Department of Transportation – Field Divisions

Functional Analysis & Records Disposition Authority

Revision
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# Table of Contents

Functional and Organizational Analysis of the Department of Transportation – Field Divisions

- Sources of Information .................................................................................................................. 3
- Field Division Organization ......................................................................................................... 3
- Field Division Function and Subfunctions .................................................................................. 3

Analysis of Record Keeping System and Records Appraisal of the Department of Transportation – Field Divisions

- Agency Record Keeping System ............................................................................................... 6
- Records Appraisal ....................................................................................................................... 6

Department of Transportation – Field Divisions Records Disposition Authority

- Explanation of Records Requirements ......................................................................................... 10
- Records Disposition Requirements ............................................................................................ 11
  - Coordinating Pre-Construction Activities ............................................................................. 11
  - Acquiring Rights-of-Way ........................................................................................................ 11
  - Managing Equipment .............................................................................................................. 12
  - Testing Construction Materials ............................................................................................ 12
  - Supervising Construction ......................................................................................................... 13
  - Coordinating Roadway/Bridge Maintenance ......................................................................... 14
  - Administering Internal Operations: Managing the Division ......................................................... 17
  - Administering Internal Operations: Managing Finances ............................................................. 18
  - Administering Internal Operations: Managing Human Resources ............................................. 19
  - Administering Internal Operations: Managing Properties, Facilities, and Resources ............... 20

Requirement and Recommendations for Implementing the Records Disposition Authority (RDA) ........................................................................................................................................ 22
Functional and Organizational Analysis of the Department of Transportation – Field Divisions

Sources of Information

- Representatives of the Department of Transportation
- Code of Alabama 1975 § 23-1-20 through § 23-1-63
- Code of Alabama 1975 § 41-20-1 through § 41-20-6 (Sunset Law)
- Code of Alabama 1975 § 41-22-1 through § 41-22-27 (Administrative Procedures Act)
- Code of Federal Regulations, Title 23 (Federal Highway Administration)
- Alabama Administrative Code, Chapters 450-1-1 to 450-8-1
- Department of Transportation Annual Report (2000 to 2001)
- Department of Transportation Records Retention Schedules
- Department of Transportation Website
- Government Records Division, State Agency Files (1985-ongoing)

Field Division Organization

Department of Transportation divides the state into nine geographical areas known as divisions, headed by division engineers. Grouped along county lines, each of the nine divisions is further divided into three to nine areas known as districts. Each district is headed by a district engineer who reports to the division engineer. All division engineers are supervised by an assistant chief engineer of operation at the agency’s central office in Montgomery. Workforce of divisions/districts includes administrative, supervisory, technical staff members, and temporary laborers engaged in work related to highway and bridge construction and maintenance. In general, each field division is organized in sections that are somewhat similar to the structure of the agency’s central office. A list of divisions is attached.

Field Division Function and Subfunctions

The mandated function of field divisions is to facilitate and execute plans and procedures administrated and established by the agency’s central office.

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

- **Coordinating Pre-Construction Activities.** Field division staff members are responsible for coordinating pre-construction activities which may include the design of roadway and/or bridge construction projects; gathering of field information for the design of construction projects; review of plans to ensure the design specifications and environmental clearances have been met; inspection of construction sites; coordination with utility companies to ensure no utility conflicts exist on projects; and finalization of project details.
Acquiring Rights-of-Way. After a roadway/bridge is designed by the agency staff, the first step of the construction project is to obtain the rights-of-way, which means any real property and rights to be used for the construction, operation, or maintenance of transportation or related facilities. Activities of this subfunction may include: (1) prepare estimates on rights-of-way acquisition; (2) prepare relocation analysis on construction projects; (3) obtain information from various sources on property ownership; (4) prepare and coordinate appraisals of property; (5) meet with property owners to negotiate acquisition of property and discuss relocation; (6) locate replacement housing for displaced residents; (7) determine payments for replacement housing, moving, and incidentals; (8) coordinate with attorneys and public officials for probate and circuit court proceedings; and (9) coordinate sale of excess rights-of-way and structures.

Managing Equipment. This subfunction involves the procurement, servicing, salvage, and disposal of all types of transportation and construction equipment. Staff members of the equipment section also prepare equipment budgets, submit requisitions for outsourcing and repairs, monitor expenditures, maintain equipment inventories, and conduct audits of equipment.

Testing Construction Materials. Staff members of the testing section are responsible for the testing of materials used by the division in road and/or bridge construction. Field divisions provide inspectors at production plants to test plant mix and observe contractor tests during production. Staff members also provide quality assurance inspections/testing of concrete plants, asphalt plants, and aggregate quarries to ensure they meet the agency’s criteria to remain certified material sources for the agency’s construction projects.

Supervising Construction. This subfunction, carried out mainly by staff members of the construction section, involves the actual implementation and supervision of federal/state construction projects. Supervision activities may include monitoring progress, resolving problems, and handling other related matters.

Coordinating Roadway/Bridge Maintenance. The maintenance section is responsible for developing, prioritizing, and submitting the division’s annual state highway resurfacing projects to the agency’s central office to be let to contract. Staff members coordinate maintenance activities on state and federal roads within the division’s boundaries. Specific activities may include surface patching, shoulder maintenance, drainage work, right-of-way vegetation management, and litter pickups. Section staff members also provide bridge inspections, truck weigh operations, traffic signal installation/repair, traffic counts and studies, and outdoor advertising signs / other permits reviews and approvals. Operation and maintenance of rest areas/welcome centers are another responsibility carried out by field division staff members.

Assisting Counties with Highway/Bridge Construction Projects. The Department of Transportation assists counties in the design, construction, and maintenance of county roads/bridges and administers state and federal money for
highway construction projects. The agency disseminates procedural guidelines for counties to use in preparing construction documents.

- **Administering Internal Operations.** A significant portion of the division’s work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the division.

  **Managing the Division:** Activities include internal office management work common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; publicizing and providing information; managing records; and managing information systems and technology.

  **Managing Finances:** Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the agency’s central office; 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 division’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 involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the division; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

  **Managing Properties, Facilities, and Resources:** Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.
Analysis of Record Keeping System and Records Appraisal of the Department of Transportation – Field Divisions

Agency Record Keeping System

Field divisions currently operate a hybrid record keeping system composed of paper and electronic records.

Records Appraisal

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

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

- **Records documenting activities (excluding the appraisal of property) relating to the acquisition of rights-of-way and property management.** These records are created to document the process of acquiring real property for roadway/bridge construction. During this phase, all correspondence, reports, estimates, and other support documents are created/retained in accordance with federal regulations. Code of Federal Regulations, Title 23, Section 710.201 (f) (1) mandates these records must be retained three years from either (1) the date the agency receives federal reimbursement of the final payment made to each owner of a property and to each person displaced from a property; or (2) the date a credit toward the federal share of a project is approved based on early acquisition activities of the agency.

- **Records documenting all activities relating to the appraisal of property for rights-of-way acquisition.** In accordance with the Uniform Standards of Professional Appraisal Practice (USPAP), all records created during the appraisal, appraisal review, or appraisal consulting assignment must be preserved as a work-file. The work-file should include the client identification documents, written appraisal reports, transcripts of testimony, and all other materials necessary to support the appraiser’s opinions and conclusions. USPAP mandates that all appraisal related records be kept for five years after preparation of the appraisal or two years after the final disposition of any judicial proceeding in which testimony was given.

- **Construction Project Files.** This record series is created/maintained to document all activities concerning the development and implementation of roadway/bridge construction or resurface projects from conception to final completion. These files may include, but are not limited to, correspondence, estimates, copies of contracts, change requests, supplements to contracts, and progress reports. Some files may be duplicated in the agency’s central office. Although these files are subject to one audit review cycle after completion of project, the guiding factor for retention is the federal regulations,
which require the files to be retained three (3) years after the end of the fiscal year in which the Federal Highway Administration (FHWA) final voucher and all other required documentation have been submitted to FHWA. For non-federal participating projects, the retention should be to retain three (3) years from the date the contractor’s final payment voucher has been processed.

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

Coordinating Pre-Construction Activities

- **Surveyor Files.** These records refer to the collection of information about the landscape on which roads will be built. This survey is a description of the property which represents the physical geometric conditions of the landscape, including elevations, right-of-way, and topography. These records include field maps, GPS coordinate control, and aerial photographs. This series is essential to the design of roads/bridges and needs to be maintained permanently in the Department of Transportation’s office as documentation of the design process.

- **Design Documentation.** These files include preliminary and final design plans. One example of preliminary design would be for the Montgomery Outer Loop. The entire project might cost more than three hundred million dollars. Since that amount is too much to contract at once, several smaller projects will be broken out to accomplish that one goal. The Department of Transportation will go through a preliminary phase and design the entire route to decide the geometric design conditions, before being broken into smaller projects, which will then have its own contract plan. Final plans provide the design to be constructed and the quantities to be bid. All of these plans need to be maintained permanently in the agency’s office as evidence of the design of highway systems in Alabama.

Acquiring Rights-of-Way

- **Rights-of-Way Warranty Deeds and Leases for Public Roadways/Bridges.** This series consists of copies of legal warranty deeds and/or lease agreements that give the state legal title and/or authority to property for construction of roadways/bridges.

- **Road/Bridge Construction and Maintenance Agreements.** This series consists of contracts/agreements with various construction companies for work to be performed on construction projects and stating method of remuneration by the agency to the company. It may also include relocation agreements for property owners/utility companies and maintenance agreements with other governmental entities.

Testing Construction Materials

- **Approved Construction Materials Reports.** This series consists of final construction project materials reports approved by the agency for materials to be used for certain
construction projects. Documentation of materials used needs to be maintained permanently in the office for future reference in maintenance and road extension projects.

Supervising Construction

- **Construction Project Final Plans (As Built Plans).** These records are created / maintained to document “As Built Plans,” a composition of drawings, diagrams, charts, and box sheets indicating the local elevation, quantity of different materials, work items, and any adjustments required during construction of roadways and bridges. This series has long term administrative value to the agency’s field divisions and needs to be maintained permanently as a source of documentation for maintenance of roadways/bridges and for future projects.

Coordinating Roadway/Bridge Maintenance

- **Turn Out Applications and Permits.** This series consists of records relating to application and issuance of permits for the construction of private/commercial turnout to provide access to state highways or median crossover. These records may be needed if legal problems occurred and must be kept by district offices (within divisions) permanently for reference.

Administering Internal Operations

- **Division Meeting Minutes.** This series usually includes agenda and minutes of staff meetings, pre-construction meetings, or/and other project related meetings held at field divisions.

- **Operational Guidelines and Procedural Manuals.** This series consists of all kinds of guidelines and/or manuals designed for the daily operation of field divisions. Examples may include various field operations manuals, right-of-way appraisal and operation manuals, property management manuals, roadway/bridge inspection manuals, and maintenance manuals. These manuals should be maintained for reference and documentation.
Permanent Records List
Department of Transportation – Field Divisions

Coordinating Pre-Construction Activities

1. Surveyor Files*
2. Design Documentation*

Acquiring Rights-of-Way

1. Rights-of-Way Warranty Deeds and Leases for Public Roadways/Bridges*
2. Road/Bridge Construction and Maintenance Agreements*

Testing Construction Materials

1. Approved Construction Materials Reports*

Supervising Construction

1. Construction Project Final Plans (As Built Plans)*

Coordinating Roadway/Bridge Maintenance

1. Turn Out Applications and Permits*
2. Permit Applications for Drainage Structures, Landscaping, Political Boundary Signs, and other Directional Signs*

Administering Internal Operations

1. Division Meeting Minutes*
2. Operation Guidelines and Procedural Manuals*

*indicates records that ADAH anticipates will remain in the care and custody of the creating agency.

ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.
Department of Transportation – Field Divisions 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 Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission’s staff, in cooperation with representatives of the Department of Transportation – Field Divisions. The RDA lists records created and maintained by the Department of Transportation – Field Divisions in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the 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 made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, § 36-12-4, and § 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Department of Transportation – Field Divisions. 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.

- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.

- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes that 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; and (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 Department of Transportation – Field Divisions and lists the groups of records created and/or maintained by field divisions as a result of activities and transactions performed in carrying out these subfunctions. Field divisions may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

**Coordinating Pre-Construction Activities**

Records documenting all activities relating to the planning and execution of pre-construction activities (including preliminary design plans, receipts, transmittals, general correspondence, traffic reports, studies, BR eligibility, agreements, permit approvals, permits, calculations, etc., but excluding right-of-way records and agreements and design records that document design decisions)

Disposition: Temporary Record. Retain records of built projects 3 years after completion of construction. Retain transitory records of the design of projects not to be built for useful life.

**Environmental Clearance Documents**

Disposition: Temporary Record. Retain for the life of roadways/bridges.

**SURVEYOR FILES**

Disposition: PERMANENT RECORD. Retain in office.

**DESIGN DOCUMENTATION**

Disposition: PERMANENT RECORD. Retain in office.

**Acquiring Rights-of-Way**

**RIGHTS-OF-WAY WARRANTY DEEDS AND LEASES FOR PUBLIC ROADWAYS/BRIDGES (Forms ROW-4 and ROW-6)**

Disposition: PERMANENT RECORD. Retain in office.

**ROAD/BRIDGE CONSTRUCTION AND MAINTENANCE AGREEMENTS**

Disposition: PERMANENT RECORD. Retain in office.
Records documenting all activities (excluding the appraisal of property) relating to the acquisition of rights-of-way and property management (Forms used may include, but are not limited to, the following: A-1 to A-16, FA-1 to FA-27, PA-1 to PA-4, ROW-6A, ROW-10-C, ROW-12-A, ROW-13, ROW-14, ROW-25, ACK-4, ACK-6, and ACK-6A)
Disposition: Temporary Record. Retain 3 years from either (1) the date the agency receives federal reimbursement of the final payment made to each owner of a property and to each person displaced from a property; or (2) the date a credit toward the federal share of a project is approved based on early acquisition activities of the agency (23 CFR 710.201 [f][1]).

Records documenting all activities relating to the appraisal of property for rights-of-way acquisition
Disposition: Temporary Record. Retain 5 years after preparation or 2 years after final disposition of any judicial proceedings in which testimony was given, whichever is longer.

Records documenting all activities pertaining to relocation assistance and payment (Forms used may include, but are not limited to, the following: ROW-RA-1, RA-2, RA-3, RA-3A, RA-6, RA-7, RA-7M, RA-10, RA-11, RA-12, RA-12-1, RA-12-A, RA-12-B, RA-13-A, RA-15, RA-16, RA-17, RA-18, RA-21, RA-22, RA-24, RA-25, RA-25A, RA-28, RA-29, RA-30, RA-31, RA-32, RA-33, RA-9-0-180, RA-9-T-90, RA-9-LR, RA-9-BUS, RA-9-SECTION 8)
Disposition: Temporary Record. Retain 3 years from either (1) each owner of a property and each person displaced from the property receives the final payment to which s/he is entitled or in accordance with the applicable regulations of the federal funding agency, whichever is later (49 CFR 24.9 [a]).

Managing Equipment

Records documenting the requisition, transfer, and disposal of equipment (Forms used may include, but are not limited to, the following: E-18B, E19, and E30-CID)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the equipment was removed from inventory.

Records documenting all activities relating to the distribution, repair, and usage of all types of equipment (Forms used may include, but are not limited to, the following: E-1, E-2, E-6, E-8, E-9, E-10, EP-10, S-5, S-9, V-3, and AF23B)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Equipment Accident Files (Form SJ114)
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the case was settled.

Testing Construction Materials

APPROVED CONSTRUCTION MATERIALS REPORTS
Disposition: PERMANENT RECORD. Retain in office.
Records documenting all activities relating to the selection, testing, inspecting, and certification of materials used by the agency for roadway and bridge construction and maintenance (Forms used may include, but are not limited to, the following: BMT-3, BMT-4, BMT-5, BMT-9, BMT-10, BMT-11, BMT-16, BMT-18, BMT-19, BMT-20, BMT-21, BMT-23, BMT-30, BMT-33, BMT-36, BMT-38, BMT-45, BMT-47, BMT-53, BMT-55, BMT-57, BMT-58, BMT-58A, BMT-60, BMT-65, BMT-66, BMT-72, BMT-73, BMT-78, BMT-79, BMT-82, BMT-83, BMT-86, BMT-90, BMT-91, BMT-95, BMT-97, BMT-108, BMT-109, BMT-112, BMT-113, BMT-114, BMT-117, BMT-122, BMT-123, BMT-139, BMT-146, BMT-148, BMT-167, BMT-172, and BMT-380)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was completed.

Worksheets completed by staff members during the testing of materials
Disposition: Temporary Record. Retain until typed reports are completed.

Records documenting the transfer, test, and use of nuclear density gages
Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created (Department of Public Health Administrative Code Chapter 420-3-26).

Supervising Construction

CONSTRUCTION PROJECT FINAL PLANS (AS BUILT PLANS)
Disposition: PERMANENT RECORD. Retain in office.
(Before destroying original paper copies after the imaging process, preserve a small sampling of historically significant design plans and transfer to the Alabama Department of Archives and History.)

Video Tapes of Roadways/Bridges (copies)
Disposition: Temporary Record. Retain for useful life.

Construction Project Files (Forms used may include, but are not limited to, the following: C-7C, C-10, C-13C, C-17C, C-18C, C-19C, C-20, C-21, C-22C, C-23, C-24, C-25, C-26, and C-27)
Disposition: Temporary Record. Retain 6 years after final closure by the Federal Highway Administration. For non-federal participating projects, retain 6 years from the contractor’s final payment voucher has been processed.

Records documenting bridge foundation construction (Forms used may include, but are not limited to the following: C-14, C-15A, C-15A2, C-15B, C-15B2, C-15B3, C-15C, C-16)
Disposition: Temporary Record. Retain 10 years after the end of the year in which the bridge was no longer in service.

Project Diaries
Disposition: Temporary Record. Retain 13 years after project is completed and accepted.

Construction Information Memorandums
Disposition: Temporary Record. Retain 3 years after superseded.
**Coordinating Roadway/Bridge Maintenance**

**Turn Out Applications and Permits**

a. Division Copy  
   Disposition: Temporary Record. Retain 3 years after permit is issued.

b. DISTRICT COPY  
   Disposition: PERMANENT RECORD. Retain in office.

**Utility permit applications for accommodation/installation on public rights-of-way**

a. Division Copy  
   Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bond was returned.

b. District Copy  
   Disposition: Temporary Record. Retain until utility is removed.

**Permit Applications for Drainage Structures, Landscaping, Political Boundary Signs, and other Directional Signs**

a. Division Copy  
   Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the project was completed.

b. DISTRICT COPY  
   Disposition: PERMANENT RECORD. Retain in office.

**Maintenance Agreements**

Disposition: Temporary Record. Retain for life of agreement.

**Records documenting all activities relating to the maintenance and inspection of bridges (Forms used may include, but are not limited to, the following: BI-5, BI-6, BI-8, BI-9, BI-10, BI-12, BI-13, BI-14, BI-HY-1, BI-SC1, BI-SC2, and BI-SC4)**

Disposition: Temporary Record. Retain 10 years after the year the bridge was no longer in service.

**Outdoor Advertising Permit Application Files (Forms OA No. 1 and OA No. 5)**

Disposition: Temporary Record. Retain 1 year after removal or 3 years after the end of the fiscal year in which the permit was paid for, whichever is longer.

**Annual Outdoor Advertising Permit Renewal Files**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
Business Logo Sign Application Files (Forms BM-189, BM-190, and BM-191)
Disposition: Temporary Record. Record. Retain 1 year after removal or 3 years after the end of the fiscal year in which the permit was paid for, whichever is longer.

Annual Business Logo Sign Renewal Files
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Junkyard License Application Files (Forms CJS No.1 and CJS No.2)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the permit was voided.

Annual Junkyard License Renewal Files
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Adopt-A-Mile Agreement Files
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the participating organization ceased to participate.

Traffic Signal Agreement Files
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the signal was removed or is no longer in operation.

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

Rest Area and Welcome Center Inspection Files
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Welcome Center Wastewater Discharge Permit Files
Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

Monthly Lagoon Discharge Monitoring Reports
Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

Accident Review Files
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the accident was reviewed by the agency’s Accident Review Committee.
Encroachment Notice Orders
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the encroachment was resolved.

Certified Bridge Inspector Applications
a. Approved Applications
   Disposition: Temporary Record. Retain 10 years from the date of approval.

b. Denied Applications
   Disposition: Temporary Record. Retain until superseded by an approved application or 5 years from date of denial, whichever is shorter.

Certified Bridge Inspector Training Records
Disposition: Temporary Record. Retain 10 years from the date of course.

Records documenting activities involved in determining load rating capacity for bridges
Disposition: Temporary Record. Retain 10 years after the year the bridge was removed.

Records documenting periodic inspection and maintenance of bridges
Disposition: Temporary Record. Retain 10 years after the year the bridge was removed.

Records documenting assistance provided during emergencies (for example, staff members assist other agencies in the closure of a portion of interstate highways to facilitate evacuation during hurricane warning)
Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the records were created.

Assisting Counties with Highway/Bridge Construction Projects

Construction Information, County Transportation, and County Aid Memoranda
Disposition: Temporary Record. Retain for useful life.
(Note: The agency’s County Transportation Bureau maintains these records permanently.)

Equipment Usage Reports
Disposition: Temporary Record. Retain 1 year.

Annual Road Inspection and Maintenance Inspection Files
Disposition: Temporary Record. Retain 5 years.

County As-Let Plans
Disposition: Temporary Record. Retain 3 years after project is accepted.
(Note: Individual county commission maintains these records permanently.)
**County As-Built Plans**
Disposition: Temporary Record. Return to county commission after final estimate check. *(Note: Individual county commission maintains these records permanently.)*

**County Construction Project Files (includes Form C-13C)**
Disposition: Temporary Record. Retain 3 years after final payment.

**Project Record Files for County and City Projects (state and federal aid)**
Disposition: Temporary Record. Retain 3 years after final payment.

**Administering Internal Operations: Managing the Division**

**DIVISION MEETING MINUTES**
Disposition: PERMANENT RECORD. Retain in office.

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

**OPERATIONAL GUIDELINES AND PROCEDURAL MANUALS**
Disposition: PERMANENT RECORD. Retain in office.

**Administrative Reference Files (materials not created by the division, collected and used only as reference sources of information)**
Disposition: Temporary Record. Retain for useful life.

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

**Calendars**
Disposition: Temporary Record. Retain for useful life.

**Logs (Visitors, Copier Meter Reading)**
Disposition: Temporary Record. Retain for useful life.

**Mailing Lists**
Disposition: Temporary Record. Retain for useful life.

**Copy of RDA**
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the RDA was superseded.

**Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies**
Disposition: Temporary Record. Retain 3 years.
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 3 years after the end of the fiscal year in which the records were created.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and canceled checks Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting requests for authorization for supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Records documenting contracts for services or personal property Disposition: Temporary Record. Retain 6 years after expiration of contract (Code of Alabama 1975 § 6-2-34).

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

a. Original Bid Records Maintained in the Purchasing Office of the Agency for Contracts over $7500 Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.

b. Duplicate copies of bid (where originals are maintained by the Finance Department - Division of Purchasing) Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

Agency Audit Reports (copy) Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
Administering Internal Operations: Managing Human Resources

(Note: Due to the Reynolds Consent Decree, the agency is required to keep personnel related records created from 1979 until the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.)

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

Records documenting job descriptions (including Form 40)
Disposition: Temporary Record. Retain until superseded. Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

Position Classification Files
Disposition: Temporary Record. Retain 2 years after position is reclassified. Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

Records documenting application for employment
Disposition: Temporary Record. Retain 1 year after request. Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

Records documenting interviewing and selecting
Disposition: Temporary Record. Retain 3 year after the position if filled. Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

Division Personnel Files (including, but are not limited to, certification/personnel transaction files, payroll deduction authorizations, final leave status, completion of courses and programs, policy acknowledgments, warning, write-ups, etc.)
Disposition: Temporary Record. Retain 1 year after separation of employee from the agency. Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

Records documenting employees’ daily and weekly work schedules
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created. Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.
Records documenting an employee’s hours worked (including maintenance crew day cards), leave earned, and leave taken (including time sheets) and leave donations
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created. Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

Subsidiary Training Documentation (including certification records of required course)
Disposition: Temporary Record. Retain 3 years or until completion of course or program, whichever is longer. Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

Records documenting verification of accuracy of State Personnel Department records
Disposition: Temporary Record. Retain for useful life. Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

Records documenting Equal Employment Opportunity (Code of Federal Regulations, Title 29)

a. Compliance Records
   Disposition: Temporary Record. Retain 3 years after the close of the program year. Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

b. Complaint Records
   Disposition: Temporary Record. Retain 3 years from the date of resolution of the complaints. Retain records created prior to the expiration of the Reynolds Consent Decree for 5 years after the expiration of the Reynolds Consent Decree.

State Employees Injury Compensation Trust Fund Files
Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Administering Internal Operations: Managing Properties, Facilities, and Resources

Real Property Ownership Records
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property was sold.

Real Property Leasing/Rental Records
Disposition: Temporary Record. Retain 6 years after termination of lease or rental agreement.

Records documenting reporting on real property
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
Transfer of State Property Forms (SD-1) (Agency Copies)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Property Inventory Cards and/or Computer Files
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

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

Records documenting security of facilities

a. Records documenting routine administrative functions of security
   Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

b. Records documenting incidents occurring on facilities
   Disposition: Temporary Record. Retain 3 years after resolution of incident.

Records documenting maintenance of vehicle and equipment
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property is removed from the inventory.

Records documenting use of state owned or leased vehicles
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)

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 Alabama Department of Transportation (hereafter referred to as 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 agency records management activities, including documentation of records destruction, to the State Records Commission in July of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, 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 state Sunset Act, audit requirements, or any legal notice or subpoena.

- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

The 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. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.
The State Records Commission adopted this revision to the Records Disposition Authority on July 30, 2008.

Edwin C. Bridges, Chairman, by Tracey Berezansky
State Records Commission

Receipt acknowledged:

Joe McInnes, Director
Alabama Department of Transportation