Alabama Board for Registered Interior Designers

Functional Analysis
&
Records Disposition Authority

Revision
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Functional and Organizational Analysis of the Alabama Board for Registered Interior Designers

Sources of Information

- Representatives of the Alabama Board for Registered Interior Designers
- Code of Alabama 1975 § 34-15A-1 through 34-15C-19
- Code of Alabama 1975 § 41-22-1 through 41-22-27
- Alabama Act 82-497
- Alabama Act 2001-660
- Alabama Administrative Code, Chapters 100-X-4, 485-X-1 through 485-X-4
- Alabama Interior Designers Registration Act of 2010
- Alabama Board for Registered Interior Designers Website
- Archives Division, State Agency Files (1985-ongoing)

Historical Context

According to the Council for Interior Design Qualification (CIDQ), “interior design encompasses the analysis, planning, design, documentation, and management of interior non-structural/non-seismic construction and alteration projects in compliance with applicable building design and construction, fire, life-safety, and energy codes, standards, regulations, and guidelines for the purpose of obtaining a building permit, as allowed by law” (2019). The necessity of formalized regulation of interior design came to the forefront as the profession became increasingly organized throughout the twentieth century (IDLNY 2018).

**Explanatory Note: Interior design is a distinct profession from interior decoration, which is primarily concerned with the aesthetic appearance of a space, including such aspects as color choices and furniture placement (Source: CIDQ 2019). Interior decoration is not a regulated profession in the state of Alabama.

Alabama was the first state to legislate any form of interior design regulation. The Alabama Act 82-497 established the Board of Registration for Interior Designers. The Act is referred to in legal parlance as a “title act,” in that it regulated the use of the title “interior designer” but did not regulate the practice of “interior design” itself. Only persons who complied with regulations
outlined by the Board and the 1982 Act were permitted to refer to themselves as “interior designers” in Alabama. Persons who had not complied with the regulations could offer such services by a different name (Alabama v. Lupo).

The Alabama Interior Design Consumer Protection Act of 2001 repealed the existing legislation and abolished the Board of Registration for Interior Designers. The new Act expanded the state’s regulatory authority to include regulation of the practice of “interior design,” holding that “interior design is a learned profession, involving issues such as indoor pollution, fire safety, space planning, and requirements of special needs citizens…” To legally practice interior design in the State of Alabama, persons would now be required to receive a certificate of registration from the newly-created Alabama State Board of Registration for Interior Design and to pass a Board-certified examination. These registrants were to be called “registered interior designers,” and the practice of interior design in Alabama without a certificate of registration would now be subject to sanction (Alabama Act 2001-660).

The Supreme Court of Alabama ruled the Alabama Interior Design Consumer Protection Act to be unconstitutional in October 2007. The Court agreed with an earlier opinion of a circuit court which had ruled the Act – particularly its definition of “practice of interior design” – to be so “overly broad, unreasonable, and vague” that it violated the due-process provisions of the Alabama Constitution (Alabama v. Lupo).

From 2007 to 2010, the profession was not regulated in Alabama. In 2010, the state legislature enacted the Alabama Interior Design Registration Act, which created an Alabama Board for Registered Interior Designers intended to “establish a registration process for those interior designers who choose to obtain the credentials required to seal and submit construction documents for commercial interior projects in certain spaces less than 5,000 contiguous square feet within a building which has a total area of 2,500 square feet or more…” (Code of Alabama 1975 § 34-15C-2). Any building 2,500 square feet or larger that is erected, enlarged, or altered requires the services of a registered architect (Alabama Administrative Code 100-X-4-0.2). The Act clearly defined the responsibilities of the Board relative to the licensing of qualified interior designers, granting them sealing privileges, and recognizing them as design professionals along with architects and engineers.

**Agency Organization**

The Board consists of seven members, appointed by the governor according to the following composition:

Five members of the Board shall be registered interior designers and shall be engaged in the full-time practice of interior design. One member shall be a professional educator who teaches in a college- or university-level interior design program, and who is a registered interior designer or was previously registered or certified by the former Alabama State Board of Registration for Interior Design. If no educator with these qualifications is willing and able to serve on the Board, this position shall be filled by an educator who has the necessary credentials to be registered and who agrees to apply for a certificate of registration within the first year of his or her service on the Board. One member shall be a consumer who is not a design professional. The consumer member
may not be employed in the fields of construction, architecture, engineering, interior design, interior decorating, or any related field.

Of the seven members, at least one shall be a member of a minority race. The total membership of the Board shall reflect the racial, gender, urban/rural, and economic diversity of the state. No member may serve more than two consecutive terms of four years each.

The Board elects a chairman and a secretary from its members, meets at least twice per year, and may employ necessary staff.

**Agency Function and Subfunctions**

The mandated function of the Alabama Board for Registered Interior Designers is to govern the registration process for those interior designers who choose to obtain the credentials required to seal and submit construction documents for commercial interior projects in certain spaces less than 5,000 contiguous square feet within a building which has a total area of 2,500 square feet or more to building officials for review and permitting purposes. The Board is one of the agencies primarily involved in carrying out the Regulatory function of Alabama government.

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

- **Promulgating Rules and Regulations.** In accordance with the Administrative Procedures Act (Code of Alabama 1975 § 41-22-3), the Board has the authority to prescribe rules and regulations for those interior designers who choose to obtain the credentials required to seal and submit construction documents for commercial interior projects in certain spaces less than 5,000 contiguous square feet within a building which has a total area of 2,500 square feet or more to building officials for review and permitting purposes. The Board also develops appropriate procedures or techniques for the implementation of the rules and regulations. This subfunction encompasses activities pertaining to the establishment and promulgation of rules, regulations, and procedures by the Board for carrying out its duties and responsibilities.

- **Registering.** The Code of Alabama 1975 § 34-15C-6 authorizes the Board to examine applicants for registration on the bases of education, experience, and examination, or a combination thereof.

Registered interior designers must be of good ethical character, be at least twenty-one (21) years of age, and have successfully passed the National Council for Interior Design Qualification (NCIDQ) examination.

Registered interior designers must meet one of the following sets of qualifications to attain eligibility to sit for the NCIDQ examination: (a) completion of a bachelor’s or master’s level interior design degree program including 60 semester-hours / 90 quarter-hours of interior design coursework; 3,520 work hours / two (2) years of full-time experience earned or affirmed by a direct supervisor and/or sponsor as defined by NCIDQ; (b) completion of an associate’s degree, certificate, or diploma interior design program
including 60 semester-hours / 90 quarter-hours of interior design coursework; 5,280 work hours / three (3) years of full-time experience earned or affirmed by a direct supervisor and/or sponsor as defined by NCIDQ; (c) completion of a bachelor’s or master’s architectural degree program from an institution approved by the National Architectural Accreditation Board (NAAB) or Canadian Architectural Certification Board (CACB) including 60 semester-hours / 90 quarter-hours of interior design coursework; 5,280 work hours / three (3) years of full-time experience earned or affirmed by a Direct Supervisor and/or Sponsor as defined by NCIDQ; (d) completion of a bachelor’s or master’s architecture degree program from an institution not approved by the National Architectural Accreditation Board (NAAB) or Canadian Architectural Certification Board (CACB) including 60 semester-hours / 90 quarter-hours of interior design coursework; 7,040 work hours / four (4) years of full-time experience earned or affirmed by a direct supervisor and/or sponsor as defined by NCIDQ.

- **Investigating Complaints and Violations.** The Code of Alabama 1975 § 34-15C-5 authorizes the Board to conduct investigations and hearings concerning charges against registered interior designers at any time or place within the state. The Board may administer oaths and affirmations, examine witnesses, and receive evidence in the course of any such hearings.

  The Board may revoke, suspend, or refuse to issue a certificate of registration; issue a reprimand to a registrant; or assess a fine against a registrant for engaging in offensive conduct. Offenses include fraud, deceit, gross negligence, and the conviction of a felony until civil rights are restored (Code of Alabama 1975 § 34-15C-11).

- **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, 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 Board for Registered Interior Designers

The following is a discussion of the three major categories of records created and/or maintained by the Alabama Board for Registered Interior Designers: 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 Alabama Board for Registered Interior Designers are discussed below.

- **Interior Designer Registries.** The Board maintains spreadsheets documenting all interior designers who have registered since 1982. Information includes, but is not limited to, the following records: name, last known employment, mailing and physical addresses, registration data, and disciplinary actions (if any). The spreadsheet is maintained separately from the Interior Designer Registrant Files and offers full text search capability to facilitate the retrieval of any information related to a registered interior designer. Employees may utilize or manipulate the spreadsheet to conduct research on interior design related subjects.

  The Board maintains the following classifications of registrant files: active/current, inactive, closed, and expired. Inactive registrants are registered interior designers who are not currently working but plan to return to work in the future. These individuals have voluntarily suspended their active registration status and informed the Board of their decision to avoid penalties. Maternity leave is a common reason for a registered interior designer to be placed in this category. Closed registrants are individuals who began the registration process but never became registered interior designers in the state of Alabama. Files of closed registrants may contain applications, transcripts, and letters of reference. Expired registrants are formerly active/current registrants whose registration has expired or lapsed. This category also includes retired and deceased individuals.

  To ensure the availability of this file during the professional career of the registrant, the recommended retention for the registries are fifteen (15) years after the end of the fiscal year in which the registrant becomes inactive.

- **Interior Designer Registrant Files.** The registrant files are created when an applicant is approved for registration. These files are maintained separately from the Interior Design Registries and contain all information required for approval of the application. The Board maintains the following classifications of registrant files: active/current, inactive, closed, and expired. Inactive registrants are registered interior designers who are not currently working but plan to return to work in the future. These individuals have voluntarily suspended their active registration status and informed the Board of their decision to avoid penalties. Maternity leave is a common reason for a registered interior designer to be
placed in this category. Closed registrants are individuals who began the registration process, but never became registered interior designers in the state of Alabama. Files of closed registrants may/may not contain applications, transcripts, and letters of reference. Expired registrants are formerly active/current registrants whose registration has expired or lapsed. This category also includes retired and deceased individuals.

Information included within registrant files includes, but is not limited to, applications for registration, college transcripts, verification of passage of the National Council for Interior Design Qualification (NCIDQ) examination, renewal applications, and general correspondence with the registrant. A retention of fifteen (15) years after the end of the fiscal year in which the registrant becomes inactive ensures the availability of files during the career of a registered interior designer.

- **Applications Not Resulting in Interior Design Registration.** If an application for interior design registration is not approved, or if the applicant does not submit all documentation required for registration, a retention of seven (7) years after date of last documentation allows adequate time for reference by staff. The scope of the record series includes incomplete applications.

- **Inquiry Files.** These files are created when someone enquires about application to the Board. A retention of seven (7) years after date of last documentation allows adequate time for reference by staff.

- **Violation Files.** A violation file is created when the Board receives a completed complaint form. Documentation kept in the file includes, but is not limited to, the following: the original complaint form, all correspondence to any individuals involved in the complaint and the investigation process, investigative findings, and any legal actions taken by the Board. Violation files are maintained together with the Interior Designer Registrant Files. A retention of fifteen (15) years after closure of the investigation allows adequate time for reference by staff.

- **Register of Administrative Rules.** According to the Code of Alabama 1975 § 41-22-6 through § 41-22-7, agencies must compile and maintain “an official register of regulations which shall be compiled, indexed, published in loose-leaf form, and kept up to date…” This “official register of regulations” is known as “The Board for Registered Interior Designers 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 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 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 1 year after adoption, amendment, repeal, or rejection of an administrative rule permits review by staff when considering similar rules.
Employee Records and Work History Files. These records are generally maintained as a case file and include all personnel records pertaining to staff. Because the Board does not conduct hiring through the merit system, the State Personnel Department does not have a duplicate copy of the records. The assigned retention is six (6) years after separation of an employee from the agency.

Permanent Records

The Archives Division recommends the following records as permanent.

Promulgating Rules and Regulations

- **Meeting Minutes, Agendas, and Packets of the Board.** The Board’s meeting agendas, minutes, and packets document the decisions and actions of the Board. These records provide important information and documentation of the Board’s actions. *(Bibliographic Title: Meeting Files)*

Registering

- **Annual Rosters of Registered Interior Designers.** This record series documents the Board’s regulation of interior designers in the State of Alabama. Information includes, but is not limited to, the names, registration numbers, years of registration expiration, city, and state of registrants. These files are produced and maintained in a spreadsheet. *(Bibliographic Title: Registers and Rosters)*

Administering Internal Operations

- **Policies and Procedures.** Policies promulgated by the Board document important strategic decisions. *(Bibliographic Title: Policies and Procedures)*

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

- **Administrative Files that Document Policy, Process, and Procedure.** These records, which include official correspondence of the agency, document actions and positions of the agency. These records include, but are not limited to, correspondence with state officials, legal/advisory correspondence, correspondence between the Board and the director, correspondence between the Board and other state agencies, subject files and other correspondence. *(Bibliographical 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. (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)

- **Informational and Promotional Materials.** Publications document the Board’s efforts in communicating with the public. (Bibliographic Title: Publicity Files)

- **Website and Social Media Site(s).** The agency has a website at www.abrid.alabama.gov. Information on the website includes the roster of registered interior designers, the list of Board members, the laws affecting the practice of interior design in the state, forms and applications, information on continuing education, and information on how to report a complaint. This series documents the functions of the agency and its interaction with the public. ADAH staff capture and preserves the agency’s website and other social media sites via a service offered by the Internet Archive [Archive-It]. Any content behind password protected or login would not be captured by ADAH. Check with the ADAH website at www.archiveit.org/organizations/62 to ensure your agency and social media site(s) are captured and preserved. If your agency’s website and social media site(s) are not being captured by the service, please contact the Archives Division at 334-242-4452 to get them included. (Bibliographic Title: Website and Social Media Site[s])

**Records No Longer Created**

- **Violation Reports.** The Board previously compiled reports of individuals violating the Alabama Interior Design Consumer Protection Act. Specifically, these lists contained the names of individuals engaging in the practice of “interior design” without receipt of Board certificate and/or passage of the Board-administered examination. The Alabama Supreme Court ruled in *Alabama v. Lupo* that this Act was unconstitutional. The Alabama Interior Design Registration Act of 2010 limits the Board’s oversight to registered interior designers. Records pertaining to violations committed by registered interior designers are maintained together with the Interior Designer Registrant Files. A retention of fifteen (15) years after compilation of the report allows adequate time for reference by staff.
Permanent Records List
Alabama Board for Registered Interior Designers

Promulgating Rules and Regulations

1. Meeting Minutes, Agendas, and Packets of the Board

Registering

1. Annual Rosters of Registered Interior Designers

Administering Internal Operations

1. Policies and Procedures
2. Certified Copies of the Administrative Rules*
3. Administrative Files that Document Policy, Process, and Procedure
4. Annual and Other Periodic Reports
5. Special Reports
6. Informational and Promotional Materials
7. Website and Social Media Site(s)

*Indicates records that the Alabama Board for Registered Interior Designers determined should be retained permanently and that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff is available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.
Alabama Board for Registered Interior Designers 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 establishes minimum retention periods and disposition instructions for those records and provides the legal authority for the Agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from “mutilation, loss, or destruction,” so that they may be transferred to an official’s successor in office and 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.

**indicates records no longer created**

**Promulgating Rules and Regulations**

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

**Registering**

**Interior Designer Registries**
Disposition: Temporary Record. Retain 15 years after the end of the fiscal year in which the registrant becomes inactive.

**Interior Designer Registrant Files**
Disposition: Temporary Record. Retain 15 years after the end of the fiscal year in which the registrant becomes inactive.

**ANNUAL ROSTERS OF REGISTERED INTERIOR DESIGNERS**
Disposition: PERMANENT RECORD.

**Applications for Interior Design Registrant Renewal**

a. Applications for Interior Design Registrant Renewal (Inactive)
Disposition: Temporary Record. Retain for 7 years after date of last documentation.

b. Applications for Interior Design Registrant Renewal (Deceased)
Disposition: Temporary Record. Retain 2 years after verification of death.

**Applications Not Resulting in Interior Designer Registration**
Disposition: Temporary Record. Retain 7 years after date of last documentation.

**Inquiry Files**
Disposition: Temporary Record. Retain 7 years after date of last documentation.
Investigating Complaints and Violations

Violation Files
Disposition: Temporary Record. Retain 15 years after closure.

Violation Reports**
Disposition: Temporary Record. Retain 15 years after closure.

Administering Internal Operations: Managing the Agency

POLICIES AND PROCEDURES
Disposition: PERMANENT RECORD.

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

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

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

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

ANNUAL AND OTHER PERIODIC REPORTS
Disposition: PERMANENT RECORD.

SPECIAL REPORTS
Disposition: PERMANENT RECORD.

INFORMATIONAL AND PROMOTIONAL MATERIALS
Disposition: PERMANENT RECORD.

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

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

**Board Member Files**
Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the term expires.

**Board Appointment Letters**
Disposition: Temporary Record. Retain 1 year after audit after the end of the fiscal year in which the term expires.

**Internal Procedures**
Disposition: Temporary Record. Retain until superseded.

**Requests for Information**
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.

**Routine Correspondence**
Disposition: Temporary Record. Retain 3 years.

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

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

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

**Copies of Approved RDA**
Disposition: Temporary Record. Retain 1 year after the audit for the fiscal year in which the RDA is 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.
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.

Records documenting the application for, award of, receipt and disbursement of, and reporting of expenditure of federal funds received through grants and federal funds
Disposition: Temporary Record. Retain 6 years after submission of final expenditure report.
Records documenting the unsuccessful application for grants and federal funds
Disposition: Temporary Record. Retain 1 year.

Administering Internal Operations: Managing Human Resources

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

Application Materials
Disposition: Temporary Record. Retain 1 year.

Job Recruitment Materials
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 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.

Employee Records and Work History Files
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

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.

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

**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 separation of the employee from the agency.
**Administering Internal Operations: Managing Properties, Facilities, and Resources**

**Semiannual Inventory Lists**
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 (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 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.

**Property Inventory Affidavits**
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.

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

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

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

**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 the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency**
Disposition: Temporary Record. Retain 1 year after audit for the year in which the equipment is removed from the property inventory.
Records Documenting Vehicle Use/Mileage
Disposition: Temporary Record. Retain 1 year.
Requirements and Recommendations for Implementing the Records Disposition Authority (RDA)

Requirement

Under the Code of Alabama 1975, § 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Agency as stipulated in this document.

One condition of this authorization is that the Agency submit an annual Records Disposition Authority (RDA) Implementation Report on its activities, including documentation of records destruction, to the State Records Commission.

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.

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.

The State Records Commission adopted this records disposition authority on October 30, 2019.

_____________________________________________    ______________ ___
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.

_____________________________________________    ______________ ___
Bryant Williams, Executive Director       Date
Alabama Board for Registered Interior Designers