

Alabama Record Retention Policy

http://www.archives.alabama.gov/officials/Local_Agencies.html



[Home](#) [Education](#) [Museum](#) [Records Management](#) [Research](#)

Local Agencies

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Retention Schedules

Records Destruction

Local Government Records Commission

Local Government Deposit Agreement

Repository Database

Staff from the Alabama Department of Archives and History (ADAH) work with local agencies on information management, records destruction, and on preserving permanent records in their communities. For information and free training, call or email our staff listed at the bottom of the page.

- **Retention Schedules or Records Disposition Authorities (RDAs)**
RDAs are issued by the Local Government Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-23. RDAs list records created and maintained by the agency 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.
- **Records Destruction**
RDAs constitute authorization by the Local Government Records Commission for the disposition of records of the agency as stipulated in the document. Agencies must, however, submit a Local Government Records Destruction Notice to the Alabama Department of Archives and History (ADAH) each time that records, electronic or paper, are destroyed.
- **Local Government Records Commission**
The Local Government Commission is charged with the responsibility of determining which local records shall be permanently preserved because of historical value and which local records may be destroyed or otherwise disposed of...No county, municipal, or other local government official shall cause any records to be destroyed or otherwise disposed of without first obtaining approval of the Local Government Records Commission.
- **Local Government Deposit Agreement**
If counties or municipalities lack adequate space for preserving original permanent records, the Local Government Records Commission has approved a Local Government Records Deposit Agreement to assist them in finding a suitable off-site repository, such as a local library, archives, or commercial storage facility. This completed form must be reviewed by ADAH staff.
- **Repository Database**
The Alabama Repositories Directory was initiated in 2008 by the Alabama Historical Records Advisory Board to facilitate access to Alabama's documentary heritage. The database lists public entities and private organizations holding historical records, artifacts, and other cultural heritage materials.

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PROCEDURAL LEAFLET

April 2013

RECORDS DESTRUCTION PROCEDURES FOR ALABAMA LOCAL GOVERNMENTS

Unless they are disposed of in a timely fashion, an agency's inactive records can overwhelm both active files and records storage space. Fortunately, county and municipal records disposition authorities (RDAs) approved by the Local Government Records Commission (LGRC) can prevent this paper explosion, and increase available computer memory, by permitting the destruction of outdated temporary records. Destroying eligible records at regular intervals is an important component of an effective records management program.

However, following the authorized procedure for records destruction is not merely good records management; it is also a requirement under Alabama law. According to Section 41-13-23 of the Code of Alabama:

No county, municipal or other local government official shall cause any county, municipal, or other local government record to be destroyed or otherwise disposed of without first obtaining the approval of the Local Government Records Commission.

This procedural leaflet offers general guidelines and procedures for destroying outdated county or municipal records, after the retention periods in their RDAs expire. Agencies may legally dispose of outdated records by submitting a Local Government Records Destruction Notice to the Alabama Department of Archives and History (ADAH), which acts for the LGRC in verifying that local government records were legally destroyed. The leaflet also explains how to incorporate records disposition into an agency's overall records management program.

When Should Records be Destroyed? Records disposition functions most effectively when it is a routine procedure, carried out at regular intervals. To simplify office records management, organize agency files according to the records series categories in the RDA, then by fiscal or calendar year. Such a system—once in place—makes it easy to establish annual file breaks, send inactive records into storage, and earmark temporary records for destruction once their retention periods expire. Although an annual destruction cycle may work most efficiently for fully organized programs, certain other events can also trigger the organized destruction of outdated and unneeded records:

- # the release of an audit report
- # the end of a fiscal year

- # a change in administration
- # for school systems, the end of an academic year

The retention period assigned to each record in the RDA is the *minimum* length of time that record must be kept. Although records may be kept longer in some cases (see “When Should Records *Not* be Destroyed?” below), maintaining short-term records longer than necessary “just in case” will quickly lead to overcrowding and disorder in valuable records storage space.

For agencies that employ records management software, the routine deletion of outdated, electronic records may be an ongoing process. How often must such deletions be reported? If the agency employs an annual destruction cycle for its outdated paper records, its annual destruction notice can include a estimated total of electronic record deletions since its last report. If major deletions occur between annual destruction notices, they should be reported separately.

When Should Records *Not* be Destroyed? No record, regardless of format, should be destroyed before the end of its assigned retention period. (For procedures to follow when records are lost prematurely, see below: “How Should the Unauthorized Destruction of Records be Reported?”). There are instances, however, in which an agency’s legal interests dictate retaining records that would otherwise be disposable under its RDA. For example, retain related records when:

- # the agency is undergoing, or is about to undergo, an audit or investigation
- # there are legal or financial claims against the agency or a particular agency program
- # the agency is, or is likely to be, involved in litigation

All records relating to such processes must be retained until a final settlement is reached.

Occasionally, local officials may wish to retain records of special administrative or historical importance to the county or municipality, even if similar records are usually disposed of under its RDA. If a local library, archives, or historical society can provide proper storage for records of historical value, the agency may wish to transfer them under a Local Government Records Deposit Agreement. A leaflet outlining this procedure is available on the ADAH website at: http://www.archives.alabama.gov/ol_pubs/localrda.html.

How Should Records Destruction be Organized? Records destruction is best carried out in an organized, coordinated manner. The head of the agency should designate a staff member—ideally, someone with sufficient records knowledge and authority—to coordinate the records program. The records officer’s duties should include:

- # recruiting a liaison in each agency division/department/office/ local school, etc.
- # providing the liaisons with copies of the agency’s RDA
- # notifying them when records destruction should occur, overseeing their selection of records to be destroyed, and collecting their completed destruction notice forms
- # securing the authorizing official’s signature (see below) and sending the completed notices to ADAH.

- # maintaining both a copy of the current RDA and copies of all destruction notices submitted. (The local records archivist at ADAH will normally return a copy when responding to the notice.)

Agencies should also submit a Local Government Records Destruction Notice for original paper records that are to be destroyed after being transferred to microfilm or digital images. Sections 41-13-40 and 41-13-44 of the Code of Alabama allow microfilm to be substituted for original paper records, if it has been verified as an accurate copy by the records custodian. If permanent paper records are to be destroyed after microfilming, ADAH staff may ask to examine the microfilm before the original records are destroyed, in order to be sure that the microfilm meets quality standards set by the American National Standards Institute (ANSI) and the Association for Image and Information Management (AIIM). Electronic storage media should also conform to AIIM/ANSI standards.

Who Should Authorize Destruction for the Agency and Sign Destruction Notices? Usually, the “authorizing official” who signs the notice is the agency head, the person who has ultimate legal responsibility for the agency’s records. This may be an elected official, such a probate judge, county commission chairperson, revenue commissioner, or sheriff. In some cases, ADAH will also accept the signature of the person with direct, day-to-day responsibility for agency records, such as a municipal clerk (as well as mayor), county administrator (as well as commission chairman), or utility board business manager (as well as board chairman). In large counties or municipalities with a multiplicity of agencies, a department head may sign on behalf of the county administrator or city clerk. If an agency has a designated records officer, ADAH will accept that person’s signature if so notified by the agency head. One exception: the State Department of Education has stipulated that records destruction notices from local schools or boards of education *must be signed by the system superintendent*, not a program director or school principal.

If ADAH receives a notice signed by someone without authority to authorize destruction, and the records are otherwise legally disposable, we will usually process the notice but ask the agency to submit a properly signed copy for our files.

Must an Agency Obtain ADAH Approval Before Destroying Outdated Records, or May Notice Be Sent Afterward? Formerly, the LGRC required agencies to give notice before records were destroyed, because ADAH approved destruction on behalf of the commission. This practice has been discontinued. In most cases, an ADAH staff member is not physically present to verify that a destruction notice accurately reflects the records actually destroyed. Moreover, it is ultimately the agency’s responsibility to follow the legal mandates of its RDA. The commission’s current policy, therefore, allows agencies two avenues for reporting the destruction of outdated records:

- # Submitting a notice before destruction actually occurs (a 10-day interval is recommended), gives the local records archivist at ADAH time to review it and to contact the agency with any questions or concerns. This procedure provides security for new records officers who may be less familiar with their RDA and want to ensure that ineligible records are not destroyed accidentally. Even experienced records officers may wish to have “another set of eyes” double-check their work before destruction. It is especially important, in this case, for the name and telephone number of the person who completes the notice to be included on the form.

Once an agency has grown used to the destruction notice process, it may feel comfortable with carrying out routine records destructions without waiting for “permission” from ADAH. This method allows more flexibility in planning and may be convenient on occasions when the shredding truck shows up unexpectedly a few days early. So long as the agency’s records officer ensures that its *ex post facto* destruction notice is both complete and accurate, no harm is done by submitting it after the records are destroyed. Agencies should bear in mind, however, that records destructions usually are not reversible. ADAH has established a special procedure for reporting the premature loss of ineligible records through accident or natural disaster (see “How Should the Unauthorized Destruction of Records be Reported?” below).

Can I Submit my Destruction Notice Electronically? Yes. The Local Government Records Destruction Notice form can be completed and returned electronically as an e-mail attachment. Instructions for e-mail submission are found, along with the form, at: <http://www.archives.alabama.gov/officials/dnform.pdf>. Naturally, agencies may still print out and mail paper copies of the form, but notices sent by e-mail often receive an immediate response.

What Happens to a Destruction Notice Once It is Submitted? If the notice was submitted prior to destruction and there is a question whether any records listed have met RDA retention requirements, the local records archivist at ADAH will call or e-mail the contact person listed on the form. Otherwise, agencies that submit paper notices should receive a letter acknowledging the notice within a few days of its receipt. Electronic notices may receive a same-day reply. Our letter will confirm that the records proposed for destruction, or previously destroyed, appear to be legally disposable. If the notice was submitted in paper format, a copy will be returned to the agency with our letter of acknowledgment. All original destruction notices, whether paper or electronic, will be retained permanently in the Government Services Division files. In case of future questions arising during agency audit or litigation processes, ADAH can always verify that the agency complied with the legal procedure for destroying outdated records, as established by the LGRC and the Code of Alabama. The agency’s own legal interests favor its submitting a destruction notice.

How Should Legally Disposable Records Be Destroyed? Options listed on the destruction notice form include shredding, landfilling, burning, and recycling. Landfilled records should be boxed and loaded carefully, so that nothing is lost on the way to the landfill. Be sure that local ordinances do not prohibit burning. Records with personal identifiers, such as Social Security numbers, or other restricted or sensitive information must be destroyed in a manner that prevents identity theft (shredding, recycling, burning, or burying completely at a landfill). For electronic records, simply deleting outdated files may not remove them from a computer’s hard drive. Utilize records management software to purge data automatically and irretrievably when its retention period expires. Whatever the destruction method chosen, agency staff should always supervise the process and ensure that all record information is actually destroyed. Few things are more embarrassing than having a concerned citizen return “lost” records to your office.

Records may legally be reformatted to other media, such as microfilm or scanned/photographed digital images, and the originals destroyed. Under Section 41-13-40 of the *Code of Alabama*, microfilm of public records, “when duly authenticated by the custodian thereof, shall have the same

force and effect at law as the original record. . . .” While there is no corresponding statute for electronic records, some legal recognition of them is provided in the Uniform Electronic Transactions Act of 2001 (now codified as *Code of Alabama* Sections 8-1A-1 through 8-1A-20). Records retention requirements in local government RDAs take no account of format; the record *information* must be retained for the period legally required. Therefore, if records are reformatted and the originals destroyed, the microfilm or digital images must be retained—following national preservation standards set by AIIM and ANSI—for the records’ full retention period. Note that the Local Government Records Destruction Notice contains a special block, located near the bottom of the form, for reporting the destruction of original records that have been reformatted. For more information on reformatting, see the ADAH technical leaflets, “Preparing a Contract for Archival-Quality Microfilming Services” and “Guidelines for Maintaining Permanent or Long-Term Records on Digital Imaging Systems.” Both are available on the ADAH website at: <http://www.archives.alabama.gov/officials/leaflets1.html>.

How Should the Unauthorized Destruction of Records Be Reported? Despite local officials’ best efforts, records may occasionally be lost to accident, theft, natural disaster, or other unauthorized destruction before their retention periods expire. In such cases, the agency should promptly submit a Local Government Records Destruction Notice, along with a letter fully explaining the circumstances of the loss. It is better, from a legal or audit perspective, to document a premature records destruction at the time, rather than to have a court or the Examiners discover the loss later. Records that are severely damaged by fire, water, or mold growth may be unusable or hazardous to health, even if they are not quite “lost.” In such cases, consult with ADAH archivists about salvaging the records or, if salvage is impossible, reporting their destruction.

INSTRUCTIONS FOR COMPLETING A DESTRUCTION NOTICE

Detailed instructions for completing and submitting Local Government Records Destruction Notices are found on the back of the attached sample form. Here are a few points to remember:

Date of Intended Destruction. If you want ADAH staff to review your notice prior to destruction, set this date 10 days after the date that you submit the notice. However, if the shredding truck is on its way and you cannot wait for our response, you need not wait for ADAH approval before the records are destroyed.

Method of Destruction. List the intended method of destruction. Records containing personal identifiers or restricted/sensitive information should be burned or shredded. *Note that the form contains a separate block (below the records list) for records that are reformatted to microfilm or electronic media, and the originals destroyed.* Alternative storage media must follow AIIM/ANSI standards, and the reformatted images must be held for the records’ full retention period as listed in the RDA.

Volume Destroyed. We ask for a volume estimate of the records you destroy, because we keep statistics on records destruction statewide. For paper or microfilm, use cubic feet. (A chart on the

back of the form can help in estimating.) For electronic records, estimate the number of bytes deleted (KB, MB, etc.)

Name/Telephone Number of Person Completing Notice. Besides the authorizing official, please list the name and telephone number of a person who works with the records on a daily basis, so that we can contact that person with any questions. Preferably, it should be the same person who completes the notice.

RDA Record Number. Please include the RDA item number for each type of record you destroy, especially if you use variant titles from those listed in the RDA. This speeds up our review and let us know you have examined the RDA's retention requirements for your records.

Records Title/Date Span of Records to be Destroyed. Remember that the title and date span for each type of record you destroy can be a *one-line entry*. You need not list each box or volume individually. Many specific records series can be grouped under a broad RDA category, such as "Routine Accounting Records." Also, you do *not* need to use a separate destruction notice form for each type of record listed.

Date Latest Records Listed Were Audited. This one has caused much confusion. The date we mean is the date the most recent records *listed in each entry on the destruction notice form* were audited—*not* the date of your most recent audit. The audit referred to is the one conducted by the Examiners of Public Accounts or, for municipal agencies, by an independent auditing firm.

Date of Actual Destruction. The person who witnesses the records' destruction should sign the form here. If you send your notice to ADAH before the records are destroyed, it is unnecessary to notify us again by sending another copy when destruction actually occurs. Verification of destruction is for agency record-keeping purposes.

For assistance with implementing your agency's RDA, submitting a Local Government Records Destruction Notice, or developing a records management program, contact the ADAH Government Services Division at (334)242-4452, or records@archives.alabama.gov. Local government RDAs, and ADAH records management publications, are available on our website: <http://archives.alabama.gov>.



LOCAL GOVERNMENT RECORDS DESTRUCTION NOTICE

Date _____

04/13

To document the legal destruction of records in your agency's records disposition authority (RDA), send this form to the ADAH Government Services Division. Records not covered by an approved RDA, or records created prior to 1900, may not be legally destroyed. If you would like ADAH to review your notice before the records are destroyed, please submit it 10 days before the scheduled destruction date. Your office should retain a copy. If you have questions, contact the ADAH Government Services Division at (334)242-4452.

Please type or print clearly. See instructions on back.

Local Government _____

Department _____

Program Unit _____

SEND ORIGINAL FORM TO:
DEPARTMENT OF ARCHIVES AND HISTORY
ATTENTION: LOCAL RECORDS SECTION
P.O. BOX 300100
MONTGOMERY, ALABAMA 36130-0100

This agency will destroy the records listed in the manner checked below:

- SHREDDING LANDFILL BURNING RECYCLING DELETION OF ELECTRONIC RECORDS

DATE OF DESTRUCTION _____ VOLUME DESTROYED (cubic feet/KB,MB, etc.) _____

I hereby certify that the records to be destroyed are correctly represented below, that they are eligible for destruction according to a records disposition authority approved by the Local Government Records Commission, that audit and Sunset Review requirements have been fully satisfied, and that the records are not required for any pending or imminent litigation.

Signature and Title of Authorizing Official

Name/Telephone/E-mail of Person Completing Notice

RDA RECORD NUMBER	<input type="checkbox"/> boxes <input type="checkbox"/> reels <input type="checkbox"/> books <input type="checkbox"/> bytes	RECORDS TITLE - AS SHOWN IN RDA (Include variant titles in parentheses)	DATE SPAN OF RECORDS TO BE DESTROYED	DATE LATEST RECORDS LISTED WERE AUDITED

RECORDS HAVE BEEN TRANSFERRED TO MICROFILM OR ELECTRONIC MEDIA, WITH DESTRUCTION OF ORIGINALS
(Microfilm and digital files should meet AIIIM/ANSI standards. Reformatted images must be held for records' full retention period listed in the RDA.)

The records above have been destroyed in the manner shown. Witnessed by _____ Date _____
Name/Title

INSTRUCTIONS

Date: List the date the notice is completed.

Local Government: List the name of your county or municipality.

Department: List the principal administrative unit responsible for the records (e.g., county commission, city clerk, police department, board of education).

Program Unit: List the program unit or area within the department where the activity originates (e.g., personnel department, patrol division, local school) or the general category of records (finance, payroll, etc.).

Method of Destruction: List the method to be used to destroy the records. Refer to the section "How Should Records Be Destroyed?" in the ADAH leaflet *Records Destruction Procedures for Alabama Local Governments*.

Date of Intended Destruction: List the date on which destruction of the records took place or will take place. If you would like for ADAH staff to review your notice prior to destroying the records, please choose a date at least 10 days after the notice is mailed. However, prior notice is not required, so long as destruction is reported.

Volume Destroyed: Indicate the approximate volume of records destroyed. For paper or microfilm, use cubic feet. (See conversion chart below.) For electronic records, estimate the number of bytes deleted (KB, MB).

Cubic Foot Conversion Chart	1 standard (15" x 12" x 10") records carton	1.0 cubic foot
	1 "bankers box" ("double-long" records storage carton)	2.0 cubic feet
	1 letter-size file drawer	1.5 cubic feet
	1 legal-sized file drawer	2.0 cubic feet
	Woodruff document files (15" deep), 3 drawers	1.0 cubic foot
	Letter-sized shelf unit 36" long	2.4 cubic feet
	Legal-sized shelf unit 36" long	3.0 cubic feet
	Fifty 100-foot 35mm microfilm rolls	1.0 cubic foot
	One hundred 100-foot 16mm microfilm rolls	1.0 cubic foot
	10,000 tab cards	1.0 cubic foot
	3 x 5 cards, ten 12" rows	1.0 cubic foot
	4 x 6 cards, six 12" rows	1.0 cubic foot
	5 x 8 cards, four 12" rows	1.0 cubic foot
3 large bound volumes (such as deed or minute books)	1.5 cubic foot	

Signature and Title of Authorizing Official: The destruction notice should be signed by the person who is *legally responsible* for the records (*county administrator, probate judge, city clerk, chief of police, superintendent of schools, etc.*). A designated records officer may sign if authorized to do so by the agency head.

Name/Telephone/E-Mail of Person Completing Notice: Please list the name, telephone number, and e-mail address of a contact person who works with the records on a daily basis (preferably, the same person who filled out the destruction notice).

RDA Record Number: In this column, list the number of the record listed before the record title in the RDA.

RECORD FORMAT (boxes/reels/books/bytes). Indicate the format, or formats, of records to be destroyed.

Record Title: List the exact title shown in the RDA. Include any variant titles used locally in parentheses under the title as listed in the RDA. You may include more than one records title on the notice.

Date Span: List the beginning and ending dates for each records series listed.

Date Latest Records Listed Were Audited: List the date that the most recent records *listed on the form* were audited (*not* the date of your most recent audit). The audit referred to is the one conducted by the Examiners of Public Accounts or, for municipal agencies, by an independent auditing firm.

Note: The last line on the notice is completed after the records' destruction by the individual who witnessed the destruction. It is not necessary to return another copy of the form to ADAH when the records are destroyed.

RETAIN A COPY OF EACH RECORDS DESTRUCTION NOTICE SENT TO ADAH FOR THE PERIOD CALLED FOR IN YOUR AGENCY'S RDA.