Alabama Department of Archives and History

Functional Analysis
&
Records Disposition Authority

Revision
Presented to the
State Records Commission
April 28, 2021
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Functional and Organizational Analysis of the Alabama Department of Archives and History

Sources of Information

- Representatives of the Alabama Department of Archives and History
- Alabama Administrative Code Chapters 110-X-1 and 894-X-1
- Code of Alabama 1923 § 1539 and § 1549
- Code of Alabama 1975 § 12-20-24; § 16-32-1 through § 16-32-3; and § 36-12-5
- Code of Alabama 1975 § 41-3-5, § 41-6-1 through § 41-6-105, § 41-9-21, § 41-9-510, § 41-9-530, § 41-9-850, § 41-9-922, § 41-11-1 through § 41-11-6, and § 41-13-20 through 41-13-22
- 36 CFR Part 1206
- Alabama Department of Archives and History Audit Reports
- Archives Division, State Agency Files (1985-ongoing)
Historical Context

The Alabama Territory was created from the eastern part of the Mississippi Territory in 1817, when the western part became the State of Mississippi. When Alabama gained statehood as the twenty-second state on December 14, 1819, the Alabama Territory’s records were held by officials in Alabama, Mississippi, and the federal government.

Alabama did not have a centralized institutional repository for its records during the state’s early years. In 1820, the Legislature passed a law that made the Secretary of State’s Office responsible for the care of legislative documents. The Secretary of State was also responsible for consolidating and copying British, French, and Spanish records in Alabama relating to the state’s territorial years.

The responsibility to preserve and publish local historical materials fell to private historical societies during this period. The first and only statewide historical society was the Alabama Historical Society, founded in 1850 through the efforts of University of Alabama president Basil
Manly. The Alabama Historical Society held annual meetings throughout the 1850s, but most of the Society’s collections were destroyed during the Civil War.¹

Joshua H. Foster, the Alabama Historical Society’s first secretary, led a revival of the organization in the 1870s. The Society planned to request funds from the Legislature to construct a fireproof building for records storage, but these plans never came to fruition.²

**Thomas M. Owen**

The Alabama Historical Society remained mostly dormant until the 1898 meeting, at which Thomas M. Owen was elected as the organization’s secretary-treasurer. Owen was an attorney in Carrollton, Pickens County, Alabama, with a growing passion for state history. Throughout the 1890s, he amassed a personal archival collection of newspapers, monographs, scrapbooks, and other materials that documented Alabama’s history. He launched a campaign to increase membership in the Alabama Historical Society and prepared two bills for submission to the State Legislature at its 1898 session. One bill requested appropriations to fund the publication of the Society’s scholarly journal, while the other bill proposed the establishment of a state historical commission.³ Like other members of the Alabama Historical Society, Owen sought to establish a state historical commission in part to address the need for proper management of government records but also to ensure the preservation and promotion of Confederate history and ideals.

The Legislature was considering both bills on the same day that the Alabama Confederate Monument was unveiled on the State Capitol’s lawn. Legislators attended the unveiling ceremony and listened to the remarks of former Governor Thomas Goode Jones, a member of the Alabama Historical Society. A Confederate veteran himself, Jones spoke of the patriotism and sacrifice of Confederate soldiers and their families and implored listeners to uphold this aspect of Alabama’s history.⁴

As Owen proposed, the Legislature passed Alabama Act 1898-86, which established the Alabama History Commission and mandated that it must prepare a “detailed report [for] the Governor of Alabama…with an account of the [present] condition of historical work in the State and with such recommendations as may be desirable.”

The Commission submitted its findings to the Governor in a report dated December 1, 1900. Among other recommendations, the report called for “the creation of a Department of Archives and History, charged with the custody of the State official archives, and the collection and creation of a State library, museum and art gallery.”⁵

In response to these recommendations, the Legislature established the Alabama Department of Archives and History (ADAH) in February 1901. The ADAH was the first publicly funded state archival agency in the nation and is governed by a geographically representative Board of Trustees. The Board elected Owen as the department’s first director on March 2, 1901. Owen worked closely with his wife, Marie Bankhead Owen, and hired Peter A. Brannon, both of whom would eventually succeed him as ADAH directors. Under Owen’s tenure, the department acquired an extensive collection of Confederate artifacts as well as personal papers, nineteenth-century portraits, and Civil War flags.

ADAH staff initially worked from office space in the Alabama Senate cloakroom but moved to the State Capitol’s newly constructed south wing in 1907. These working arrangements became inadequate as the agency’s collections expanded. While Owen aspired to build a freestanding facility for the department, he did not live to see construction begin. He served as director of the department until his death in March 1920.

Marie Bankhead Owen

Marie Bankhead Owen was a member of the politically prominent Bankhead family. Her father, John H. Bankhead, served in the Alabama Legislature and in both chambers of the U.S. Congress. Marie Owen’s brothers John H. Bankhead and William B. Bankhead served in the U.S. Senate and the U.S. House of Representatives, respectively. The latter served as Speaker of the U.S. House of Representatives from 1936 to 1940 and is the namesake of Bankhead National Forest, located in portions of Franklin, Lawrence, and Winston Counties.

Marie met Thomas Owen in 1887 at the University of Alabama commencement ceremony. They married in 1893 and had two sons, one of whom survived to adulthood. After Thomas Owen was elected as the ADAH’s first director in 1901, the family settled in Montgomery. Marie Owen was a prolific writer and authored six historical plays and four student-oriented histories commemorating Alabama’s centennial in 1919. She was also active in women’s organizations including the Daughters of the American Revolution, the United Daughters of the Confederacy, and the Women’s Anti-Ratification League, which opposed Alabama’s adoption of the Nineteenth Amendment to the U.S. Constitution.

The ADAH Board of Trustees elected Marie Owen as the department’s second director in April 1920, less than one month after her husband’s death. Owen dedicated herself to continuing her husband’s legacy. She completed and published Thomas Owen’s four-volume History of Alabama and Dictionary of Alabama Biography in 1921. During this period, another of her

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8 Monroe, “Thomas M. Owen.”
11 Hébert, “Marie Bankhead Owen.”
projects was the creation of a new coat of arms and motto for Alabama. The motto she chose was “We Dare Maintain Our Rights,” which was translated into Latin by University of Alabama Professor W.B. Saffold as “Audemus jura nostra defendere.” She completed the coat of arms and motto in 1923, but the Legislature did not approve them until 1939. The coat of arms and motto designed by Mrs. Owen remain in use as of 2021.

The department maintained an active publications program during the 1920s and 1930s, including a *Historical and Patriotic Series* with influential titles including *The Formative Period in Alabama, 1815-1828* by Dr. Thomas Perkins Abernethy, and *Party Politics in Alabama from 1850 through 1860* by Dr. Lewy Dorman. The ADAH also supported periodicals including the *Alabama Historical Quarterly* and *Arrow Points*, the Alabama Anthropological Society’s monthly bulletin.

Owen also expanded the ADAH’s work beyond collecting and storing historical materials. For example, Alabama Act 1911-345 empowered the ADAH’s director to work with the state superintendent of education to “compile and publish a carefully selected and annotated list of books…representative of the whole field of literature” from which rural Alabama libraries could select. The ADAH was also required to “encourage the establishment of [rural and county] libraries” by offering free support to local governments seeking to create libraries in their communities.

Owen’s tenure as director was not free of criticism. In 1931, as the Great Depression was taking a heavy toll on the state’s finances, Gov. Benjamin M. Miller commissioned the Brookings Institution to undertake a comprehensive study of Alabama state agencies and offer fiscal recommendations. Concluding that the ADAH was not “an indispensable, practical, or ‘money-making’ branch of the state organization,” the report recommended that the ADAH be abolished and its archival collections transferred to the University of Alabama.

Owen nevertheless forged ahead, utilizing her political connections to secure federal funding appropriations for the construction of the Alabama World War Memorial Building. The building would serve not only as a memorial to Alabama soldiers, but also as a location to store and display the ADAH’s archival collections and artifacts. The Archivist of the United States Robert D.W. Connor dedicated the building in November 1940 during the fourth annual meeting of the Society of American Archivists, which took place in Montgomery. ADAH staff continue to operate from the World War Memorial Building as of 2021.

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12 Alabama Act 1939-140.
13 Holdings of the Alabama Department of Archives and History.
14 Alabama Act 1911-345.
15 Alabama Act 1919-763.
The ADAH experienced significant organizational changes during the latter years of Owen’s tenure. Alabama Act 1945-152 separated the Legislative Reference Service from the ADAH into a separate agency. Act 1945-293 authorized the department to “demand and recover any public records from any person having illegal or unlawful possession thereof,” and also to “give advise [sic] and assistance to any public official in [matters of] preserving, filing, and making available” the public records in the official’s custody.

**Peter A. Brannon**

Peter Alexander Brannon was born in Seale, Russell County, Alabama, in 1882. He graduated from the Alabama Polytechnic Institute (now Auburn University) in 1900 with a pharmaceutical chemistry degree. After Brannon’s step-grandfather’s death in 1903, Brannon inherited a collection of manuscripts, Native American artifacts, and military weapons. Thomas Owen learned of the collection and visited Brannon, ultimately purchasing several pieces from the collection for inclusion in the ADAH holdings. Brannon became increasingly involved with the ADAH. He moved to Montgomery in 1907, and in 1911, the ADAH Board of Trustees appropriated funds for Owen to hire Brannon as his chief clerk.¹⁹

Brannon assumed increasing levels of responsibility in the ensuing decades. He traveled across Alabama conducting local government records surveys, marking historic sites, and lecturing to schools and historical societies. Brannon also edited *Arrow Points*, the Alabama Anthropological Society’s monthly bulletin, for the publication’s entire run from 1922 to 1937.²⁰

After Marie Owen’s retirement in 1955, the ADAH Board of Trustees elected Brannon as the agency’s third director. During Brannon’s tenure as director, the ADAH assumed a lead role in organizing Alabama’s commemoration of the Civil War centennial.²¹ Brannon made prolific contributions to the field of public history during this time, penning a regular “Through the Years” column in the *Montgomery Advertiser* that educated the general public about subjects as diverse as the Federal Road in Alabama and the U.S. Census.²²

In the 1950s, state and local officials expressed concern that they lacked proper direction in the care and preservation of government records. In response to these concerns, the Legislature enacted Alabama Act 1955-565, which created the State and County Records Commissions.²³ The State Records Commission was responsible for “…determining which state records shall be permanently preserved because of historical value, and which state records may be destroyed or otherwise disposed of…” while the County Records Commission performed the same function for county records.²⁴ ADAH employees served as support staff for both commissions, and the department director served as the State and County Records Commissions’ chair.

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¹⁹ Graham Neeley, “‘My goal will ever be to make history popular’: Peter Brannon’s Quest for Alabama History” (Master diss., Auburn University, 2018), 1.
²⁰ Neeley, “‘My goal will ever be to make history popular,’” 45.
²¹ Hébert, “Alabama Department of Archives and History (ADAH).”
²² Neeley, “‘My goal will ever be to make history popular,’” 52-54.
²³ Holdings of the Alabama Department of Archives and History.
The ADAH experienced further organizational changes during this period. Alabama Act 1959-600 separated the Public Library Service from the ADAH and into a separate agency. The Legislature placed historic preservation activities under the purview of another new agency, the Historical Commission, with the passage of Alabama Act 1966 Ex. Sess. 168.

Unfortunately, the department’s state funding did not keep pace with the increasing size of government, the increasing volume of the ADAH’s collection, or the increasing demands by constituents for services. Brannon continued to serve as director until his death in January 1967.  

*Milo B. Howard*

Milo Barrett Howard, Jr. was born in Montgomery, Alabama, in 1933. He graduated from Alabama Polytechnic University with a triple undergraduate degree in history, English, and foreign languages, then returned to the newly renamed Auburn University to earn a master’s degree in history. After a stint in the U.S. Army’s Military Intelligence Corps, Howard returned to Montgomery and found work as an archivist at the ADAH.  

The ADAH Board of Trustees elected Howard as the agency’s fourth director after Brannon’s death in 1967. While serving as director, Howard simultaneously acted as chair of the Alabama Historical Commission and as the State Historic Preservation Officer. A champion for the preservation of historic architecture, Howard aided in establishing the Landmarks Foundation in 1968. The Foundation continues operation as of 2021, having restored more than fifty historic structures now housed in the “living history museum” of Old Alabama Town, located in downtown Montgomery.

Howard was a prolific writer and speaker both before and during his directorship. His published works include *The Memoire Justificatif of the Chevalier Montant de Monberaut: Indian Diplomacy in British West Florida* (co-authored with Dr. Robert R. Rea) and *A Brief History of St. John’s Church*, documenting the history of his home parish in Montgomery. He lectured at both the University of Alabama and Auburn University of Montgomery (AUM) while serving as director.

During Howard’s tenure, the ADAH participated in observances of the Alabama Sesquicentennial (1969) and the United States Bicentennial (1976). During the former observance, Howard oversaw the sealing of a time capsule opened during the Alabama Bicentennial in 2019.

Howard also oversaw an expansion of the Alabama World War Memorial Building during his directorship. Howard worked closely with Clinton Jackson Coley, Tallapoosa County Probate

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25 Holdings of the Alabama Department of Archives and History.


28 Holdings of the Alabama Department of Archives and History.
Judge and ADAH Board of Trustees Chair, to secure funding for a new wing on the building’s east side. The construction was funded with state appropriations received during the administrations of Gov. Albert Brewer and Gov. George Wallace. The wing, which opened in 1974, is named after Judge Coley to commemorate his service and advocacy.²⁹

Howard hoped to expand the ADAH building even further with construction on the building’s west side, but he became ill with lung cancer long before this project came to fruition. He served as director and worked on departmental business until his death at age forty-eight in November 1981.

**Edwin Bridges**

Dr. Edwin C. Bridges grew up in Bainbridge, Georgia. He completed his undergraduate studies at Furman University (located in Greenville, South Carolina) before completing master’s and doctorate degrees in history at the University of Chicago. Bridges taught at the Georgia Institute for Technology in Atlanta before joining the Georgia Department of Archives and History staff, eventually becoming assistant director there.

After Howard’s death in 1981, the ADAH launched a search committee to find the department’s next director. The committee contacted and interviewed Bridges, ultimately offering him the position in 1982.³⁰ He would serve as director for the next three decades.

Committed to implementing archival best practices, Bridges hired trained archivists, curators, and educators to care for and promote the department’s permanent collections. During his tenure, ADAH staff updated all catalog records, improved collection storage conditions, and expanded educational programs about Alabama history.³¹ The ADAH implemented many grant projects during Bridge’s tenure, including a newspaper preservation project funded by the National Endowment of the Humanities (NEH) and an archaeological cataloging project funded by the National Science Foundation (NSF).

The National Historical Publications and Records Commission (NHPRC) sponsored several projects in Alabama during this period as part of its efforts to establish Historical Records Advisory Boards in all fifty states.³² The NHPRC funded an assessment of Alabama’s government historical records, resulting in the 1985 report *Assessing Alabama’s Archives: A Plan for the Preservation of the State's Historical Records*.

Due in part to the NHPRC report’s conclusions, the ADAH partnered with the Association of County Commissions of Alabama and the Alabama League of Municipalities to support the

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²⁹ Rebecca Hébert, “Alabama Department of Archives and History (ADAH).”
³² State Historical Records Advisory Boards, or SHRABs, are authorized under federal regulations governing the NHPRC, specifically 36 CFR Part 1206. In 2006, Alabama would become one of only a few states with a SHRAB authorized under state law. See Alabama Act 2006-106.
enactment of more comprehensive records management legislation. The Legislature responded by enacting Alabama Act 1987-658, which abolished the County Records Commission and replaced it with a more inclusive Local Government Records Commission. ADAH employees served as support staff for the Local Government Records Commission while continuing to support the work of the State Records Commission. To further extend services to state agencies, the ADAH opened the State Records Center, a freestanding facility providing low-cost storage and retrieval services to state agencies.

As technology changed during the 1980s and 1990s, ADAH Records Management staff developed innovative records management solutions. In a 1995 report to the State Records Commission, archivists introduced the concept of the Records Disposition Authority (RDA), an agency-specific document that “analyzes the agency’s function and activities, discusses how the agency creates and maintains records, and…provides disposition requirements for the agency’s records.” The department completed its *Functional Analysis of Alabama Government*, which provided the foundation for the first RDA approvals in 1996.

After the reactivation of Alabama’s State Historical Records Advisory Board (SHRAB) with the passage of Alabama Act 2006-106, the ADAH Records Management Section also supported the Board’s work. Archivists worked with SHRAB to create a strategic plan for the board and to offer several cycles of regrant programs. These programs connected local government agencies and historical repositories in Alabama with the funding necessary to inventory, catalog, store, and provide access to records in their care.

The ADAH embraced new technology during Bridges’ directorship. In 1994, for example, the ADAH became the second state agency in Alabama to establish an online presence. The department began digitizing select records in 2001 while also participating in multiple digitization initiatives in partnership with other entities. For instance, the ADAH and the Alabama Senate collaborated to digitize and provide access to legislative acts and journals created during the 1800s. The ADAH and the Alabama Secretary of State (SOS) collaborated to digitize and provide access to legislative acts created during the 1800s.

Bridges also recognized the beneficial role to be played by auxiliary support organizations. He oversaw the establishment of the Friends of the Alabama Archives in 1982, a private, nonprofit organization that assists the department with public programming, conservation projects, equipment purchases, and other vital expenditures. The Alabama Archives and History Foundation was established later, in 2002, to oversee largescale, capital fundraising campaigns.

The Foundation’s largest project to date was fundraising to furnish and equip a new wing on the building’s west side. Financed by a state bond issue and opened in 2005, the west wing included much-needed archival storage space, a state-of-the-art research room, an auditorium for public programs, and space for a state history museum. The first phase of the Museum of Alabama opened in 2011 with exhibits on “The Land of Alabama” and “The First Alabamians.”

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34 Holdings of the Alabama Department of Archives and History.
35 Holdings of the Alabama Department of Archives and History.

**Steve Murray**

A native of Louisiana, Steve Murray completed his undergraduate studies at Louisiana College (located in Pineville, Louisiana) before completing a master’s degree in history at Auburn University. He served as managing editor of the *Alabama Review*, a quarterly publication of the Alabama Historical Association, and the online *Encyclopedia of Alabama* before becoming an ADAH Assistant Director in 2006.36

The ADAH Board of Trustees elected Murray as the agency’s sixth director after Bridges’ retirement in 2012. One of Murray’s early priorities was completing the “Alabama Voices” exhibit in the department’s west wing. The exhibit opened in 2014 and constitutes the centerpiece for the Museum of Alabama. The completed museum describes and interprets the state’s history from prehistoric times to the 21st century through artifacts, images, and Alabamians’ voices. Elementary school students enrolled in Alabama history courses frequently visit the museum during field trips to Montgomery.

Under Murray’s leadership, the ADAH participated in several grant initiatives, including State Historical Records Advisory Board (SHRAB) regrants funded by the National Historical Publications and Records Commission (NHPRC). The NHPRC also funded the Alabama State Electronic Records Project (ASERP), a three-year collaboration between the ADAH and the Governor’s Office to develop a processing workflow intended to manage, preserve, and provide access to permanent electronic records created by state agencies. The ADAH intends to undertake additional grant-funded projects in the future, such as efforts to bring the institution into full compliance with the provisions of the Native American Graves Protection and Repatriation Act (NAGPRA).

The ADAH continues to adapt to technological advances in the 21st century. As part of the ASERP grant, the ADAH launched a web-based portal to provide access to born-digital government records. The ADAH’s Digital Assets Section images archival materials and makes them available online via a digital content management system, which contains more than 1.1 million digitized objects as of early 2021. Large digitization initiatives include territorial and early statehood records, military unit and service records, gubernatorial records of the Civil War and Reconstruction era, genealogical publications, and the Alabama Media Group (AMG) Collection of newspaper photographic archives. The ADAH has a social media presence on Facebook and Twitter. Recordings of public programs are available on its YouTube channel.

The ADAH participated in the Alabama Bicentennial observances in 2019 and the United States Women’s Suffrage Centennial in 2020. In the former case, staff worked closely with the Alabama Bicentennial Commission and other partner entities to plan and implement commemorative activities, including development of Alabama Bicentennial Park in the Capitol

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Complex. A series of K-12 professional development programs in history and civics education began as a bicentennial initiative and continues to serve classroom educators as the Alabama History Institutes. A special exhibition of the state’s six constitutions and the 1861 ordinance of secession was on display in Huntsville and Montgomery during 2019.

On June 23, 2020, the ADAH issued a Statement of Recommitment in which it acknowledged the department’s role in creating systemic racism by preserving and promoting Confederate history while “declining to acquire and preserve materials documenting the lives and contributions of African Americans in Alabama.” The department committed to pursuing greater diversity among ADAH staff through recruitment initiatives, facilitating public dialogue on difficult historical topics, and expanding its efforts “to document and tell a fully inclusive story of Alabama’s role in the American experience.”\(^{37}\)

Through a robust program of educational outreach, government records management services, and public services, the ADAH endeavors to “tell the story of the people of Alabama by preserving records and artifacts of historical value and promoting a better understanding of Alabama history.”\(^{38}\)

**Agency Organization**

The agency is under the direction of a Board of Trustees, consisting of two members from each congressional district, two at-large members, and the Governor for a total of seventeen trustees. Board members serve six-year terms of office and meet quarterly. When a trustee’s term ends, the remaining trustees elect another from the same district or on an at-large basis. The Board must then submit the newly elected trustee to the Alabama Senate for confirmation. The Board appoints a Director who oversees ADAH operations and who serves as Secretary to the Board.\(^{39}\)

As of April 2021, the ADAH is organized into three divisions, known as the Administrative, Archives, and Museum Divisions. The Administrative Division consists of the Communications and Development; Fiscal and Personnel; and Information Technology sections. The Archives Division includes the Appraisal and Records Management; Collections; Digital Assets; and Reference sections. The Museum Division includes the Collections; Education; and Exhibits, Publications, and Programs sections; and the Registrar’s Office.

**Agency Function and Subfunctions**

The mandated functions of the Alabama Department of Archives and History are to ensure the preservation of Alabama’s historical records and artifacts and to promote a better understanding of Alabama’s history. It is one of the agencies responsible for performing the Education and Stewardship functions of Alabama government.


\(^{38}\) Alabama Administrative Code Chapter 110-X-1-.01.

\(^{39}\) Code of Alabama 1975 § 41-6-3.
In performance of its mandated functions, the Alabama Department of Archives and History may engage in the following subfunctions:

- **Identifying, Acquiring, and Preserving Artifacts and Records.** The Code of Alabama 1975 § 41-6-2 states that the objectives of the Alabama Department of Archives and History (ADAH) include “the care and custody of official archives” and “[t]he collection of materials bearing upon the history of the state and of the territory included therein from the earliest times” ADAH staff work with state and local government agencies and private donors to identify records (in all formats) and artifacts that document the history of the state. The ADAH collaborates with the State and Local Government Records Commissions to develop Records Disposition Authorities (RDAs) that identify historically significant records and set minimum required retentions for all other records of temporary value. ADAH staff also identify and collect private materials from individuals, groups, and organizations. Materials are occasionally acquired through purchase using state funds or, more frequently, using private funds held by the Friends of the Alabama Archives.

Records and artifacts are transmitted to the ADAH by legally transferring both the material(s) and its/their ownership from an agency, individual, or group to the department. As described in the Code of Alabama 1975 § 41-6-71, “the director, subject to the approval of the board, may from time to time de-accession property in the possession of the department” including, but not limited to, “[materials] that no longer fall within the department’s collecting guidelines, that duplicate items in the collection, or that are no longer deemed appropriate for the department’s collections.” Non-accessioned materials, including published books and genealogical research files, are also acquired for use by the public.

Once records and artifacts have been transmitted to the ADAH, staff may inventory, process, and describe the collections to increase their accessibility. The ADAH implements security and preservation measures to ensure the safety of collections. Other activities may include, but are not limited to, annually reviewing collections, developing disaster response plans, and monitoring environmental controls.

- **Providing Access to Artifacts and Records.** According to the Code of Alabama 1975 § 41-6-2, the responsibilities of the Alabama Department of Archives and History (ADAH) include “… [t]he diffusion of knowledge in reference to the history and resources of the state…” and “…[t]he encouragement of historical work and research…” To that end, the ADAH operates a Research Room to provide reference assistance to the general public. Staff also process research requests submitted via various methods including, but not limited to, telephone, email, mail, or via a form on the ADAH website. Staff likewise fulfill requests for inter-library loan. Furthermore, access to portions of the ADAH’s permanent collection is available through the department’s website. ADAH staff digitize physical records (including documents, photographs, and recordings) and upload the digitized files to the website. Some born-digital materials (materials produced in digital form, rather than converted from print or analog equivalents) are also made available online.
• Educating and Promoting. The department is responsible for planning and implementing various interpretive exhibits and public programs for students and other groups to promote better awareness and understanding of Alabama history. The Museum of Alabama, which opened in 2014, exhibits items including Native American artifacts, Civil War letters and diaries, and artifacts related to the Civil Rights Movement. Distance learning programs, such as virtual field trips, are presented through collaboration between the ADAH and the Alabama Department of Education. These programs are conducted live from within the ADAH building and cover a variety of time periods and topics in Alabama’s history for K-12 students.

In addition, staff organize and provide public programs of interest through museum visits; docent-led tours; interpretative programs, such as the monthly lunchtime lecture series; genealogical workshops; and other related workshops or training opportunities. For instance, the Alabama History Institutes serve as professional development opportunities for Alabama K-12 educators. The ADAH engages with master teachers and other partners throughout the state to create content for the Institutes. Archivists offer records management training to state and local government agencies and nonprofit organizations. ADAH staff also deliver presentations to the public on topics including, but not limited to, artifact conservation and genealogical research.

• Assisting Government and Private Entities in Managing Artifacts and Records. The ADAH Appraisal and Records Management Section staff assist agencies by providing free records management training; transferring permanent records to the ADAH for continued preservation; developing and revising Records Disposition Authorities (RDAs) for state and local government agencies; and collecting documentation related to RDA implementation. Staff support the work of the State and Local Government Records Commissions and the State Historical Records Advisory Board. The ADAH Museum Division offers a field services program that assists local historical organizations in managing artifacts in their custody.

Furthermore, as an additional service to state agencies located in Montgomery and the surrounding area, the department operates the State Records Center to provide offsite storage of non-archival paper records created by state agencies. State agencies’ temporary records may be transferred to and stored at the State Records Center until they become eligible for destruction.

• Administering Boards, Commissions, and Nonprofit Organizations. The ADAH directly administers several boards, commissions, and nonprofit organizations. For instance, the ADAH provides support staff to the State and Local Government Records Commissions. The State Records Commission is responsible for “determining which state records shall be permanently preserved because of historical value, [and] which state records may be destroyed or otherwise disposed of.” 40 The Local Government Records Commission makes similar determinations for “county, municipal, and other local government records” as provided by the Code of Alabama 1975 § 41-13-

23. The ADAH director chairs both the State Records Commission and the Local Government Records Commission.

The ADAH also supports the Alabama Historical Records Advisory Board (also known as the State Historical Records Advisory Board, or SHRAB), which is “a state advisory body for historical records planning [that works] to coordinate grant-funded records projects developed and carried out within the state for the preservation and use of Alabama’s historical records.”\(^{41}\) Additionally, the department carries out the administrative duties for the Alabama Academy of Honor, an organization intended “to bestow honor and recognition upon living Alabamians for their outstanding accomplishments and service.”\(^ {42}\) The ADAH likewise performs administrative duties on behalf of the Alabama Stonewall Jackson Memorial Fund, a competitive, repayable scholarship program.\(^ {43}\)

The ADAH is supported in its work by two nonprofit auxiliary organizations, the Friends of the Alabama Archives (the “Friends”) and the Alabama Archives and History Foundation (the “Foundation”). The Friends is a private, nonprofit organization that raises funds for the ADAH through various programs and activities. The Foundation was established in 2002 to oversee largescale, capital fundraising campaigns. ADAH staff coordinate with and provide logistical support to these organizations.

The department director serves as Secretary to the ADAH Board of Trustees. Additionally, the director is mandated by the Code of Alabama 1975 to serve on numerous boards and commissions of the state. These bodies include the Alabama Historical Commission, the State Capitol Advisory Committee, the Governor’s Mansion Authority, the Alabama Men’s Hall of Fame, the Alabama Stonewall Jackson Memorial Fund, and the Alabama Agricultural Museum Board.

### 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 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,

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\(^{41}\) Code of Alabama 1975 § 41-6-101.

\(^{42}\) Code of Alabama 1975 § 41-11-1.

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 Alabama Department of Archives and History

The following is a discussion of the three major categories of records created and/or maintained by the Department of Archives and History: Temporary Records, Permanent Records, and Records No Longer Created.

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 department are discussed below:

- **Acquisition Tracking Records.** The ADAH Registrar’s Office maintains a temporary custody receipt (TCR) tracking ledger to track acquisitions. These acquisitions are in the ADAH’s custody but have not yet been accessioned into the catalog. Fields in the TCR tracking ledger include a TCR number, the transfer date, a physical description of the material(s), and contact information for the potential donor. Staff make a note of the accession number if the item is ultimately accessioned. The scope of this series is limited to the TCR tracking ledger only and does not include the TCR documentation. If an item is accessioned, the TCR and other details about the item will become part of the permanent record series “Transmittals and Accession Records,” described below. If the acquisition is returned or disposed of, the information in the tracking ledger does not have ongoing significance. These ledgers should be retained until the acquisitions tracked in the ledger are accessioned, returned, or disposed of.

- **Donor Cultivation Files – If the Item is Not Donated.** The ADAH Registrar’s Office may maintain files on potential acquisitions for the permanent collection. These files may contain correspondence with donors or sellers, copies of wills or bequests, and photographs and documentation related to the item’s provenance. If the material(s) is/are ultimately offered to the ADAH, then the information from the donor cultivation files will be shifted to the evaluation files. Information may be shifted from the evaluation files back to the donor cultivation files if the evaluation process is suspended. If the material(s) is/are ultimately donated, the information will be moved to the “Transmittals and Accession Records,” which are appraised as permanent and described in more detail below. If the material(s) is/are not donated, the donor cultivation files should be retained for useful life.

- **Records Documenting the Scheduled Inventories of Archival Collections.** ADAH staff conduct scheduled inventories of the archival collections. (As of 2021, these inventories occur annually during the first full week of January.) Records documenting the scheduled inventories primarily consist of large quantities of printouts from the archival collections inventory databases. (“Collections Inventory Databases and Related Files” are appraised as permanent records and are described below.) Staff check for inconsistencies between the database printouts and the physical records on the shelves.
Inconsistencies are noted to be revisited later by Archives Division staff. A records retention of one year after the conclusion of the inventory facilitates destruction of the older printouts and related files as they become superseded.

- **Digital Collection Content Management System Access Files and Metadata.** The ADAH uses a digital content management system to make digitized images accessible to the public online. Depending on the scope of a given digitization project, staff may also compose metadata for digitized images. Metadata, image transcriptions, and other information about scans may be stored in databases. For instance, some access copies of scans are saved according to an alphanumeric file naming scheme, for which the database serves as a “key” linking the file names to the images they represent. The most current version should be retained to avoid confusion between current and outdated versions of the metadata.

- **Digitization/Access Project Files – Working Files.** The ADAH has participated in multiple digitization/access initiatives through partnering with other entities. For example, in the early 2000s, the ADAH and the Alabama Senate collaborated to digitize and provide access to legislative acts and journals which were created during the 1800s. Records documenting the ADAH’s involvement in initiatives such as AlabamaMosaic also fall within the scope of this series. The working files should be retained for 3 years after the project’s conclusion to facilitate lookback by staff. This record series is distinct from “Digitization/Access Project Files – Core Project Documentation,” which is appraised as permanent and is described below.

- **Researcher Registration Forms.** Prospective researchers must complete a Researcher Registration Form before they are granted access to the Research Room. As of 2021, they complete an electronic registration form at a computer terminal. The form automatically populates into a spreadsheet, which allows ADAH staff to track and report the number of new researchers over time. Registration forms should be retained for useful life to ensure that they remain available throughout the researchers’ usage of the collections.

- **Archival Records Retrieval Files (Triplicate Call Slips).** Patrons visiting the ADAH can request that records be pulled from the archival holdings. Reference Room staff document these requests by completing call slips as records are pulled. Staff may also scan the barcodes located on boxes as they are pulled from and returned to the archival holdings. The call slips are triplicates of carbonless copy paper. The call slips contain information including, but not limited to, the date of the request, the name of the patron requesting the call slip, the location number(s) of the material(s) pulled, and a description of the information requested. As of 2021, each slip has a white copy, a yellow copy, and a pink copy. When ADAH staff write on the front of the call slip on patrons’ behalf, the pressure of the writing causes the text to transfer to all three sheets. ADAH staff place the third/bottom triplicate slip (pink copy as of 2021) on the shelf when records are pulled and subsequently discard it when records are returned to the stacks. Staff use the second/middle triplicate slip (yellow copy as of 2021) to track how many unique researchers are using the collections, which is accomplished by maintaining only one yellow copy per researcher per day. The second/middle triplicate slip should be retained

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until the end of the quarter to facilitate quarterly reporting. Staff use the first/top triplicate slip (white copy as of 2021) to track how many boxes are pulled from the archival holdings over time. The first/top triplicate slip is retained for five years after the end of the fiscal year in which the record was created so that, if a box is misplaced, staff can review old triplicate slips to see when it was last used. Information that is captured via call slips (specifically pertaining to records’ locations) is also captured in the permanent record series “Collections Catalog Databases.”

- **Reference Letter Logs.** ADAH staff maintain letter logs in the form of databases that track the fulfillment of research requests. Information in the letter logs may include, but is not limited to, the following fields: name of patron, date the request was submitted, name of ADAH staff member assigned to fulfill the research request, date the request was assigned to a staff member, and date the staff member completed the request. These records should be retained for three years to facilitate lookback by staff. Statistical data from the reference letter logs is represented in the ADAH’s quarterly reports, which fall under the permanent record series “Annual and Other Periodic Reports.”

- **Reference Request Submissions and Fulfillments.** The ADAH accepts research requests in person, by email, by mail, or via a form on the website. ADAH staff respond to research requests on a rotational basis. Staff members fulfill reference requests by creating documentation including, but not limited to, a narrative summary of the research performed and/or a list of the archival collections consulted. Staff then submit copies of the requested records to the patron. ADAH staff may also choose to submit the narrative summary and/or the list to the patron. These records should be retained for three years to assist staff in responding to similar requests in the future. Statistical data from the reference fulfillment process is represented in the ADAH’s quarterly reports, which fall under the permanent record series “Annual and Other Periodic Reports.”

- **Copyright and Reproduction Records for Audiovisual Recordings, Photographs, and/or Other Products of Work-for-Hire Projects – If the audiovisual recordings, photographs, and/or products are not accessioned.** This series encompasses the copyright and reproduction records associated with audiovisual recordings and photographs taken by department staff or contractors, as well as other products of work-for-hire projects. (For instance, the ADAH commissioned professional 3D scans of its building to be used in virtual tours.) If the material(s) is/are ultimately accessioned, then the copyright and reproduction records will be moved to the “Transmittals and Accession Records,” which are appraised as permanent and described in more detail below. If the material(s) is/are not accessioned, the copyright and reproduction records should be retained for the life of the recordings, photographs, and/or products.

- **Training, Outreach, and/or Workshop Files – Master Teacher and Other Educational Partner Training Files.** ADAH staff offer various workshops and trainings for Alabama’s education community. For instance, the Alabama History Institutes serve as professional development opportunities for Alabama K-12 educators. The ADAH engages with master teachers and other partners throughout the state to create content for the Institutes. This record series documents the training of master teachers and other
educational partners to prepare them to pass on their knowledge to other educators. The records should be retained for seven years to ensure that proper documentation exists of the professional development credit-hours teachers earned during the completion of the prerequisite training. Information about this training is captured in the permanent record series “Training, Outreach, and/or Workshop Files – Representative Packets, Presentations, Activities, and Resources” and “Training, Outreach, and/or Workshop Files – Reports and Executive Summaries,” which are described below.

- **Training, Outreach, and/or Workshop Files – Planning Files.** ADAH staff maintain event planning files for public programming, which can include leadership tours (like “Facing History and Ourselves”) and symposia (like “Alabama History in Twenty Artifacts: A Bicentennial Symposium”). Planning files contain records including, but not limited to, the following files: media release forms, vendor relations files, budgeting files, and contracts. A records retention of five years ensures that the records remain available as staff plan subsequent events. Information about these events is captured in the permanent record series “Training, Outreach, and/or Workshop Files – Representative Packets, Presentations, Activities, and Resources” and “Training, Outreach, and/or Workshop Files – Reports and Executive Summaries,” which are described below.

- **Educational/Programmatic Project Files – Working Files.** The ADAH’s educational and public programming may be supplemented through the publication of books, articles, and scholarly publications. For example, the ADAH published an exhibit catalog, *We the People: Alabama’s Defining Documents*, to accompany the ADAH’s special Bicentennial exhibition. This temporary record series encompasses the working files prepared by ADAH staff as these publications are drafted and revised. Examples of these working files may include lists of artifacts, draft text, and sample printings. The scope of this series does not include the final publications, which are captured in the permanent record series “Educational/Programmatic Project Files – Final Products,” described below. The working files should be retained for five years to facilitate lookback by staff.

- **Records documenting nonaccessioned collections acquired for education/outreach activities.** The ADAH maintains several collections of nonaccessioned materials. As of 2021, these collections include, but are not limited to, the following materials: a nonpermanent education collection used in the Hands-On Gallery and a study collection consisting of textiles and artifacts which are used to test conservation methods and to demonstrate conservation techniques in workshops. Examples of records documenting the nonaccessioned collections might include, but are not limited to, inventories and records documenting conservation methods tested on samples. Records documenting these nonaccessioned collections will only be regularly referenced so long as the ADAH maintains physical custody of the materials and can be discarded following disposition of the materials.

- **Traveling Resource Reservation Forms and Related Correspondence.** The ADAH offers several types of traveling resources to Alabama educators, including one steamer trunk, one floor map, and several backpacks. Teachers can use these materials in their classrooms for a small fee and then ship the resources back to the ADAH. Records
documenting the usage of the traveling resources should be retained for three years to ensure that the records are available for any follow-up by or with educators who used the resources.

- **Event Evaluations.** ADAH staff collect evaluations after various forms of event programming, including, but not limited to, monthly lectures, Museum of Alabama guided tours, and records management training. Records should be retained for three years to facilitate lookback by staff.

- **Teacher Workshop Files – Registrations and Related Files.** Teachers may attend workshops and other educational events held by the Archives to earn credits for certification and recertification. In some instances, these records serve as the only paper trail documenting that a teacher has attended the course. Certification and recertification credits are valid for five years; a seven-year retention for this series, therefore, allows the Archives to provide proof of attendance upon request.

- **Time Capsule Sheets.** This series consists of Time Capsule Sheets completed by elementary school students during the annual Girl Scouts’ Days held at the Archives. Information on the sheet includes the name of the student, school, grade, Girl Scout number and leader, name of the student’s pet, favorite color/television show/teacher/books/music/food/subject, best friend’s name, hobbies, and future goals. In order for the student to review his/her sheets in the future, this series should be maintained for seventy-five years to cover the student’s lifetime.

- **State Records Center Files – Internal Working Files.** State Records Center staff maintain various working files as they carry out their duties. For instance, staff maintain an internal, unofficial document tracking records transfers and destruction. These working documents are distinct from the permanent record series “Transmittal Forms” and “Records Destruction Notices,” which are described below. The records should be retained for five years to facilitate lookback by staff.

- **State Records Center Files – Internal Database.** State Records Center staff enter box location numbers into a Microsoft Access database. The most current version should be retained to avoid confusion between current and outdated versions. Statistical data documenting State Records Center operations is represented in the ADAH’s quarterly reports, which fall under the permanent record series “Annual and Other Periodic Reports.”

- **State Records Center Files – Agency Access Authorization Forms.** State agencies complete and submit agency access authorization forms to State Records Center staff. These forms document which staff members are authorized to access temporary records stored at the State Records Center. The forms are rendered obsolete over time due to staff turnover, so a records retention of five years or until notified of deauthorization, whichever is longer, is appropriate.
- **Academy of Honor Working Files.** This record series documents the ADAH’s work to support the Alabama Academy of Honor and to plan and host its induction ceremonies. Records in this series include, but are not limited to, the following files: submitted nomination forms, returned ballots, event planning files, guest information, and correspondence. A records retention of five years for the award working files facilitates lookback by staff. Permanent documentation for the Academy of Honor is represented in the permanent record series “Administrative Files of the Academy of Honor,” described below.

- **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 Alabama Department of Archives and History 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.

- **Volunteer Service Files – Other Volunteer Service Files.** This record series captures the routine records maintained about most ADAH volunteers. Volunteer service files typically include applications, medical release forms, and volunteer policies and procedures (all of which must be signed by the volunteer). Information captured in the files includes, but is not limited to, the volunteer’s name, contact information, assignment(s), and years of service; however, this information may be aggregated into other documents describing the ADAH’s volunteer program at large. The records should be retained for two years after the volunteer becomes inactive to facilitate lookback by staff. This series does not include the volunteer service files of long-serving or otherwise noteworthy volunteers, whose files are designated as permanent under the record series “Volunteer Service Files – Selection of Notable Volunteer Service Files” (described below).

- **Volunteer Service Files – Volunteer Program Administrative Files.** This record series documents administration of the ADAH’s volunteer program. Records in this series may include, but are not limited to, volunteer enrichment activity planning files and routine correspondence. The records should be retained for 2 years to facilitate lookback by staff.

- **Asset Management Working Files (including Information Technology Assets).** ADAH staff maintain various working files to track assets and equipment. For instance,
an asset inventory spreadsheet documents information about the ADAH’s IT assets, including computers and associated hardware. Spreadsheet fields include operating system, model number, serial number, property tag number, and IP address. These records should be maintained for two years or until superseded to facilitate lookback by staff.

- **Facilities/Building Security Records.** This record series fulfills the ADAH’s responsibilities to managing properties, facilities, and provide security to staff, members of the public, and the historical materials contained within the department's facilities. Activities may include, but are not limited to, maintenance and repairs to the security system, fire alarm, fire safety, and fire suppression equipment; facilities maintenance, cleanliness, and repairs, including vehicles; facilities rentals; and non-consumable property management and reporting. Records within this series may include, but are not limited to, the following records: security system, fire alarm, fire safety, and fire suppression inspection and repairs; records documenting responses to alarms or emergencies; annual non-consumable property inventories; records documenting facility repair work. The records retention of facilities and security records is two years or until superseded to facilitate staff review.

- **Monitoring Instrumentation Files.** These records document the ownership, usage, maintenance, and repair of instrumentation used by the ADAH to monitor its facilities. Examples of equipment subject to ownership, usage, maintenance, and repair within this series include, but are not limited to, hygrothermographs, electronic environmental monitoring equipment, motion detectors and/or other similar passive monitoring systems. Records may include instrumentation readouts, repair records, certificates of calibration, and related correspondence. These files should be retained for two years to facilitate staff review.

**Permanent Records**

The Archives Division has appraised the following records as permanent:

**Identifying, Acquiring, and Preserving Artifacts and Records**

- **ADAH Collections Management Policies.** The ADAH Collections Management Policy provides the foundation for accessioning records and artifacts into the ADAH permanent holdings. The policy describes the department’s statutory authority to collect and preserve materials and references relevant professional standards. It also defines the scope of the ADAH’s collecting efforts and provides guidance on accessioning, deaccessioning, loaning, and preserving materials within the department’s scope of collections. The currently approved ADAH Collections Management Policy should be retained in office; when the policy is updated, the superseded version may be transmitted to the ADAH permanent collection. (*Bibliographic Title: Policies and Procedures*)

- **Meeting Files of the ADAH Collections Review Committee.** This series may consist of original copies of meeting agendas, minutes, and other related materials of the ADAH
Collections Review Committee. This committee makes decisions about which offered materials are accessioned into the ADAH permanent holdings. Information in the packets may include photographs, copies of temporary custody receipts, copies of potential donor forms, and staff evaluation forms. Documents in the meeting files may be duplicated in other permanent record series (such as the “Transmittals and Accession Records,” described below). The files should be retained in office because of their ongoing relevance for archivists in documenting and understanding the Committee’s decision-making processes. They should be preserved permanently to document Committee decisions related to the custody transfer of records and artifacts into the ADAH permanent collection. (Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)

- **Transmittals and Accession Records.** This series consists of the original signed permanent records transmittal forms and/or deeds of gift that document the transfer of the ownership of archival records, manuscripts, and artifacts to the department. Accession files may contain some or all of the following records: potential donor forms, temporary custody receipts (TCRs), printouts of correspondence between the ADAH and the potential donor(s), copies of the cover letters accompanying deeds of gift, copies of financial appraisals documenting the value of the materials, copies of tax forms provided to the donor(s), evaluation forms completed by the Collections Review Committee, documentation of the Collections Review process, associated use agreements, special use provisions, documentation of copyright status, signed transmittal forms, and signed deeds of gift. They should be preserved permanently to document the legal ownership of archival items by the Archives. (Bibliographic Title: Accession Records)

- **Deaccession Records.** These files document the release of items from the custody of the department. Deaccession files may contain some or all of the following records: deaccessioning checklists, condition reports describing the materials, formal recommendations to deaccession the materials, strategies to remove the materials from the collection, copies of minutes from the ADAH Board of Trustees meeting where the deaccession request is approved, and documentation of removal from the collection (such as bills of sale and correspondence). These records are necessary to prove that the item is no longer owned by the department and that staff followed the formal deaccessioning process. (Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)

- **Declined Items Files.** The ADAH may decline to accession items for various reasons. For instance, when donors offer a large collection of materials to the ADAH, the department will often accept some materials and decline other materials. Declined items are different from deaccessioned items because they were never formally accessioned. Declined item files include custody transfer receipts documenting the return of the materials. Declined item files are typically only created when materials undergo formal evaluation by the ADAH Collections Review Committee. The Registrar’s Office does not maintain extensive documentation of items which are declined immediately or which are withdrawn from consideration before evaluation has occurred. These files are used to verify that the item was not accepted by the Archives and to provide justification on the
grounds for the decline. *(Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)*

- **Nonaccessioned Donor Files.** The ADAH maintains several collections of nonaccessioned materials. As of 2021, these collections include, but are not limited to, the following materials: a surname file used in genealogical research, consisting mostly of photocopies and/or computer printouts; a published materials collection including books, DVDs, and CDs used for research purposes; a nonpermanent education collection used in the Hands-On Gallery; and a study collection consisting of textiles and artifacts which are used to test conservation methods and to demonstrate conservation techniques in workshops. When the Registrar’s Office receives materials for these nonaccessioned collections, the office sends an acknowledgement letter to the donor. The Registrar maintains a copy of the acknowledgement letter and any additional information about the collection in the nonaccessioned donor files. They are necessary to document donation of the materials. *(Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)*

- **Incoming/Outgoing Collection Loan Files and Registers.** These records document the loan of a collection or vice versa and may include loan agreements, standard facilities reports, and certificates of insurance. This series also includes deposit agreements, which govern the long-term storage of material owned by other institutions. Loan files and registers should be retained permanently as they document the exhibit history of artifacts held by the department. *(Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)*

- **Collections Catalog Databases.** As of 2021, Archives Division staff members use the MARC 21 (Machine Readable Cataloging) Format for Bibliographic Data to create/maintain catalog databases which contain detailed description of permanent records in the department’s custody. Cataloged information includes, but is not limited to, Creator, Title, Location, Biographical or Historical Note, Scope and Content Note, and Subject(s). These are the official, public-facing catalogs which are accessible through the ADAH website.

Museum Division staff members create, maintain, and update catalog databases which contain much of the known information about each artifact in the departments custody. Cataloged information includes, but is not limited to, Object ID, Object Name, Object Description, Provenance, Condition, Dimensions, and Location. The descriptions and other information document the history of the item and are necessary to place the object in context. *(Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)*

- **Collections Inventory Databases and Related Files.** Archives Division staff maintain inventory databases documenting the ADAH’s archival holdings. For instance, there are databases documenting government records, manuscript collections, maps, microfilm, and newspapers. Databases are maintained at various levels of granularity including, but not limited to, box-level, volume-level, and folder-level. Fields in the database include,
but are not limited to, the following fields: location number, creator, assigned record series, container level description, box contents, folder level description (if available), and inclusive date ranges. These databases are used internally to maintain physical and intellectual control of archival holdings, accomplished by completing annual inventories and generating container- or folder-level listings.

Museum Division staff maintain records that document or otherwise contextualize the ADAH’s museum holdings including, but not limited to, archaeological collections and textiles. This record series includes, but is not limited to, the following documentation: databases documenting geographical information of Alabama’s archaeological sites and the artifacts recovered from these locations, lists of archival collections that must be restricted due to their discussion of sensitive archaeological site information, and inventories, photographs and reports documenting the ADAH archaeological collection. (Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)

- **Collections Control Files.** The Archives Division control files may contain documents including, but not limited to, copies of the deed(s) of gift, copies of custody transfer documentation, copies of Collections Review Committee approval documentation (such as evaluation forms), original catalog printouts, finding aids, processing plans, separation sheets, staff research about the collections, and other related materials.

The Museum Division control files may contain documents including, but not limited to, museum catalog worksheets, copies of the deed(s) of gift, copies of custody transfer documentation, copies of Collections Review Committee approval documentation (such as evaluation forms), artifact condition reports, and curatorial research about the collections. Information on the museum catalog worksheet may include object name, accession number, object description, provenance, conservation recommendations, object status, and disposition. (Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)

- **Records Documenting Compliance with the Native American Graves Protection and Repatriation Act (NAGPRA).** As a state government repository with a substantial collection of archaeological artifacts that has received federal funding, the ADAH is required to comply with the Native American Graves Protection and Repatriation Act (NAGPRA). Compliance is demonstrated through the creation and retention of records including, but not limited to, the following documents: correspondence with affected Native American tribes documenting the consultation process, notices submitted to National NAGPRA (such as notice of inventory completion), summaries and inventories of the archaeological collection internal progress reports and memoranda, and reports to the ADAH’s Board of Trustees. (Bibliographic Title: Native American Graves Protection and Repatriation Act [NAGPRA] Compliance Records)
Providing Access to Artifacts and Records

- **Use Agreements and Related Files.** The ADAH may maintain use agreements for documents, photographs, audio recordings, video recordings, and artwork that have been reproduced, quoted, cited, or otherwise published in external resources. These agreements and any associated information, such as special use provisions, should be maintained permanently to document the ADAH’s facilitation of fair use of its digitized collections. *(Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)*

- **Digitization/Access Project Files – Core Project Documentation.** The ADAH has participated in multiple digitization/access initiatives through partnering with other entities. For example, in the early 2000s, the ADAH and the Alabama Senate collaborated to digitize and provide access to legislative acts and journals which were created during the 1800s. ADAH staff maintain project files documenting these collaborative initiatives which contain documents including, but not limited to, contracts and memoranda of understanding (MOUs). Records documenting the ADAH’s involvement in initiatives such as AlabamaMosaic and third-party delivery agreements with entities like Ancestry.com also fall within the scope of this series. *(Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)*

Educating and Promoting

- **Museum Exhibit Planning Files – Meeting Minutes; Reports; Final Graphics, Design, Text, and Art.** The minutes; reports; and final graphics, design, text, and art document the planning and design of museum exhibits. Museum exhibits are constructed to provide visitors with a multifaceted presentation on Alabama history featuring the collections of the department. *(Bibliographic Title: Museum Exhibit Files)*

- **Audiovisual Recordings of Events/Programs – Selection of Representative Final and/or Edited Audiovisual Recordings.** This series includes audio and/or video recordings taken by department staff or contractors for informational or promotional purposes. Records in the series include audiovisual recordings of the ADAH’s monthly lecture series (marketed as “Food for Thought” as of 2021) and other programs or talks. Recordings of events which the ADAH hosted or co-hosted are uploaded to the ADAH’s video sharing platform(s). Older audiovisual recordings are maintained in a variety of formats including, but not limited to, audiocassettes, videocassettes, and DVDs.

  A selection of representative final and/or edited recordings should be preserved as documentation of the department’s efforts in promoting Alabama history and culture. Stock or raw footage is to be retained until the completion of the master copies. Recordings taken for internal or reference use are to be retained for useful life. *(Bibliographic Title: Audiovisual Materials)*
Photographs – Selection of Representative Photographs (including high-quality and/or published photographs). This series includes photographs taken by department staff or contractors for informational and promotional purposes. A selection of the department’s representative photographs, including high-quality photographs and/or photographs published in informational and promotional materials, provides visual documentation of the department's significant activities and efforts to promote the state. This selection is to be retained permanently. Photographs outside of this representative selection, including duplicative and poor photographs, are to be retained for useful life. Photographs taken for internal or reference use are to be retained for useful life. (Bibliographic Title: Photographs)

Training, Outreach, and/or Workshop Files – Representative Packets, Presentations, Activities, and Resources. ADAH staff members plan and conduct various training sessions and/or workshops. For instance, the Alabama History Institutes serve as professional development opportunities for Alabama K-12 educators. The ADAH engages with master teachers and other partners throughout the state to create content for the Institutes. Archivists offer records management training to state and local government agencies and nonprofit organizations. ADAH staff also deliver presentations to the public on topics including, but not limited to, artifact conservation and genealogical research.

This record series includes representative samples of the materials presented and/or distributed at these events including, but not limited to, the following documents: agendas, educational resources, handouts, lesson plans, presentations, reference materials, and teaching strategies. Records documenting educational tours, including scripts and teaching strategies used by Museum of Alabama docents, also fall within the scope of this series. (Bibliographic Title: Educational Outreach Files)

Training, Outreach, and/or Workshop Files – Reports and Executive Summaries. ADAH staff document trainings, workshops, and public programming events by producing executive summaries and reports. For example, staff write executive summaries about leadership tours (for instance, “Facing History and Ourselves”) and symposia (for instance, “Alabama History in Twenty Artifacts: A Bicentennial Symposium”). Reports and executive summaries documenting the ADAH’s field services programs also fall within the scope of this series. These summaries and reports provide documentation of training activities presented by staff. (Bibliographic Title: Educational Outreach Files)

Educational/Programmatic Project Files – Final Products. The ADAH’s educational and public programming may be supplemented through the publication of books, articles, and scholarly publications. For example, the ADAH published an exhibit catalog, We the People: Alabama’s Defining Documents, to accompany the ADAH’s special Bicentennial exhibition. These publications are historically significant because they represent a synthesis of new ideas from materials from the ADAH’s collections. The final products also document the ADAH’s efforts to make its collections accessible to a wider audience. (Bibliographic Title: State Publications)
Assisting Government and Private Entities in Managing Artifacts and Records

- **State and Local Government Agency Administrative Files.** These records, divided by type of agency (state, county, or municipality), may include original approved and signed Records Disposition Authorities (RDAs), superseded records retention schedules, appraisal worksheets, communication with agencies, memos documenting onsite training/visits by staff, various reports, obsolete records destruction notices, and other related records or reference materials. This is the core documentation of the department’s records management assistance rendered to governmental entities across the state. *(Bibliographic Title: State Government Agency Files; Local Government Agency Files)*

- **Documentation of RDA Compliance Submitted to the State and Local Government Records Commissions.** State agencies with approved RDAs submit Annual RDA Implementation Reports to the State Records Commission. As of 2021, these reports are due every January 15 and document RDA compliance activities over the previous fiscal year. Annual RDA Implementation Reports contain information including, but not limited to, quantities of obsolete records destroyed over the previous fiscal year, comments on how the agency has addressed recommendations previously made by the Commission, and responses to survey-style questions. If state agencies destroyed obsolete records over the previous fiscal year, they will submit corresponding destruction documentation alongside the Annual RDA Implementation Report.

  Local government agencies submit Local Government Records Destruction Notices when seeking to destroy obsolete records. The Local Government Records Commission’s support staff process the notices and return the Letter(s) of Eligibility to the local agency. Letters of Eligibility constitute permission from the Local Government Records Commission to proceed with RDA compliance activities. These records are essential to document the monitoring subfunction of the Commissions. *(Bibliographic Title: Records Retention Compliance Files)*

- **State Historical Records Advisory Board (SHRAB) Administrative Records.** The National Historical Publications and Records Commission (NHPRC) promotes the preservation and use of America’s documentary heritage through its grant program. Each state that desires to participate in the NHPRC grant program appoints a State Historical Records Coordinator and establishes a Historical Records Advisory Board. The Alabama Historical Records Advisory Board is responsible for conducting statewide historical records assessments and creating a strategic plan for the care of and access to historical records in Alabama. This series contains core documents of the Board (bylaws, grant guidelines, manuals, membership lists, and strategic plans), survey reports, and grant project final reports that should be preserved as permanent records. *(Bibliographic Title: Alabama Historical Records Advisory Board Administrative Records)*

- **State Records Center Files – Transmittal Forms.** These files include complete transmittal forms that authorize the State Records Center to accept and store temporary
records created by state agencies. These transmittal forms document the chain of custody of state agency records. *(Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)*

- **State Records Center Files – Records Destruction Notices.** Destruction notices are preserved in the files to document the scheduled retention and destruction of temporary records after their retention is met. Signed records destruction notices document both the retention date provided on the intake paperwork, and when and which representative of a client agency authorized the decision to destroy the records. Unsigned records destruction notices do not contain authorization to destroy but are maintained until they are signed. These notices are maintained permanently because they are documentation that state agencies have or have not authorized the destruction of records. *(Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)*

**Administrating Boards, Commissions, and Nonprofit Organizations**

- **Meeting Minutes, Agendas, and Packets of the Alabama Department of Archives and History Board of Trustees.** This series consists of original copies of meeting agendas, signed minutes, meeting packets, and other related materials of the Board. They are the core documentation on the Board’s decision-making process and should be preserved permanently. *(Bibliographic Title: Meeting Files)*

- **Administrative Files of the Alabama Department of Archives and History Board of Trustees.** Records in this series include, but are not limited to, trustee directories and orientation packets for newly appointed trustees. They are necessary to document the activities of the Board of Trustees and the election of members to it. *(Bibliographic Title: Administrative Files)*

- **Board, Commission, and Nonprofit Organization Member Files – Biographical and Historical Information.** These records include biographical description and other historical data related to the boards, commissions, and nonprofit organizations which the agency administers. As of April 2021, these bodies include the Alabama Department of Archives and History Board of Trustees, the Alabama Archives and History Foundation Board of Directors, the Academy of Honor, the Academy of Honor Executive Committee, the Friends of the Alabama Archives Board of Directors, the Local Government Records Commission, the State Historical Records Advisory Board (SHRAB), and the State Records Commission. These records provide important documentation of these bodies’ composition. *(Bibliographic Title: Biographical Files)*

- **Meeting Minutes, Agendas, and Packets of the State Records Commission and Local Government Record Commission.** This series consists of original copies of meeting agendas, signed minutes, meeting packets, and other related materials of the two commissions. They are the core documentation of the decision-making process of the Commissions and should be preserved permanently. *(Bibliographic Title: Meeting Files)*
Meeting Minutes, Agendas, and Packets of the State Historical Records Advisory Board (SHRAB). The National Historical Publications and Records Commission (NHPRC) promotes the preservation and use of America’s documentary heritage through its grant program. Each state that desires to participate in the NHPRC grant program appoints a State Historical Records Coordinator and establishes a Historical Records Advisory Board. The Alabama Historical Records Advisory Board is responsible for conducting statewide historical records assessments and creating a strategic plan for the care of and access to historical records in Alabama. This series consists of original copies of meeting agendas, signed minutes, meeting packets, and other related materials of the Alabama Historical Records Advisory Board. They are the core documentation of the decision-making process of the Board and should be preserved permanently.

(Bibliographic Title: Meeting Files)

Meeting Minutes, Agendas, and Packets of the Academy of Honor and the Academy of Honor Executive Committee. This series consists of original copies of meeting agendas, signed minutes, meeting packets, and other related materials of the Academy of Honor and the Academy of Honor Executive Committee. They are the core documentation on decision-making processes and should be preserved permanently.

(Bibliographic Title: Meeting Files)

Administrative Files of the Academy of Honor. Records in this series include, but are not limited to, the following files: induction ceremony program booklets, photographs and/or videos of induction ceremonies, calls for nominations and associated press releases, blank sample ballots, and blank invitations to induction ceremonies. They are necessary to document the activities of the Academy and the election of members to it. Financial records of the Academy of Honor fall under the records categories listed under the Administering Internal Operations subfunctions.

(Bibliographic Title: Administrative Files)

Records of the Stonewall Jackson Memorial Fund Repayable Scholarship Program (Not Financial Records). These records include press releases, correspondence, and winning essays. They are necessary to document the activities of the fund. Financial records of the Fund fall under records categories listed under the “Administering Internal Operations” subfunctions. Submitted (non-winning) essays, judging sheets, and essay rating matrices fall outside the scope of this series and are appraised as temporary records.

(Bibliographic Title: Stonewall Jackson Memorial Fund Records)

Meeting Minutes, Agendas, and Packets of the Friends of the Alabama Archives Board of Directors and the Alabama Archives and History Foundation Board of Directors. This series consists of original copies of meeting agendas, signed minutes, meeting packets, and other related materials of the Friends of the Alabama Archives Board of Directors and the Alabama Archives and History Foundation Board of Directors.

44 State Historical Records Advisory Boards are authorized under federal regulations governing the NHPRC, specifically 36 CFR Part 1206. Prior to 2006, Alabama’s SHRAB operated pursuant to these federal regulations. The passage of Alabama Act 2006-106 authorized the SHRAB to operate under state law, in addition to federal law.
Directors. They are the core documentation on decision-making processes and should be preserved permanently. *(Bibliographic Title: Meeting Files)*

- **Critical Governance Documentation of the Friends of the Alabama Archives and the Alabama Archives and History Foundation.** Records in this series may include, but are not limited to, the organizations’ articles of incorporations, charters, applications and determination letters for recognition of tax exemption (Forms 1023 and 1023 EZ), copies of nonprofit corporation registration filings submitted to the Alabama Secretary of State, charitable organization registrations, and annual filings to the Alabama Attorney General. *(Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)*

- **Records of Donations to the Friends of the Alabama Archives and the Alabama Archives and History Foundation – Records of Significant Donations as Determined by the Organizations.** These records contain information on donations which the Friends of the Alabama Archives and/or the Alabama Archives and History Foundation judge should be permanently documented. These files contain information such as correspondence, donation records, and other material about the donor. *(Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)*

- **Critical Financial Documentation of the Friends of the Alabama Archives and the Alabama Archives and History Foundation.** Records in this series may include, but are not limited to, the organizations’ audit reports, annual financial statements (including balance sheets, income statements, and statements of cash flow), year-end budget reports, annual returns indicating exemption from federal income tax filing (Forms 990, 990-EZ, and 990-N), state and local tax returns and filings, and endowment records. *(Bibliographic Title: Not Applicable) (Maintained in Office by the Alabama Department of Archives and History)*

**Administering Internal Operations**

- **Policies and Procedures - Policies and Procedures Governing Core Functions and Services.** These records document the ADAH’s role in promulgating policies governing critical operations, such as the department’s Collections Management Policy. This record series also includes disaster response plans, continuation of operations (COOP) plans, and building security policies. 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
Administrative Files that Document Policy, Process, and Procedure (Including Directors’ Files). These records, which include official correspondence of the agency, document substantive actions and positions of the agency and its leaders, including the Director and Assistant Directors, the agency’s performance of its functions, and the formulation of policy and program initiatives. These records include, but are not limited to, correspondence, legal/advisory correspondence, memoranda, meeting notes, reports, scheduling files, program development materials, and non-routine fiscal, budgetary, and personnel concerns. The department’s process of searching for and selecting candidates for director also falls within this series. (Bibliographic Title: Administrative Files)

Annual and Other Periodic Reports. These records include reports created by the agency that document its critical activities. Some agencies must submit an annual report to the Governor and/or the legislature by statute. The frequency of report publications may vary (annual, biannual, quarterly, etc.). 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. Reports summarize activities in all the subfunctions of the Alabama Department of Archives and History including department news and accomplishments. (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)

Representational Final Versions of Informational and Promotional Materials. These records are created to build public awareness about a variety of issues and department-related activities. Examples of these records include, but are not limited to, press releases and brochures. The scope of the series also includes, but is not limited to, published reports written by staff members, speeches, and photographs. (Bibliographic Title: Publicity Files)

Newsletters. These records include newsletters and other bulletins issued on a periodic basis. The targeted audience for these newsletters may include current employees, stakeholders, and the interested public. These publications are made available through a variety of means, including via the postal service, via the agency website and/or social media channels, and via email subscription services. (Bibliographic Title: State Publications)

Grant Records – Grant Project Final Narrative Reports. These files are the final reports of the various grants managed by the ADAH. Grant projects may be funded by organizations including, but not limited to, the following entities: the Alabama
Humanities Foundation (AHF), the National Endowment for the Humanities (NEH), and the National Historical Publications and Records Commission (NHPRC). Examples of grant projects falling within the scope of this series include the Alabama State Electronic Records Project (funded in part by the NHPRC) and the SHRAB regrant program (also funded in part by the NHPRC). Final narrative reports document the activities of the grant and should be retained permanently. Grant project working files and grant project financial records fall outside the scope of this series. *(Bibliographic Title: Grant Report Files)*

- **Grant Records – Data Management Plans.** The data management plan, required by federally funded grants and potentially required by other sources, may include, but is not limited to, such information as to what data is collected, if the data is restricted or publicly available, what information will be provided to the funding institution, and how and where the information will be stored. The data management plan is crucial in providing background documentation of research and results. *(Bibliographic Title: Not Applicable) (Maintained by the Alabama Department of Archives and History)*

- **Volunteer Service Files – Selection of Notable Volunteer Service Files.** This series documents the work of distinguished volunteers at the ADAH. Documents in the files may include, but are not limited to, the following documents: newspaper clippings about the volunteer’s service, photographs of the volunteer, thank-you letters to the volunteer from the ADAH Director, and correspondence to the volunteer from schoolchildren and other members of the public. Information captured in the files includes, but is not limited to, the volunteer’s name, contact information, assignment(s), and years of service. The series should be retained permanently due to its documentation of the department’s volunteer program. *(Bibliographic Title: Volunteer Services Files)*

- **Volunteer Service Files – Aggregate/Summary Reports on the Volunteer Program.** The ADAH may produce aggregate/summary reports documenting the department’s volunteer program over an interval of time. Information in the aggregate/summary report is condensed from individual volunteer service files and may include lists of volunteer names and volunteers’ years of service. The aggregate/summary reports are maintained permanently in lieu of the files of individual volunteers, which fall under the temporary record series “Volunteer Service Files – Other Volunteer Service Files” (described above). *(Bibliographic Title: Volunteer Service Files)*

- **Website and Social Media Site(s).** The Archives has a website at www.archives.alabama.gov, a Facebook page at www.facebook.com/AlabamaArchives, a YouTube account at www.youtube.com/user/AlabamaArchives, a Twitter account at www.twitter.com/AlabamaArchives, and an Instagram account at www.instagram.com/alabamaarchives.

  Information on the website includes information for genealogists and historians, teachers and students, museum visitors, members of the public, and state and local officials. The website and social media accounts contain contact information and can be used to glean information about Alabama or the Archives. ADAH staff capture and preserve the
agency’s website and other social media accounts via a service offered by the Internet Archive [Archive-It]. Any content behind password protection or login will not be captured. *(Bibliographic Title: Website and Social Media Sites)*

- **Building Plan, Specification, and Renovation Files.** The Archives building has undergone various modifications during its history. These plans document the changes to the Archives building and also provide information that will be useful for future renovations. *(Bibliographic Title: Building Plan, Specification, and Renovation Files)*

**Records No Longer Created**

The ADAH no longer creates/retains these record series:

- **Poster/Bookmark and/or Other Education Contest Winning Entries – Entries of Winners.** Occasionally, the department conducted a contest for students to create a project relating to Alabama history. Past projects have included creating models of the state symbols and posters depicting a moment in the state’s history. The winning entries document the department’s efforts to promote Alabama history and culture. Although these contests are no longer held, the winning entries are permanent records and should be transmitted into the ADAH permanent collection.
Permanent Records List
Alabama Department of Archives and History

Identifying, Acquiring, and Preserving Artifacts and Records

1. ADAH Collections Management Policies
2. Meeting Files of the ADAH Collections Review Committee*
3. Transmittals and Accession Records
4. Deaccession Records*
5. Declined Item Files*
6. Nonaccedioned Donor Files*
7. Incoming/Outgoing Collection Loan Files and Registers*
8. Collections Catalog Databases*
9. Collections Inventory Databases and Related Files*
10. Collections Control Files*
11. Records Documenting Compliance with the Native American Graves Protection and Repatriation Act (NAGPRA)

Providing Access to Artifacts and Records

1. Use Agreements and Related Files*
2. Digitization/Access Project Files – Core Project Documentation*

Educating and Promoting

1. Museum Exhibit Planning Files (Meeting Minutes; Reports; Final Graphics, Design, Text, and Art)
2. Audiovisual Recordings of Events/Programs – Final and/or Edited Audiovisual Recordings
3. Photographs – Selection of Representative Photographs (including high-quality and/or published photographs)
4. Training, Outreach, and/or Workshop Files – Representative Packets, Presentations, Activities, and Resources
5. Training, Outreach, and/or Workshop Files – Reports and Executive Summaries
6. Educational/Programmatic Project Files – Final Products

Assisting Government and Private Entities in Managing Artifacts and Records

1. State and Local Government Agency Administrative Files
2. Documentation of RDA Compliance Submitted to the State and Local Government Records Commissions
3. State Historical Records Advisory Board (SHRAB) Administrative Files
4. State Records Center Files – Transmittal Forms*
5. State Records Center Files – Records Destruction Notices*
Administering Boards, Commissions, and Nonprofit Organizations

1. Meeting Minutes, Agendas, and Packets of the Alabama Department of Archives and History Board of Trustees
2. Administrative Files of the Alabama Department of Archives and History Board of Trustees
3. Board, Commission, and Nonprofit Organization Member Files – Biographical and Historical Information
4. Meeting Minutes, Agendas, and Packets of the State Records Commission and Local Government Records Commission
5. Meeting Minutes, Agendas, and Packets of the State Historical Records Advisory Board (SHRAB)
6. Meeting Minutes, Agendas, and Packets of the Academy of Honor and the Academy of Honor Executive Committee
7. Administrative Files of the Academy of Honor
8. Records of the Stonewall Jackson Memorial Fund Repayable Scholarship Program (Not Financial Records)
9. Meeting Minutes, Agendas, and Packets of the Friends of the Alabama Archives Board of Directors and the Alabama Archives and History Foundation Board of Directors
10. Critical Governance Documentation of the Friends of the Alabama Archives and the Alabama Archives and History Foundation*
11. Records of Donations to the Friends of the Alabama Archives and the Alabama Archives and History Foundation – Records of Significant Donations as Determined by the Organizations*
12. Critical Financial Documentation of the Friends of the Alabama Archives and the Alabama Archives and History Foundation*

Administering Internal Operations

1. Policies and Procedures – Policies and Procedures Governing Core Functions and Services
2. Certified Copies of the Administrative Rules*
3. Administrative Files that Document Policy, Process, and Procedure (Including Directors’ Files)
4. Annual and Other Periodic Reports
5. Special Reports
6. Representational Final Versions of Informational and Promotional Materials
7. Newsletters
8. Grant Records – Grant Project Final Narrative Reports
9. Grant Records – Data Management Plans*
10. Volunteer Service Files – Selection of Notable Volunteer Service Files
11. Volunteer Service Files – Aggregate/Summary Reports on the Volunteer Program
12. Website and Social Media Site(s)
13. Building Plan, Specification, and Renovation Files
Records No Longer Created

1. Poster/Bookmark and/or Other Education Contest Winning Entries – Entries of Winners

*indicates records that the ADAH has determined should be retained permanently and that the 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.
Alabama Department of Archives and History 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.

**Identifying, Acquiring, and Preserving Artifacts and Records**

**ADAH COLLECTIONS MANAGEMENT POLICIES**
Disposition: PERMANENT RECORD.

**MEETING FILES OF THE ADAH COLLECTIONS REVIEW COMMITTEE**
Disposition: PERMANENT RECORD. Retain in office.

**TRANSMITTALS AND ACCESSION RECORDS**
Disposition: PERMANENT RECORD.

**DEACCESSION RECORDS**
Disposition: PERMANENT RECORD. Retain in office.

**DECLINED ITEMS FILES**
Disposition: PERMANENT RECORD. Retain in office.

**NONACCESSIONED DONOR FILES**
Disposition: PERMANENT RECORD. Retain in office.

**INCOMING/OUTGOING COLLECTION LOAN FILES AND REGISTERS**
Disposition: PERMANENT RECORD. Retain in office.

**Acquisition Tracking Records**
Disposition: Temporary Record. Retain until the last described acquisition is accessioned, returned, or disposed of. If an item is accessioned, its details are retained as part of the permanent record series “Transmittals and Accession Records.”

**Donor Cultivation Files**

a. If the Item is Donated
   Disposition: Move the information to the transmittal/accession record.
b. If the Item is Not Donated
   Disposition: Temporary Record. Retain for useful life.

**COLLECTIONS CATALOG DATABASES**
Disposition: PERMANENT RECORD. Retain in office.

**COLLECTIONS INVENTORY DATABASES AND RELATED FILES**
Disposition: PERMANENT RECORD. Retain in office.

**Records Documenting the Scheduled Inventories of Collections**
Disposition: Temporary Record. Retain 1 year after the inventory concludes.

**COLLECTIONS CONTROL FILES**
Disposition: PERMANENT RECORD. Retain in office.

**RECORDS DOCUMENTING COMPLIANCE WITH THE NATIVE AMERICAN GRAVES PROTECTION AND REPATRIATION ACT (NAGPRA)**
Disposition: PERMANENT RECORD. Retain in office.

**Providing Access to Artifacts and Records**

**USE AGREEMENTS AND RELATED FILES**
Disposition: PERMANENT RECORD. Retain in office.

**Digital Collection Content Management System Access Files and Metadata**
Retention: Temporary Record. Retain the most current version.

**Digitization and/or Reproduction Order Logs**
Disposition: Temporary Record. Retain for useful life.

**Digitization and/or Reproduction Order Forms**
Disposition: Temporary Record. Retain 1 year after audit.

**Digitization/Access Project Files**

a. **CORE PROJECT DOCUMENTATION**
   Disposition: PERMANENT RECORD. Retain in office.

b. **Working Files**
   Disposition: Temporary Record. Retain 3 years after the project’s conclusion.

**Finding Aides**
Disposition: Temporary Record. Retain until superseded or obsolete.

**Interlibrary Loan Files**
Disposition: Temporary Record. Retain 3 years.
Researcher Registration Forms
Disposition: Temporary Record. Retain for useful life.

Archival Records Retrieval Files (Triplicate Call Slips)

a. 1st/Top Triplicate Slip
   Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the record was created.

b. 2nd/Middle Triplicate Slip
   Disposition: Temporary Record. Retain until the end of the quarter.

c. 3rd/Bottom Triplicate Slip
   Disposition: Temporary Record. Retain until records are returned to the stacks.

Reference Correspondence
Disposition: Temporary Record. Retain 3 years.

Reference Letter Logs
Disposition: Temporary Record. Retain 3 years.

Reference Request Submissions and Fulfillments
Disposition: Temporary Record. Retain 3 years.

Educating and Promoting

Museum Exhibit Planning Files

a. MEETING MINUTES; REPORTS; FINAL GRAPHICS, DESIGN, TEXT, AND ART
   Disposition: PERMANENT RECORD.

b. Notebooks; reference materials; and drafts of graphics, design, text, art
   Disposition: Temporary Record. Retain until no longer useful.

c. Temporary Exhibits/Display Materials
   Disposition: Temporary Record. Retain until no longer useful.

Audiovisual Recordings of Events/Programs

a. SELECTION OF REPRESENTATIVE FINAL AND/OR EDITED AUDIOVISUAL RECORDINGS
   Disposition: PERMANENT RECORD.

b. Footage (Including Stock and Raw Audiovisual Recordings)
   Disposition: Temporary Record. Retain until the completion of the master copies.
Photographs

a. SELECTION OF REPRESENTATIVE PHOTOGRAPHS (INCLUDING HIGH-QUALITY AND/OR PUBLISHED PHOTOGRAPHS)
   Disposition: PERMANENT RECORD.

b. Photographs Outside of Representative Selection (Including Duplicative and Poor Photographs)
   Disposition: Temporary Record. Retain for useful life.

c. Photographs Taken for Internal or Reference Use
   Disposition: Temporary Record. Retain for useful life.

Copyright and Reproduction Records for Audiovisual Recordings, Photographs, and/or Other Products of Work-for-Hire Projects

a. If the audiovisual recordings, photographs, and/or products are accessioned
   Disposition: Move the information to the transmittal/accession record.

b. If the audiovisual recordings, photographs, and/or products are not accessioned
   Disposition: Retain for the life of the recordings, photographs, and/or products.

Training, Outreach, and/or Workshop Files

a. REPRESENTATIVE PACKETS, PRESENTATIONS, ACTIVITIES, AND RESOURCES
   Disposition: PERMANENT RECORD.

b. REPORTS AND EXECUTIVE SUMMARIES
   Disposition: PERMANENT RECORD.

c. Master Teacher and Other Educational Partner Training Files
   Disposition: Temporary Record. Retain 7 years.

d. Planning Files
   Disposition: Temporary Record. Retain 5 years.

Educational/Programmatic Project Files

a. FINAL PRODUCTS
   Disposition: PERMANENT RECORD.

b. Working Files
   Disposition: Temporary Record. Retain 5 years.
Records documenting nonaccessioned collections acquired for education/outreach activities
Disposition: Temporary Record. Retain until no longer useful and the item is removed from the collection.

Traveling Resource Reservation Forms and Related Correspondence
Disposition: Temporary Record. Retain 3 years.

Event Evaluations
Disposition: Temporary Record. Retain 3 years.

Teacher Workshop Files
   a. Registrations and Related Files
      Disposition: Temporary Record. Retain 7 years.
   b. Sign-in Sheets
      Disposition: Temporary Record. Retain 1 year.

Time Capsule Sheets
Disposition: Temporary Record. Retain 75 years.

Correspondence with Monthly Lecture, Book Talk, and Other Speakers
Disposition: Temporary Record. Retain 3 years.

Records No Longer Created

Poster/Bookmark and/or Other Educational Contest Entries
   a. ENTRIES OF WINNERS
      Disposition: PERMANENT RECORD.
   b. Other Entries
      Disposition: Temporary Record. Retain until no longer useful.

Assisting Government and Private Entities in Managing Artifacts and Records

STATE AND LOCAL GOVERNMENT AGENCY ADMINISTRATIVE FILES
Disposition: PERMANENT RECORD.

DOCUMENTATION OF RDA COMPLIANCE SUBMITTED TO THE STATE AND LOCAL GOVERNMENT RECORDS COMMISSIONS
Disposition: PERMANENT RECORD.
STATE HISTORICAL RECORDS ADVISORY BOARD (SHRAB) ADMINISTRATIVE RECORDS
Disposition: PERMANENT RECORD.

SHRAB Grant Records
Disposition: Refer to the retentions prescribed for the record series “Grant Records” under the subfunction “Administering Internal Operations: Managing the Agency.”

State Records Center Files

a. TRANSMITTAL FORMS
   Disposition: PERMANENT RECORD. Retain in office.

b. RECORDS DESTRUCTION NOTICES
   Disposition: PERMANENT RECORD. Retain in office.

c. Internal Working Files
   Disposition: Temporary Record. Retain 5 years.

d. Internal Database
   Disposition: Temporary Record. Retain the most current version.

e. Agency Access Authorization Forms
   Disposition: Temporary Record. Retain 5 years or until notified of deauthorization, whichever is longer.

Administering Boards, Commissions, and Nonprofit Organizations

MEETING MINUTES, AGENDAS, AND PACKETS OF THE ALABAMA DEPARTMENT OF ARCHIVES AND HISTORY BOARD OF TRUSTEES
Disposition: PERMANENT RECORD.

ADMINISTRATIVE FILES OF THE ALABAMA DEPARTMENT OF ARCHIVES AND HISTORY BOARD OF TRUSTEES
Disposition: PERMANENT RECORD.

Board, Commission, and Nonprofit Organization Member Files

a. BIOGRAPHICAL AND HISTORICAL INFORMATION
   Disposition: PERMANENT RECORD.

b. Board, Commission, and Nonprofit Organization Appointment Letters
   Disposition: Temporary Record. Retain the length of the member’s term.

c. Other Files about Board, Commission, and Nonprofit Organization Members
   Disposition: Temporary Record. Retain for useful life.
MEETING MINUTES, AGENDAS, AND PACKETS OF THE STATE AND LOCAL GOVERNMENT RECORDS COMMISSIONS
Disposition: PERMANENT RECORD.

MEETING MINUTES, AGENDAS, AND PACKETS OF THE STATE HISTORICAL RECORD ADVISORY BOARD (SHRAB)
Disposition: PERMANENT RECORD.

MEETING MINUTES, AGENDAS, AND PACKETS OF THE ACADEMY OF HONOR AND THE ACADEMY OF HONOR EXECUTIVE COMMITTEE
Disposition: PERMANENT RECORD.

ADMINISTRATIVE FILES OF THE ACADEMY OF HONOR
Disposition: PERMANENT RECORD.

Academy of Honor Working Files
Disposition: Temporary Record. Retain 5 years.

RECORDS OF THE STONEWALL JACKSON MEMORIAL FUND REPAYABLE SCHOLARSHIP PROGRAM (NOT FINANCIAL RECORDS)
Disposition: PERMANENT RECORD.

Stonewall Jackson Memorial Fund Repayable Scholarship Program Rating Matrix and Judging Sheets
Disposition: Temporary Record. Retain 3 years.

Stonewall Jackson Memorial Fund Repayable Scholarship Program Submitted Essays
Disposition: Temporary Record. Retain 3 years.

Financial Records of the Academy of Honor
Disposition: Temporary Record. Same as disposition for financial records listed under the Administering Internal Operations: Managing Finances subfunction.

Financial Records of the Stonewall Jackson Memorial Fund Repayable Scholarship Program (not investment records)
Disposition: Temporary Record. Same as disposition for financial records listed under the Administering Internal Operations: Managing Finances subfunction.

Investment Records of the Stonewall Jackson Memorial Fund Repayable Scholarship Program
Disposition: Temporary Record. Retain 6 years after the fund/account is closed.

Student Loan Repayment Records of the Stonewall Jackson Memorial Fund Repayable Scholarship Program
Disposition: Temporary Record. Retain 1 year after the audit following the repayment of the loan.
MEETING MINUTES, AGENDAS, AND PACKETS OF THE FRIENDS OF THE ALABAMA ARCHIVES BOARD OF DIRECTORS AND THE ALABAMA ARCHIVES AND HISTORY FOUNDATION BOARD OF DIRECTORS
Disposition: PERMANENT RECORD.

CRITICAL GOVERNANCE DOCUMENTATION OF THE FRIENDS OF THE ALABAMA ARCHIVES AND THE ALABAMA ARCHIVES AND HISTORY FOUNDATION
Disposition: PERMANENT RECORD. Retain in office.

Records of Donations to the Friends of the Alabama Archives and the Alabama Archives and History Foundation

a. RECORDS OF SIGNIFICANT DONATIONS AS DETERMINED BY THE ORGANIZATIONS
Disposition: PERMANENT RECORD. Retain in office.

b. Records of Donations that Span Multiple Years
Disposition: Temporary Record. Retain 7 years after the final pledge payment.

c. Records of Restricted Donations
Disposition: Temporary Record. Retain 7 years after fulfillment of the purpose of the restriction.

d. Records of Planned-Giving Donations
Disposition: Temporary Record. Retain 7 years after the receipt of bequest or fulfillment of any restricted purpose.

e. Records of Other Donations
Disposition: Temporary Record. Retain 7 years after filing Form 990 or its equivalent.

f. Donor Files including Donor-Relations Database
Disposition: Temporary Record. Retain for useful life.

CRITICAL FINANCIAL DOCUMENTATION OF THE FRIENDS OF THE ALABAMA ARCHIVES AND THE ALABAMA ARCHIVES AND HISTORY FOUNDATION
Disposition: PERMANENT RECORD. Retain in office.

General Ledgers of the Friends of the Alabama Archives and the Alabama Archives and History Foundation
Disposition: Temporary Record. Retain for 10 years.
Records documenting the preparation of the budget, reporting the status of funds, requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods or services, authorizing payment for products, documenting routine accounting transactions (such as journals, registers, ledgers, and funds deposited), and other unrelated business income tax returns (Forms 990-T) of the Friends of the Alabama Archives and the Alabama Archives and History Foundation
Disposition: Temporary Record. Retain 7 years after filing Form 990 or its equivalent.

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 or until superseded, whichever is longer.

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 (INCLUDING DIRECTORS’ FILES)
Disposition: PERMANENT RECORD.

ANNUAL AND OTHER PERIODIC REPORTS
Disposition: PERMANENT RECORD.

SPECIAL REPORTS
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.
NEWSLETTERS
Disposition: PERMANENT RECORD.

Grant Records

a. GRANT PROJECT FINAL NARRATIVE REPORTS
   Disposition: PERMANENT RECORD.

b. Grant Applications and Application Materials Received
   Disposition: Temporary Record. Retain 6 years after submission of final report, conclusion of the grant, or rejection of application.

c. Grant Financial Reports
   Disposition: Temporary Record. Retain 6 years after submission of final report or conclusion of the grant, or two years after audit, whichever is longer.

d. Supporting Documentation (including scoring sheets)
   Disposition: Temporary Record. Retain 6 years after submission of final report or conclusion of the grant, or one year after audit, whichever is longer.

e. DATA MANAGEMENT PLANS
   Disposition: PERMANENT RECORD. Retain in office.

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

Volunteer Service Files

a. SELECTION OF NOTABLE VOLUNTEER SERVICE FILES
   Disposition: PERMANENT RECORD.

b. AGGREGATE/SUMMARY REPORTS ON THE VOLUNTEER PROGRAM
   Disposition: PERMANENT RECORD.

c. Other Volunteer Service Files
   Disposition: Temporary Record. Retain 2 years after the volunteer becomes inactive.

d. Volunteer Program Administrative Files
   Disposition: Temporary Record. Retain 2 years.

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.

Division Staff Weekly/Periodic Reports
Disposition: Temporary Record. Retain 1 year after the end of calendar year.

Weekly and Monthly Schedules
Disposition: Temporary Record. Retain 1 year after the end of calendar year in which the records were created.

Assistant Director/Staff Meeting Agenda/Notes
Disposition: Temporary Record. Retain for useful life.

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

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 AND SOCIAL MEDIA SITE(S)
Disposition: PERMANENT RECORD.

Note: ADAH staff captures and preserves the agency’s website and other social media accounts via a service offered by the Internet Archive [Archive It]. Check with the ADAH website at www.archive-it.org/organizations/62 to ensure your agency website and social media account(s) are captured and preserved. If your agency’s website and social media account(s) are not captured by the service, please contact the Archives Division at 334-242-4452 to get them included.

Electronic Equipment Repair Logs
Disposition: Temporary Record. Retain for useful life.

Electronic Equipment Sign Out Sheets
Disposition: Temporary Record. Retain until equipment is returned.
Service Requests
Disposition: Temporary Record. Retain until work is complete.

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 (includes AST-1 and AST-1A)
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, and ledgers, 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.

Board of Adjustment Case Files
Disposition: Temporary Record. Retain 5 years after the final disposition of the case.
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
BUILDING PLAN, SPECIFICATION, AND RENOVATION FILES
Disposition: PERMANENT RECORD.
Unimplemented Architectural and Building Plans  
Disposition: Temporary Record. Retain for useful life.

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 2 years or until superseded.

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.

Asset Management Working Files (including Information Technology Assets)  
Disposition: Temporary Record. Retain 2 years or until superseded.
**Incident/Accident Reports**
Disposition: Temporary Record. Retain 2 years following incident/accident.

**Fire Extinguisher and Alarm Maintenance/Inspection Records**
Disposition: Temporary Record. Retain 2 years.

**Building Sprinkler System Maintenance/Inspection Records**
Disposition: Temporary Record. Retain 2 years.

**Monitoring Instrumentation Files**
Disposition: Temporary Record. Retain 2 years.

**Fire/Safety Inspection Results**
Disposition: Temporary Record. Retain until superseded.
Requirements and Recommendations for Implementing the Records Disposition Authority

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 April 28, 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.

_____________________________________________    _________________
Steve Murray, Director       Date
Alabama Department of Archives and History

_____________________________________________    _________________
Mary Jo Scott, Archives Division Director     Date
Alabama Department of Archives and History