

**ALABAMA WORKFORCE INVESTMENT SYSTEM**

**Department of Commerce**

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May 25, 2022

**GOVERNOR'S WORKFORCE INNOVATION DIRECTIVE NO. PY2021-11**

**SUBJECT:** Workforce Development Division Records Disposition Authority

**1. Purpose.** To provide the Workforce Development Division (WDD) and its subrecipients with guidance to determine the maintenance and disposition of all documentation, both paper and electronic, and how it will be kept and maintained statewide.

**2. Discussion.** A Records Disposition Authority (RDA) establishes procedures by which government agencies determine the length of time that records and documentation will be kept and maintained. The State Records Commission is charged with the responsibility of determining which state records shall be permanently preserved because of historical value and which state records may be destroyed or otherwise disposed of without microfilming under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. No state officer or agency head shall cause any state records to be destroyed or otherwise disposed of without first obtaining approval from the State Records Commission.

The State Records Commission has approved this Records Disposition Authority (RDA) for the Workforce Development Division (WDD) of the Department of Commerce effective October 27, 2021, to determine which records shall be Permanent, and which records shall be Temporary. This RDA applies to all paper and electronic documents concerning WDD that are created or in use by its internal sections, Workforce Boards, Local Workforce Development Areas, Subrecipients, One-Stop-Operators, Contractors, and Program Providers that are evidence of the Divisions activities or has informational value.

The attached document comprises the Records Disposition Authority for the Alabama Department of Commerce Workforce Development Division. It was compiled by the Archives Division, Alabama Department of Archives and History (ADAH), which serves as the State Records Commission's staff, in cooperation with representatives of the Agency. It identifies records that must be maintained permanently and ultimately transferred to the ADAH, establishes retention periods for temporary records, and provides the legal authority for the Agency to implement the destruction of eligible records.

- 3. Action.** The Workforce Development Division will work with the Staff from the Alabama Department of Archives and History (ADAH) regarding the transfer of their permanent records to ADAH for preservation and access. This RDA identifies records created and maintained by WDD in carrying out its 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. ADAH will collect and store all permanent records specifically for the internal sections of the Workforce Development Division on an annual basis. All Local Workforce Development Areas, Subrecipients, One-Stop-Operators, Contractors, and Program Providers that have documentation that is evidence of the Division's activities or has informational value are required to maintain and destroy their own records according to the requirements outlined in this RDA.

Technical assistance to facilitate statewide compliance with this RDA will follow.

- 4. Contact.** Questions regarding the WDD Records Disposition Authority should be directed to Danny Cheek, Workforce Development Division at (334) 353-5163 or [daniel.cheek@commerce.alabama.gov](mailto:daniel.cheek@commerce.alabama.gov).

*Tammy Wilkinson*  
Tammy Wilkinson (May 25, 2022 13:20 CDT)

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Tammy Wilkinson, WD Division Director  
Alabama Department of Commerce

Attachments: Workforce Development Division Records Disposition Authority (RDA)

**Alabama Department of Commerce –  
Workforce Development Division**



**Functional Analysis  
&  
Records Disposition Authority**

Presented to the  
State Records Commission  
October 27, 2021

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# Functional and Organizational Analysis of the Alabama Department of Commerce – Workforce Development Division

## Sources of Information

- Representatives of the Alabama Department of Commerce – Workforce Development Division
- Alabama Executive Order No. 2 (1968)
- Alabama Acts 1935-401, 1943-183, 1955-342, 1969-657, 1983-194, and 2015-450
- Code of Alabama 1975 § 41-29-1 to § 41-29-6, § 41-29-260 to § 41-29-507
- 2 CFR § 200.334, 20 CFR § 683.400, and 29 CFR § 38.43
- Worker Adjustment and Retraining Notification (WARN) Act of 1988, Pub. L. 100-379
- Workforce Investment Act (WIA) of 1998, Pub L. 105-220 (*repealed*)
- Workforce Innovation and Opportunity Act (WIOA) of 2014, Pub L. 113-128
- Alabama Government Manual (2018)
- Alabama Department of Commerce Audit Reports
- Archives Division, State Agency Files (1985-ongoing)
- Alabama Department of Commerce. “Workforce & Training.” Made in Alabama. <https://www.madeinalabama.com/why-alabama/workforce-training/>.
- Alabama Department of Commerce Workforce Development Division. “Program Integrity.” Workforce Innovation & Opportunity Act | Alabama. <https://wioa-alabama.org/program-integrity/>.
- Alabama Department of Commerce. “Workforce & Training: Regional Workforce Councils.” Made in Alabama. <https://www.madeinalabama.com/why-alabama/workforce-training/regional-workforce-councils/>.
- “Message of Governor Chauncey Sparks to the Senate and the House of Representatives.” In *General Laws (and Joint Resolutions) of the Legislature of Alabama Passed at the Session of 1943*. Birmingham: Birmingham Printing Company, 1943.
- Marum, Anna. “A Guide to Working with Economic Development Organizations.” Engaging Local Government Leaders (ELGL). February 8, 2019. <https://elgl.org/a-guide-to-working-with-economic-development-organizations-2/>.
- MENTOR National. “National Mentoring Resource Center.” MENTOR. 2021. <https://www.mentoring.org/resource/national-mentoring-resource-center/>.
- Sahota, Gurbax. “Build Economic Development Momentum with Tools, Teams, and Tactics.” *Western City*. March 2020. 8-11.

## Historical Context

Economic development refers to the creation of wealth from which community benefits are realized.<sup>1</sup> Economic development can be accomplished through various means, including through the creation and operation of economic development organizations which support and

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<sup>1</sup> Gurbax Sahota, “Build Economic Development Momentum with Tools, Teams, and Tactics,” *Western City*, March 2020, 8.

promote the economic growth of a city, region, or state. They can government agencies, public-private partnerships, or nongovernmental organizations.<sup>2</sup> In Alabama, the State Planning Commission was the first government-led economic development organization. The Legislature established the Commission with the passage of Alabama Act 1935-401 as part of efforts to coordinate an efficient economic development program in the state.

In 1943, Governor Chauncey Sparks recommended that the Legislature establish a State Planning Board to “provide methods, and suggest ways and means of putting Alabama in the forefront of industrial and agricultural development after [the end of the Second World War].”<sup>3</sup> The Legislature accepted this recommendation and enacted Alabama Act 1943-183, replacing the State Planning Commission with the newly created State Planning Board. The Legislature then abolished the State Planning Board in 1955, replacing it with the similar State Planning and Industrial Development Board.

During the mid-twentieth century, grant funding became an increasingly common way to support economic development. To that end, in 1968, Governor Albert P. Brewer created the Alabama Program Development Office with his Executive Order No. 2. The Governor empowered this Office to support the work of other economic development organizations and to “review and recommend the State approval necessary to qualify for various grant-in-aid programs.”<sup>4</sup>

In 1969, the Legislature combined the functions of the Alabama Program Development Office and the State Planning and Industrial Development Board to form a new state agency, the Alabama Development Office (ADO). The ADO would continue to operate in state government into the twenty-first century.

The Legislature transferred many of ADO’s grant-related responsibilities to a new state agency, the Alabama Department of Economic and Community Affairs (ADECA), in 1983. ADECA had a prominent role in administering federal funds from the U.S. Department of Labor, distributed first via the Workforce Investment Act of 1998 and later via the Workforce Innovation and Opportunity Act (WIOA) of 2014. These Congressional acts authorized state-level programs to provide job search, education, and training activities for youth, adults, and dislocated workers. Additionally, WIOA empowered the Governor to create a State Workforce Development Board, a public-private partnership that represents the state’s interests in workforce development issues.<sup>4</sup>

In 2012, the Legislature renamed the Alabama Development Office as the Alabama Department of Commerce (DCOM). The Legislature reorganized DCOM with Alabama Act 2015-450. The Act transferred ADECA’s Workforce Development Division to DCOM. With this transfer, DCOM became responsible for administering the federal funds provided via WIOA and supporting the activities of the State Workforce Development Board. These programs now fall under the purview of DCOM’s newly created Workforce Development Division.

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<sup>2</sup> Anna Marum, “A Guide to Working with Economic Development Organizations,” *Engaging Local Government Leaders (ELGL)*, February 8, 2019, <https://elgl.org/a-guide-to-working-with-economic-development-organizations-2/>.

<sup>3</sup> “Message of Governor Chauncey Sparks to the Senate and the House of Representatives,” in *General Laws (and Joint Resolutions) of the Legislature of Alabama Passed at the Session of 1943*. (Birmingham: Birmingham Printing Company, 1943), page XXVIII.

<sup>4</sup> “Workforce Innovation and Opportunity Act (WIOA) of 2014,” Pub L. 113-128.

Since 2015, the Workforce Development Division has expanded its role in making state and federal funding available for local initiatives. For instance, in 2020, the U.S. Department of Education Office of Elementary and Secondary Education awarded approximately \$17 million in grant funds to the Workforce Development Division for the Alabama Workforce Stabilization Program (AWSP). AWSP is part of the federal Reimagine Workforce Preparation Grants program, which provides opportunities for Alabama workers that have been displaced by COVID-19, to develop new skills in high demand industries. The Division continues to find innovative methods to support Alabama job seekers and to increase the state’s workforce preparedness.

## Agency Organization

The Alabama Department of Commerce (DCOM) is one of the principal agencies of the state’s executive branch. The Governor serves as the state’s chief planning and economic development officer. DCOM is led by the Secretary of Commerce, a gubernatorial cabinet member appointed by and serving at the pleasure of the Governor. The Secretary of Commerce may appoint up to eight assistant or deputy secretaries. All other employees necessary to carry out the duties and functions of DCOM are employed pursuant to the merit system.

As of October 2021, DCOM is comprised of the Business Development and Workforce Development Divisions. The two Divisions are each headed by a deputy secretary who is appointed by and serves at the pleasure of the Secretary of Commerce. The records of the Business Development Division fall outside the scope of this RDA.<sup>5</sup>

## Agency Function and Subfunctions

The mandated function of the Alabama Department of Commerce – Workforce Development Division is to assist the growth of Alabama businesses and the workers that sustain their operations. As such, it is one of the agencies responsible for performing the Economic Development function of Alabama government as described in the “Functional Analysis of Alabama Government.”

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

- **Applying for and Disbursing Funds.** The Alabama Department of Commerce – Workforce Development Division administers various types of funding on behalf of the state and federal governments. The Division’s staff acts on behalf of the state in applying for available federal grants, and in turn disbursing funds to local level subgrantees that may use the money to enhance the state’s workforce system. Federal agencies which grant funding to the Workforce Development Division may include, but are not limited to, the U.S. Department of Labor and the U.S. Department of Education.

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<sup>5</sup> The Alabama Film Office, which once existed as a separate state agency before combining with the Business Development Division, has a distinct RDA. Other Business Development Division records fall under a second, separate RDA.

The Division serves as support staff to the Alabama State Workforce Development Board, which the Governor established according to the provisions of the Workforce Innovation and Opportunity Act (WIOA) of 2014. The Board assists the Governor in the development, implementation, and modification of Alabama's state workforce development plan, called the Alabama WIOA Combined State Plan.<sup>6</sup> The Board meets at least quarterly, and an Executive Committee can meet and act with the full power of the Board. The Board operates as a pass-through entity through which federal funds may reach local-level programs. Federal funding from the U.S. Department of Labor is targeted to reach three emphasized populations: youth, adults, and dislocated workers.

The Division may also disburse funds from non-federal sources. For example, the Division collaborates with the Alabama Law Enforcement Agency (ALEA) to run background checks on prospective participants in the MentorAlabama youth mentoring program. Federal funds are not used to support the MentorAlabama program; instead, the program operates with support from the Alabama Legislature.

- **Assisting.** This subfunction encompasses the various ways in which the Workforce Development Division aids Alabama workers and other targeted populations. The Division may provide support under the auspices of a federal program such as the Workforce Innovation and Opportunity Act (WIOA) of 2014 or may act in a supporting role for a state-level program like MentorAlabama. The Division's participation in the Worker Adjustment and Retraining Notification Act (WARN Act) of 1988 also falls within this subfunction. The Division deploys a Rapid Response Team which provides onsite assistance to workers when plants announce closures or layoffs. The Team visits these facilities, meets with the affected workers, and delivers a presentation on available dislocated worker services. The "Assisting" subfunction differs from the application, disbursement, expenditure, and reporting on funds that occurs within grant cycles and instead encompasses the methods by which the Division directly assists members of Alabama's workforce.
  
- **Monitoring.** The Workforce Innovation and Opportunity Act (WIOA) of 2014 states that the Governor is responsible for developing a state's program compliance monitoring infrastructure. In Alabama, the Governor has assigned compliance and monitoring responsibilities to the DCOM Workforce Development Division. State monitors review local areas for implementation and operation of the adult, dislocated worker, and youth programs under WIOA, thereby ensuring compliance with federal and state laws and regulations. Monitors also ensure that local areas and subgrantees are in compliance with the nondiscrimination, disability, and equal opportunity requirements of WIOA. Monitoring staff examine whether programs are being conducted according to state and federal requirements and check that performance objectives are being met.<sup>7</sup>

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<sup>6</sup> "Workforce Innovation and Opportunity Act (WIOA) of 2014," Pub. L. 113-128.

<sup>7</sup> 20 CFR § 683.400.



- **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 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 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 include recruiting and hiring eligible individuals to fill positions within the division; 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 division; insuring property; and assigning, inspecting and maintaining division property.

# Records Appraisal of the Alabama Department of Commerce – Workforce Development Division

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Department of Commerce – Workforce Development Division: Temporary Records and Permanent Records.

## 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 Department of Commerce – Workforce Development Division are discussed below:

- **Requests for Proposals for Prospective Subgrantees.** Once the State Workforce Development Board has allocated grant funding to local areas, staff issue requests for proposals (RFPs) to prospective subgrantees who could provide services such as occupational skills training and/or programs to serve at-risk youth. The local workforce boards review the RFPs and determine which individuals or businesses they intend to fund. Like other records documenting the bid process, these records should be retained for ten years after the award of the contract to ensure that the statute of limitations for civil actions has been fulfilled.<sup>8</sup>
- **Subgrantee Contracts, Subrecipient Agreements, and Related Files.** The Workforce Development Division signs subrecipient agreements (also called subrecipient grant agreements or contracts) with different organizations working on behalf of Alabama’s workforce system. These agreements may be signed with colleges, other state agencies, or businesses offering workforce training to their staff. The Division signs similar agreements with the local areas to govern their administration of funds. Most state-level subrecipient agreements have a term of one year, while local area grant agreements have a term of two years. The agreements may pertain to various funding sources including, but not limited to, the Workforce Innovation and Opportunity Act (WIOA) of 2014 and the U.S. Department of Education’s Reimagine Workforce Preparation grant program.

This record series also includes the subrecipient agreements that the Workforce Development Division signs with subgrantees rendering services to individuals (such as dislocated workers seeking retraining) or businesses (such as companies seeking specially trained workers). Business contracts are drafted by business service representatives, who market the Governor’s Local Workforce Area programs, identify employers interested in participating, and draft contracts for these employers. The Workforce Development Division Director signs off on all contracts and mails a signed version back to the business services representatives. Like other subgrantees, businesses request reimbursement by submitting invoices to Workforce Development accounting staff on a

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<sup>8</sup> Code of Alabama 1975 § 6-2-33.

monthly basis. Information in the contracts may include, but are not limited to, employer names, employee names, employee Social Security Numbers (SSNs), Employee Identification Numbers (EINs), types of training that employees will receive, and individualized training plans. These records should be retained for 10 years after the award of the contract to ensure that the statute of limitations for civil actions has been fulfilled.<sup>9</sup>

- **Worker Adjustment and Retraining Notification Act (WARN Act) List Database.** Congress enacted the Worker Adjustment and Retraining Notification Act (also called the WARN Act) in 1988. In Alabama, employers submit information on upcoming plant closures or layoffs (collectively called dislocation events) to the Alabama Department of Commerce (DCOM). The Department maintains a WARN List which tracks the event type (closure or layoff), report date, planned start date, affected company, affected city, and planned number of affected employees. The WARN List is produced and maintained in an electronic web-based database. The most current version of the list should be retained to avoid confusion between current and outdated versions. However, annual exports of the WARN List should be created and retained permanently; more information on these exports is captured in the permanent record series “Annual Exports of Worker Adjustment and Retraining Notification Act (WARN Act) List Database,” described below.
- **Eligible Training Providers Master List.** The Workforce Innovation and Opportunity Act (WIOA) of 2014 empowers states to maintain a list of entities whose job training programs have been approved by the state’s Workforce Development Board (or its equivalent). These entities are known as eligible training providers. In Alabama, the state-specific criteria are formulated by the DCOM Workforce Development Division in consultation with the Governor’s Office and the Alabama Commission on Higher Education. The Workforce Development Division is not responsible for conducting the training but maintains a master list of training providers who have met Alabama’s eligibility criteria. Workers can use the master list to find approved training programs appropriate to their unique situation. These lists represent a “snapshot in time” of the programs available at a given moment. The most current version should be retained to avoid confusion between current and outdated versions.
- **Dislocation Event Rapid Response Team Working Files.** Congress enacted the Worker Adjustment and Retraining Notification Act (also called the WARN Act) in 1988. In Alabama, employers submit information on upcoming plant closures or layoffs (collectively called dislocation events) to the Alabama Department of Commerce (DCOM). The Workforce Development Division participates in the WARN Act through deploying a Rapid Response Team which provides onsite assistance to workers when plants announce dislocation events. The Team visits these facilities, meets with affected workers, and delivers a presentation on available dislocated worker services. This temporary record series encompasses the working files prepared by the Rapid Response Team as they conduct these visits. Records within this series may include, but are not limited to, correspondence, field notes, draft training materials, and sample training

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<sup>9</sup> Code of Alabama 1975 § 6-2-33.

material printings. The scope of this series does not include the final training materials, which are captured in the permanent record series "Dislocation Event Rapid Response Team Training Materials," described below. The working files should be retained for five years to facilitate lookback by staff.

- **Individual Training Account (ITA) Applications.** Individual training accounts (ITAs) function as personal scholarships for Alabama workers. Currently, prospective ITA recipients begin the application process at Alabama Career Centers. The Alabama Department of Labor (ADOL) currently operates these Career Centers, but the Workforce Development Division contracts with ADOL to ensure that onsite staff offer Workforce Innovation and Opportunity Act (WIOA) services.

Career Center staff input the candidate's application information into the state's AlabamaWorks! electronic document management system. Information on the application includes, but is not limited to, the applicant's personal details, the training program they wish to join, the program cost, and the program dates. The Workforce Development Division receives the applications, confirms participant eligibility, draft the ITA, and determines which funding source(s) will be used to pay for each ITA. Once Workforce Development Division accounting staff have processed the ITA, it is returned to the Career Center for the applicant to sign. ITAs are typically signed by both an individual and a training provider, which may be a community college or private organization. Examples of training programs supported by ITAs include, but are not limited to, certified nursing assistant (CNA) programs and Commercial Driver's License (CDL) programs. A records retention of six years after submission of final report or conclusion of the grant, or two years after audit, whichever is longer, complies with the statute of limitations for charges related to the misuse of state funds, as outlined by the Alabama Attorney General's Office.

- **Youth Program Participant Applications.** Youth program administration differs slightly from programs for adults or dislocated workers. They are certified at the program level rather than the individual level, so participants do not have Individual Training Accounts (ITAs), described above. Youth programs may focus on one or more of the following areas: obtaining one's high-school diploma or GED; learning basic life skills, such as punctuality and attentiveness; or participating in a work-based learning program with a local employer for up to 390 hours. In the latter case, the Workforce Development Division pays the youth's wages during the program, thus incentivizing employers to participate. A records retention of six years after submission of final report or conclusion of the grant, or two years after audit, whichever is longer, complies with the statute of limitations for charges related to the misuse of state funds, as outlined by the Alabama Attorney General's Office.
- **Monitoring Working Files.** This record series documents the Division's work to monitor activities undertaken using state and/or federal funding. Monitors examine whether programs are being conducted according to state and federal requirements and check that performance objectives are being met. Records in this series may include, but are not limited to, correspondence, field notes, and technical assistance plans (TAPs).

These plans document improvements that the Division deems necessary and outline a plan to complete the objectives. For example, a technical assistance plan may be created if the Division determines that a Local Workforce Development Area board is not creating and maintaining its meeting files properly. A records retention of six years after submission of final report or conclusion of the grant, or two years after audit, whichever is longer, complies with guidance outlined by the Alabama Attorney General's Office. Permanent documentation of monitoring activities is represented in the permanent record series "Monitoring Final Reports," described below.

- **Register of Administrative Rules.** According to the Code of Alabama 1975 § 41-22-6 through § 41-22-7, agencies must compile and maintain "an official register of regulations which shall be compiled, indexed, published in loose-leaf form, and kept up to date..." This "official register of regulations" is known as "The Alabama Department of Commerce – Workforce Development Division Code" and must be made available upon request to all persons. Since the register must be updated on an ongoing basis, it is to be retained until superseded.
- **Administrative Rule Change Working Files.** The Alabama Administrative Procedure Act (Code of Alabama 1975 Title 41 Chapter 22) details the steps which an agency must follow when updating its administrative rules. Working files are produced in the course of the proposal, adoption, amendment, and/or repeal of administrative rules. Records in this series may include, but are not limited to, the following: received public comments, economic impact statements, and business impact analyses. A retention of one year after adoption, amendment, repeal, or rejection of an administrative rule permits review by staff when considering similar rules.

## Permanent Records

The Archives Division has appraised the following records as permanent.

### Applying for and Disbursing Funds

- **Meeting Minutes, Agendas, and Packets of the State Workforce Development Board.** The State Workforce Development Board's meeting minutes, agendas, and packets document the actions and activities of the Board. Pursuant to the provisions of the Workforce Innovation and Opportunity Act (WIOA) of 2014, the Board assists the Governor in the development, implementation, and modification of Alabama's state workforce development plan, called the Alabama WIOA Combined State Plan.<sup>10</sup> The Board meets at least quarterly, and an Executive Committee can meet and act with the full power of the Board. The Board operates as a pass-through entity through which federal funds may reach local level programs. Federal funding from the U.S. Department of Labor is targeted to reach three emphasized populations: youth, adults, and dislocated workers. The records provide important documentation of the Board's proceedings that may not be found elsewhere. **(Bibliographic Title: Meeting Files)**

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<sup>10</sup> "Workforce Innovation and Opportunity Act (WIOA) of 2014," Pub. L. 113-128.

- **Meeting Minutes, Agendas, and Packets of State-Administered Local Area Workforce Development Boards.** The State Workforce Development Board acts as a pass-through entity for federal funds to reach local-level programs. As of October 2021, the State of Alabama is split into seven Local Workforce Development Areas (LWDAs). The Workforce Development Division directly administers five local areas, which are referred to as the Governor’s Local Workforce Areas. The Workforce Development Division is responsible for retaining the meeting minutes, agendas, and packets of the local area boards which it directly administers. The records provide important documentation of the Board’s proceedings that may not be found elsewhere. **(Bibliographic Title: Meeting Files)**
  
- **State Workforce Development Plans.** The Workforce Innovation and Opportunity Act (WIOA) of 2014 requires that the Governor submit a State Plan to the U.S. Department of Labor Secretary outlining a four-year workforce development strategy. The State may choose to submit either a Unified State Plan or a Combined State Plan. States must have approved Unified or Combined State Plans in place to receive federal funding for core WIOA programs. These plans document the State’s participation in WIOA activities and should be permanently retained. **(Bibliographic Title: State Workforce Development Plans)**
  
- **Grant Records – Grant Project Final Narrative Reports.** Workforce Development Division staff produce reports documenting their grant administration activities. The required frequency and content of these reports will vary across grant programs. Reports may be submitted to federal funding agencies and other grantors to document progress towards project outcomes, or they may be distributed to subgrantees to document the outcomes of monitoring activities. Final narrative reports document the activities of the grant and should be retained permanently. Grant project working files and grant project financial records fall outside the scope of this series. **(Bibliographic Title: Grant Reports)**

## Assisting

- **Annual Exports of Worker Adjustment and Retraining Notification Act (WARN Act) List Database.** Congress enacted the Worker Adjustment and Retraining Notification Act (also called the WARN Act) in 1988. In Alabama, employers submit information on upcoming plant closures or layoffs (collectively called dislocation events) to the Alabama Department of Commerce (DCOM). The Department maintains a WARN List which tracks the event type (closure or layoff), report date, planned start date, affected company, affected city, and planned number of affected employees. The WARN List is produced and maintained in an electronic web-based database. Annual exports of the WARN List document dislocation events taking place in Alabama and should be permanently retained. **(Bibliographic Title: Worker Adjustment and Retraining Notification Act List)**
  
- **Dislocation Event Rapid Response Team Training Materials.** Congress enacted the Worker Adjustment and Retraining Notification Act (also called the WARN Act) in

1988. In Alabama, employers submit information on upcoming plant closures or layoffs (collectively called dislocation events) to the Alabama Department of Commerce (DCOM). The Workforce Development Division deploys a Rapid Response Team which provides onsite assistance to workers when plants announce dislocation events. The Team visits these facilities, meets with affected workers, and delivers a presentation on available dislocated worker services. **(Bibliographic Title: Rapid Response Team Records)**

## Monitoring

- **Monitoring Final Reports.** This record series documents the Workforce Development Division's work to monitor activities undertaken using state and/or federal funding. Monitors examine whether programs are being conducted according to state and federal requirements and check that performance objectives are being met. These summaries and reports provide documentation of monitoring activities presented by staff and should be permanently retained. **(Bibliographic Title: Monitoring Final Reports)**

## Administering Internal Operations

- **Policies and Procedures - Policies and procedures governing core functions and services.** These records document the Division's role in promulgating policies governing its critical operations, such as subgrantee selection guidelines and monitoring criteria. The scope of the series does not include policies concerning the administration of routine, internal operations. **(Bibliographic Title: Policies and Procedures)**
- **Certified Copies of Administrative Rules.** The Alabama Administrative Code is a compilation of the rules of all state agencies covered by the Alabama Administrative Procedure Act. Each agency covered by the Act may propose and adopt revisions to its administrative rules. According to the Code of Alabama 1975 § 41-22-6, "each agency shall have an officer designated as its secretary and shall file in the office of the secretary of the agency a certified copy of each rule adopted [by the agency]." **(Bibliographic Title: Not Applicable) (Maintained by the Alabama Department of Commerce – Workforce Development Division)**
- **Administrative Files that Document Policy, Process, and Procedure.** These records, which include official correspondence of the Division, document actions and positions of the Division. They do not include correspondence dealing with routine matters. These records include, but are not limited to, correspondence with state officials, legal/advisory correspondence, subject files, interagency memoranda of agreement and/or memoranda of understanding, and other correspondence **(Bibliographical Title: Administrative Files)**
- **Annual and Other Periodic Reports.** These records include reports created by the Division 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 annual report exists, or where the annual report does not adequately document activities of the Division, then section annual reports should be retained. **(Bibliographic Title: State Publications)**

- **Special Reports.** These records include reports created by the Division pertaining to a specific topic or subject area. Special reports may be prepared on an irregular schedule. Interim reports that contain the same substantive information as a corresponding special report need not be retained permanently. **(Bibliographic Title: State Publications)**
- **Representational Final Versions of Informational and Promotional Materials.** These records are created to build public awareness about a variety of issues and department related activities. Examples of these records include, but are not limited to, press releases and brochures. The publications document the activities of the Alabama Department of Commerce – Workforce Development Division and how it views these activities. **(Bibliographic Title: Publicity Files)**
- **Newsletters.** The Division may publish newsletters which provide recipients with information regarding the activities of the Division; highlights of projects and programs; news and announcements; and upcoming events. These publications document the Division’s outreach to key stakeholders and the public. **(Bibliographic Title: State Publications)**
- **Selection of Representative Photographs (Including High Quality and/or Published Photographs).** This series includes photographs taken by department staff or contractors for informational and promotional purposes. A selection of the department's representative photographs, including high quality photographs and/or photographs published in informational and promotional materials, provides visual documentation of the department's significant activities. This selection is to be retained permanently. Photographs outside of this representative selection, including duplicative and poor photographs, are to be retained for useful life. Copyright and reproduction records including, but not limited to, use agreements, release forms, service request forms, and requests for permission to reproduce or publish photographs, are to be retained for the life of the photograph and may be permanent if related to photographs with a permanent retention. Photographs taken for internal or reference use are to be retained for useful life. **(Bibliographic Title: Photographs)**
- **Selection of Representative Final and/or Edited Audiovisual Materials.** This series includes audio and/or video recordings taken by department staff or contractors for informational or promotional purposes. Final and/or edited recordings document the department's activities and are to be retained permanently. Copyright and reproduction records including, but not limited to, use agreements, release forms, service request forms, and requests for permission are to be retained for the life of the recording. Stock or raw footage is to be retained for useful life. Recordings taken for internal or reference use are also to be retained for useful life. **(Bibliographic Title: Audio/Visual Recordings)**



- **Board Member Files – Biographical and Historical Information.** These records include biographical description and other historical data related to the Division's board members including, but not limited to, the State Workforce Development Board and state-administered local area Workforce Development Boards. These records provide important documentation of the board's composition. **(Bibliographic Title: Board Member Biographical Files)**
- **Website(s) and Social Media Page(s).** The Alabama Department of Commerce's Business and Workforce Development Divisions jointly administer the website [www.madeinalabama.com](http://www.madeinalabama.com). The Workforce Development Division also operates the website [www.alabamaworks.com](http://www.alabamaworks.com) and [www.wioa-alabama.org](http://www.wioa-alabama.org). The Workforce Development Division has a social media presence on Facebook, Twitter, and YouTube.

ADAH staff capture and preserve the agency's website(s) and other social media page(s) via a service offered by the Internet Archive [Archive-It]. Any content behind password protection or login would not be captured by the ADAH. Check with the ADAH website at [www.archiveit.org/organizations/62](http://www.archiveit.org/organizations/62) to ensure that your agency's website(s) and social media site(s) are captured and preserved. If your agency's website(s) and social media page(s) are not being captured by the service, please contact the Archives Division at 334-242-4452 to get them included. **(Bibliographic Title: Website and Social Media Sites)**

**Permanent Records List**  
**Alabama Department of Commerce –**  
**Workforce Development Division**

**Applying for and Disbursing Funds**

1. Meeting Minutes, Agendas, and Packets of the State Workforce Development Board
2. Meeting Minutes, Agendas, and Packets of State-Administered Local Area Workforce Development Boards
3. State Workforce Development Plans
4. Grant Records – Grant Project Final Narrative Reports

**Assisting**

1. Annual Exports of Worker Adjustment and Retraining Notification Act (WARN Act) List Database
2. Dislocation Event Rapid Response Team Training Materials

**Monitoring**

1. Monitoring Final Reports

**Administering Internal Operations**

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

\*indicates records that the Alabama Department of Commerce – Workforce Development Division determined should be retained permanently and that ADAH anticipates will remain in the care and custody of the creating agency. All other permanent records are to be transmitted to the ADAH once they are no longer in active use by the Alabama Department of Commerce – Workforce Development Division.

## **Alabama Department of Commerce – Workforce Development Division Records Disposition Authority**

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975 § 41-13-5 and 41-13-20 through 21. It was compiled by the Archives Division, Alabama Department of Archives and History (ADAH), which serves as the Commission's staff, in cooperation with representatives of the Agency. The RDA lists records created and maintained by the Agency in carrying out their mandated functions and activities. It identifies records which must be maintained permanently and ultimately transferred to the ADAH; establishes retention periods for temporary records; and provides the legal authority for the Agency to implement destruction of eligible records.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and may be made available to members of the public. Records also must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975 § 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the agency records manager or ADAH Archives Division at (334) 242-4452.

### **Explanation of Records Requirements**

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

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

The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.

Certain other record-like materials are not actually regarded as official records and may be disposed of under this RDA. Such materials include (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document agency activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes, may include, but are not limited to, telephone call-back messages, drafts of ordinary documents not needed for their evidential value,

copies of material sent for information purposes but not needed by the receiving office for future business, and internal communications about social activities; (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff. They may be disposed of without documentation of destruction.

## **Records Disposition Requirements**

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

### **Applying for and Disbursing Funds**

#### **MEETING MINUTES, AGENDAS, AND PACKETS OF THE STATE WORKFORCE DEVELOPMENT BOARD**

Disposition: PERMANENT RECORD.

#### **MEETING MINUTES, AGENDAS, AND PACKETS OF STATE-ADMINISTERED LOCAL AREA WORKFORCE DEVELOPMENT BOARDS**

Disposition: PERMANENT RECORD.

#### **STATE WORKFORCE DEVELOPMENT PLANS**

Disposition: PERMANENT RECORD.

#### **Requests for Proposals for Prospective Subgrantees**

Disposition: Temporary Record. Retain 10 years after the award of the contract.

#### **Subgrantee Contracts, Subrecipient Agreements, and Related Files**

Disposition: Temporary Record. Retain 10 years after the award of the contract.

#### **Eligible Training Providers Master List**

Disposition: Temporary Record. Retain until superseded.

### **Grant Records**

#### **a. GRANT PROJECT FINAL NARRATIVE REPORTS**

Disposition: PERMANENT RECORD.

#### **b. Grant Applications and Subgrantee Application Materials Received**

Disposition: Temporary Record. Retain 6 years after submission of final report, conclusion of the grant, or rejection of application.

#### **c. Grant Financial Reports**

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

- d. Supporting Documentation  
Disposition: Temporary Record. Retain 6 years after submission of final report or conclusion of the grant, or two years after audit, whichever is longer.

## **Assisting**

### **Worker Adjustment and Retraining Notification Act (WARN Act) List Database**

Disposition: Temporary Record. Retain until superseded.

### **ANNUAL EXPORTS OF WORKER ADJUSTMENT AND RETRAINING NOTIFICATION ACT (WARN ACT) LIST DATABASE**

Disposition: PERMANENT RECORD.

### **DISLOCATION EVENT RAPID RESPONSE TEAM TRAINING MATERIALS**

Disposition: PERMANENT RECORD.

### **Dislocation Event Rapid Response Team Working Files**

Disposition: Temporary Record. Retain 5 years.

### **Individual Training Account (ITA) Applications**

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

### **Individual Training Account (ITA) Financial Records**

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

### **Youth Program Participant Applications**

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

### **Youth Program Participant Financial Records**

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

## **Monitoring**

### **MONITORING FINAL REPORTS**

Disposition: PERMANENT RECORD.

### **Monitoring Working Files**

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

## **Administering Internal Operations: Managing the Agency**

### **Policies and Procedures**

- a. POLICIES AND PROCEDURES GOVERNING CORE FUNCTIONS AND SERVICES  
Disposition: PERMANENT RECORD.
- b. Policies and procedures concerning internal operations, including the administration of finances, personnel, properties, facilities, and resources  
Disposition: Temporary Record. Retain 3 years.

### **CERTIFIED COPIES OF ADMINISTRATIVE RULES**

Disposition: PERMANENT RECORD. Retain in office.

### **Register of Administrative Rules**

Disposition: Temporary Record. Retain until superseded.

### **Administrative Rule Change Working Files**

Disposition: Temporary Record. Retain 1 year after adoption, amendment, repeal, or rejection of the rule.

### **ADMINISTRATIVE FILES THAT DOCUMENT POLICY, PROCESS, AND PROCEDURE**

Disposition: PERMANENT RECORD.

### **ANNUAL AND OTHER PERIODIC REPORTS**

Disposition: PERMANENT RECORD.

### **SPECIAL REPORTS**

Disposition: PERMANENT RECORD.

### **REPRESENTATIONAL FINAL VERSIONS OF INFORMATIONAL AND PROMOTIONAL MATERIALS**

Disposition: PERMANENT RECORD.

### **Informational and Promotional Working Files**

Disposition: Temporary Record. Retain for useful life.

### **NEWSLETTERS**

Disposition: PERMANENT RECORD.

### **Photographs**

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

- b. Photographs Outside of Representative Selection (Including Duplicative and Poor Photographs)  
Disposition: Temporary Record. Retain for useful life.
- c. Copyright and Reproduction Records for Photographs  
Disposition: Retain for life of photograph.
- d. Photographs Taken for Internal or Reference Use  
Disposition: Temporary Record. Retain for useful life.

### **Audiovisual Recordings**

- a. SELECTION OF REPRESENTATIVE FINAL AND/OR EDITED AUDIOVISUAL RECORDINGS  
Disposition: PERMANENT RECORD.
- b. Footage (Including Stock and Raw Audiovisual Recordings)  
Disposition: Temporary Record. Retain for useful life.
- c. Copyright and Reproduction Records for Audiovisual Recordings  
Disposition: Retain for life of recording.
- d. Audiovisual Recordings Taken for Internal or Reference Use  
Disposition: Temporary Record. Retain for useful life.

### **Board Member Files**

- a. BIOGRAPHICAL AND HISTORICAL INFORMATION  
Disposition: PERMANENT RECORD.
- b. Board Appointment Letters  
Disposition: Temporary Record. Retain the length of the board term.
- c. Other Files about Board Members  
Disposition: Temporary Record. Retain for useful life.

### **Routine Correspondence**

Disposition: Temporary Record. Retain 3 years.

### **Administrative Reference Files**

Disposition: Temporary Record. Retain for useful life.

### **Legislative Files (drafts of proposed agency-sponsored legislation, tracking files and records)**

Disposition: Temporary Record. Retain for useful life.

**Records documenting the implementation of the agency's approved RDA (copies of transmittal forms to Archives or State Records Center, evidence of obsolete records destroyed, and annual reports to State Records Commission)**

Disposition: Temporary Record. Retain 10 years.

**Signed Copies of Approved RDA**

Disposition: Temporary Record. Retain until superseded.

**Computer Systems Documentation (Hardware/Software Specifications and Warranties)**

Disposition: Temporary Record. Retain documentation of former system 1 year after audit for the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.

**WEBSITE(S) AND SOCIAL MEDIA PAGE(S)**

Disposition: PERMANENT RECORD.

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

### **Administering Internal Operations: Managing Finances**

**Records documenting the preparation of a budget request package and reporting of the status of funds, requesting amendments of allotments, and reporting program performance**

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

**Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products**

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

**Records of original entry or routine accounting transactions, such as journals, registers, ledgers, and receipt books, and records of funds deposited outside the state treasury**

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

**Purchase and Repair Order Documents**

Disposition: Temporary Record. Retain for life of warranty.



**Records documenting requests for authorization from supervisors to travel on official business and other related materials, such as travel reimbursement forms and itineraries**

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

**Records documenting contracts for services or personal property**

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

**Records documenting the bid process (including requests for proposals and unsuccessful responses)**

Disposition: Temporary Record. Retain for 10 years after the award of the contract.

**Agency Audit Reports**

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

**Records documenting the application for, award of, receipt and disbursement of, and reporting of expenditure of federal funds received through grants and federal funds**

Disposition: Temporary Record. Retain 6 years after submission of final expenditure report.

**Records documenting the unsuccessful application for grants and federal funds**

Disposition: Temporary Record. Retain 1 year.

**Administering Internal Operations: Managing Human Resources**

**Job Recruitment Materials**

Disposition: Temporary Record. Retain 1 year after audit.

**Application Materials**

Disposition: Temporary Record. Retain 1 year.

**Position Classification Questionnaire**

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

**Records documenting payroll (e.g. pre-payroll reports, payroll check registers)**

Disposition: Temporary Record. Retain 1 year after compliance or financial audit by the Examiners of Public Accounts or an equivalent auditing firm.

**Records documenting payroll deduction authorizations**

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

**Records documenting payroll deductions for tax purposes (including Form 941)**

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

**Personnel File - Records documenting an employee's work history - generally maintained as a case file**

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

**Records documenting employees' daily and weekly work schedules**

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

**Records documenting employee hours worked, leave earned, and leave taken**

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

**Records Documenting Leave Donations**

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

**Records of Final Leave Status**

Disposition: Temporary Record. Retain record of individual employees' cumulative leave 6 years after separation of employee from the agency.

**Employee Flexible Benefits Plan Files (Applications and Correspondence)**

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

**Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims**

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

**Records documenting Equal Employment Opportunity Commission (EEOC) Charges of Discrimination**

Disposition: Temporary Record. Retain 6 years after final dispensation.

**Equal Employment Opportunity Commission Case Files**

Disposition: Temporary Record. Retain 3 years.

**Employee Administrative Hearing Files**

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

**Records Documenting Employee Grievances (Internal Complaints)**

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

**Records documenting complaints against the agency and its employees from outside the agency (made by members of the public, officials, or supervisees, etc.)**

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

**Records (maintained separately from employee personnel file) documenting employee disciplinary proceedings and appeals of formal reprimands, demotions, transfers, or terminations resulting from a grievance or complaint**

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

**Records documenting the administration of the unemployment compensation program**

Disposition: Temporary Record. Retain 6 years after conclusion of eligibility.

**Administering Internal Operations: Managing Properties, Facilities, and Resources**

**Semiannual Property Inventory Lists**

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

**Agency Copies of Transfer of State Property Forms (SD-1)**

Disposition: Temporary Record. Retain 1 year after property audit.

**Property Inventory Cards and/or Computer Files**

Disposition: Temporary Record. Retain 1 year after property audit.

**Property Inventory Affidavits**

Disposition: Temporary Record. Retain 1 year after property audit.

**Receipts of Responsibility for Property**

Disposition: Temporary Record. Retain until return of item to property manager.

**Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles owned by the agency**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the vehicle was removed from the property inventory.

**Real Property Renting/Leasing records**

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

**Facilities/Building Security Records (including visitor logs)**

Disposition: Temporary Record. Retain 1 year.

**Motor Pool Vehicle Use Records**

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

**Insurance Policies/Risk Management Records**

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

**Building Maintenance Work Orders**

Disposition: Temporary Record. Retain 1 year.

**Records Documenting Vehicle Use/Mileage**

Disposition: Temporary Record. Retain 1 year.

# **Requirement and Recommendations for Implementing the Records Disposition Authority (RDA)**

## **Requirement**

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

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

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

## **Recommendations**

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

The Agency should designate a staff member in a managerial position as its records liaison/records manager, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.

Permanent records in the Agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation. ADAH archivists are available to work with Agency staff in determining the best location and storage conditions for permanent records.

Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the Open Meetings Act, audit requirements, or any legal notice or subpoena.

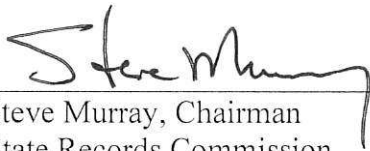
The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded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

solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.

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

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the Agency and inspect records destruction documentation. Agency records managers and/or the ADAH archivists are available to instruct the staff in RDA implementation and otherwise assist the Agency in implementing its records management program. For more information, please call the ADAH Archives Division at 334-242-4452.

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

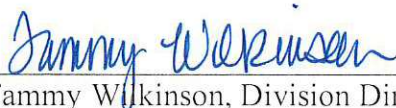


Steve Murray, Chairman  
State Records Commission

11-9-21

Date

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



Tammy Wilkinson, Division Director  
Alabama Department of Commerce Workforce Development Division

11.16.2021

Date