no longer in active use to the ADAH.

Recommendations

In addition, the Agency should make every effort to establish and maintain a quality record-keeping program by conducting the following activities:

The Agency should designate a staff member in a managerial position as its records liaison/records manager, 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. ADAH archivists are available to work with Agency staff in determining the best location and storage conditions for permanent records.

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 Open Meetings 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.

Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the office should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

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. Agency records managers and/or the ADAH archivists are available to instruct the staff in RDA implementation and otherwise assist the Agency in implementing its records management program. For more information, please call the ADAH Archives Division at 334-242-4452.

The State Records Commission adopted this records disposition authority on October 27, 2021.

_____________________________________________    _________________
Steve Murray, Chairman       Date
State Records Commission

By signing below, the agency acknowledges receipt of the retention periods and requirements established by the records disposition authority.

_____________________________________________    _________________
Paula Pilgreen, Executive Director      Date
Board for Registration of Architects