

# Alabama Department of Human Resources



## Functional Analysis & Records Disposition Authority

Revision  
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State Records Commission  
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# Table of Contents

<b>Functional and Organizational Analysis of the Alabama Department of Human Resources</b>	<b>1</b>
Sources of Information .....	1
Historical Context .....	1
Agency Organization .....	2
Agency Function and Subfunctions .....	2
<b>Analysis of Record-Keeping System and Records Appraisal of the Alabama State Board of Public Accountancy</b> .....	<b>6</b>
Agency Record Keeping System .....	6
Records Appraisal .....	7
Permanent Records List .....	13
<b>Department of Human Resources Records Disposition Authority</b> .....	<b>14</b>
Explanation of Records Requirements.....	14
Records Disposition Requirements.....	15
Promulgating Rules and Regulations.....	15
Administering Adult Protective Services.....	15
Administering Children’s Welfare Services .....	16
Enforcing Child Support.....	17
Administering Food Assistance Program .....	17
Providing Family Assistance .....	18
Regulating Child/Adult Care Facilities.....	19
Ensuring Quality Control & Program Integrity .....	19
Overseeing Field Administration and Training .....	20
Administering Internal Operations: Managing the Agency.....	20
Administering Internal Operations: Providing Computer Services .....	23
Administering Internal Operations: Providing Legal Services .....	24
Administering Internal Operations: Managing Finances .....	24
Administering Internal Operations: Managing Human Resources .....	26
Administering Internal Operations: Managing Properties, Facilities, and Resources .....	28
Requirement and Recommendations for Implementing the Records Disposition Authority ...	29

# **Functional and Organizational Analysis of the Alabama Department of Human Resources**

## **Sources of Information**

Representatives of the State Department of Human Resources  
Code of Alabama 1975, Sections 38-2-1 through 38-2-13  
Code of Alabama 1975, Sections 41-20-1 through 41-20-6 (Sunset Law)  
Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)  
Code of Alabama 1975, Sections 26-10A-1 through 26-10A-38 (Alabama Adoption Code)  
Alabama Administrative Code, Chapters 660-1-1 through 660-5-91  
Alabama Government Manual (2002) pg. 345  
State Department of Human Resources Annual Reports (1999, 2001)  
State Department of Human Resources Audit Reports (1999-2001)  
Holdings of the Department of Archives and History for State Department of Human Resources  
Government Records Division, State Agency Files (1985-ongoing)  
State Department of Human Resources Website  
State Department of Human Resources Records Retention Schedules  
Code of Federal Regulations 7 CFR 272.1, 274.3, 274.6, 274.7, 274.11, 275.4, 275.9, 276.2, 277.12

## **Historical Context**

In 1799, a law in the Mississippi Territory provided for the appointment of overseers to care for the needy in each township. An 1803 "poor law" established that the counties are responsible for assisting the indigent. The Constitution of 1868 shifted the responsibility of public welfare to the general assembly, because of the impoverished condition of the state after the Civil War. In 1867, the Legislature, through the creation of the Pension Commission, appropriated funds to supply artificial limbs to maimed Confederate veterans. The Legislature expanded the authority of this agency in 1899 to provide relief to poverty-stricken Confederate veterans and their widows. Also in 1899, the agency's name changed to the State Board of Examiners of Pensions. As the population who fought in the Civil War aged, the Legislature renamed the agency the Board of Confederate Pension Commissioners and directed the agency to allocate pensions to confederate veterans and their widows. In 1919, the structure for providing pensions changed slightly, resulting in a new Alabama Pension Commission.

The Legislature created the Alabama Department of Child Welfare in 1919 to provide services to at-risk children and families. In reaction to the poverty and high unemployment brought on by the Great Depression, the Legislature authorized an agency in 1932 to be the state counterpart to the federal Reconstruction Finance Corporation - the Alabama Relief Administration. Soon after, the Alabama Department of Child Welfare took on the social service responsibilities of the Administration.

With the passage of the Social Security Act in 1935, the Legislature formed a new agency to supersede the Alabama Relief Administration. This newly created Alabama Department of Public Welfare absorbed the Alabama Department of Child Welfare, with its duties relating to children's aid and the supervision of institutions, juvenile courts, and county boards of education, while the Department of Labor took on the child labor monitoring function.

The Alabama Department of Public Welfare changed in 1955 to become the Department of Pensions and Security under the State Board of Pensions and Security. In 1959, the Legislature transferred the Confederate widows' pension function to the Department of Pensions and Security. In 1973, duties relating to juvenile delinquents were relocated to the newly created Department of Youth Services. By 1986, the legislature adopted a more comprehensive name for the agency – State Department of Human Resources (DHR).

Although the Department of Public Welfare changed over time, it performed the same functions as the current department: "the promotion of a unified development of welfare activities and agencies of the state and of the local governments so that each agency and each governmental institution shall function as an integral part of a general system." (Code of Alabama 1975, Section 38-2-6).

## Agency Organization

**Central Office:** The State Department of Human Resources operates under the aegis of the State Board of Human Resources. The governor serves as chair and appoints six other members, subject to confirmation by the Senate. The six appointed members of the board, who must have an interest in welfare, hold six-year staggered terms. The board selects the commissioner, the executive administrative officer of the State Department of Human Resources, and determines policies and procedures for the department. The commissioner interprets the rules and regulations set by the board and creates, with the approval of the board, divisions/offices that fulfill the functions of the department. An organizational chart can be found:

<http://dhr.alabama.gov/documents/OrgChart.pdf>

**County Offices:** A county board of human resources is appointed in each of the 67 counties in Alabama. In rural counties the board members are appointed by the county commission. In counties in which there are cities with a population of 60,000 or more, according to the last federal census, the governing body of the city has equal authority with the county commission in selecting the board members. The county board of human resources, subject to the provisions of the state merit system, appoints the county director of human resources. Most of the services offered by the Department of Human Resources are provided through the county offices.

## Agency Function and Subfunctions

The mandated function of the State Department of Human Resources is to promote the unified development of welfare activities and welfare agencies for state and local governments in Alabama. It is one of the agencies responsible for performing the Client Services function of

Alabama government. In performance of its mandated function, the State Department of Human Resources may engage in the following subfunctions.

- **Promulgating Rules and Regulations.** The State Board of Human Resources promulgates and publishes its rules and regulations in compliance with the Administrative Procedures Act (Code of Alabama 1975, Sections 41-22-1 through 41-22-27). The board creates, with the assistance of the State Human Resources Commissioner, rules and regulations regarding the administration of social welfare programs throughout the state of Alabama. Staff members of the Department of Human Resources also create policies and procedures for their particular programs.
- **Administering Adult Protective Services.** It is the responsibility of the Department of Human Resources to receive and investigate reports of abuse, neglect, and exploitation of adults of 18 years old or older who, because of physical or mental impairment, are unable to protect themselves and have no one available to provide protection. In addition, the department may provide day care, foster care, and homemaker services if needed. Actual activities are carried out by the department's county offices while staff members of the central office supervise the actions of the counties.
- **Administering Children's Welfare Services.** Staff members of the Department of Human Resources are obligated to prevent child abuse and neglect of Alabama's children by administering various child and family service programs, which may include adoption, foster care, and day care services. This subfunction also includes screening adult participants in the foster care and adoption service programs to ensure that foster care/adoption applicants meet the standards of the department.
- **Enforcing Child Support.** Child support enforcement is a joint federal/state function that aids families in establishing paternity, obtains orders for payment of child support, and secures compliance with child support court orders. The Department of Human Resources contracts with district attorneys to aid with the enforcement of child support which means proving paternity and securing the child support monies. Activities may also include enforcing laws pertaining to child support by withholding income and seizing property in order to collect child support monies.
- **Administering Food Assistance Program.** The United States Department of Agriculture establishes uniform standards for the Food Assistance program, including rules for eligibility of applicants to receive Food Assistance benefits and of retailers who will accept Food Assistance. The Department of Human Resource's county offices process applications, conduct interviews, certify eligible applicants, and distribute Food Assistances to recipients. The central office is responsible, among other things, for quality control, program investigations, and fair hearings.
- **Providing Family Assistance.** The Department of Human Resources provides temporary financial assistance for needy families with children. Applicants for family assistance apply to the department's county offices for benefits. The department also

provides employment and training services to all mandatory adult and teen recipients of family assistance to assist them in finding and retaining employment. Periodic reviews of program participants are conducted to determine/assure continued eligibility and program compliance.

- **Regulating Child Care Services.** Staff members of the central office screen and issue licenses to child day care and night-time care centers that care for more than twelve children. Staff members also visit licensed day care and night-time care centers in order to verify that these institutions are upholding the minimum state requirements. County offices only screen and license child care homes that care for less than twelve children. Although state law does not require that adult day care facilities be licensed by the Department of Human Resources, the department must approve those adult day care facilities if they accept payment for the department's clients.
- **Ensuring Quality Control & Program Integrity.** Federal regulations require that each state provide for the establishment of a statewide surveillance and utilization control program to monitor the operation of various social welfare programs by reviewing active cases within these programs. Cases are chosen randomly and reviewed by the central office staff to ascertain whether or not the recipients' eligibility for benefits has been correctly determined by the county offices and if the recipient received the benefits to which the recipient was entitled. These reviews are also used to determine whether the department's decisions to deny, suspend or terminate benefits were accurate. Review findings are routinely sent to some federal government entities for compliance. In order to promote integrity and accountability in departmental programs and activities, the Department of Human Resources seeks to detect, deter, prevent, and recoup overpayments in social programs as well as employee fraud.

The Department of Human Resources routinely conducts nationwide criminal history background checks to determine whether an individual that has unsupervised access to children, elderly, or the disabled has been convicted of a crime that would prohibit the individual from providing care to or have responsibility for the safety of the aforementioned groups.

- **Overseeing Field Administration and Training.** Staff members of the Department of Human Resource's central office offer various training sessions to divisions/offices throughout the central office and county offices to aid the Department of Human Resource's employees in becoming more efficient in their duties. Training subjects may include how to perceive levels of abuse/neglect or how to properly care for a child or an adult. Staff members also aid in county administration duties by providing volunteers with liability insurance coverage and investigating any disturbances occurring at the county level.
- **Administering Internal Operations.** A significant portion of the board's work includes general administrative, financial, and personnel activities performed to support its programmatic areas.

**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.

**Providing Computer Services:** The Department of Human Resource's Information Services Division (ISD) provides hardware, software, services, and supporting infrastructure to automate, store manage, and deliver information to central and county offices across the state. This information allows for the daily issuance of services and benefits to Alabama citizens in a timely and efficient manner.

**Providing Legal Services:** The Legal Office consists of the State Office and branch offices to include: Montgomery Regional Legal Office, Birmingham Legal Office, and Mobile Legal Office. The function of the Legal Office is to defend and prosecute cases on behalf of the department and to provide legal assistance to the department's central office and county offices.

**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 department'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 department; 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; 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 department; insuring property; and assigning, inspecting and maintaining department property.

# **Analysis of Record-Keeping System and Records Appraisal of the Alabama State Board of Public Accountancy**

## **Agency Record Keeping System**

The State Department of Human Resources currently operates a hybrid record keeping system composed of paper-based, computer, and micrographics systems.

Computer Systems: The Department of Human Resource's Information Services Division (ISD) supplies and maintains the processing infrastructure, i.e., communications, desktop systems, software, mainframe systems, for the operation of the central office and county offices. A Wide Area Network (WAN) electronically connects all county offices and the central office, as well as other significant Department of Human Resources stakeholders. The WAN consists of approximately 180 servers running in a Windows NT and Novell environment which is used for providing various functions such as email services, shared print services, Internet and Intranet access, and access to any shared production systems. Most of the production systems reside on the Department of Finance's mainframe computer. In addition, the department has a contract with a private vendor for mainframe services (located in Albuquerque, New Mexico) for the Child Support Enforcement system. The department's electronic record keeping systems have been developed using database and technology tools designed for the mainframe, client/server, and PC environments. Most of the mainframe application systems are written in COBOL and EZ PLUS utilizing DB2 and VSAM databases. Other production systems that reside on client/server and PC environments are written in POWERBUILDER, SQL SERVER, VISUAL BASIC, ACCESS, and PARADOX.

The Department of Human Resources has five major electronic record keeping and tracking systems: (1) Alabama Location Enforcement and Collection System (ALECS): a child support enforcement system that handles all child support collections/distributions and information with other state systems. The system is run on a mainframe in Albuquerque, New Mexico; however, CIS maintains an onsite production staff that coordinates the operation/maintenance of the system and its connection to the state mainframe. The system utilizes COBOL, TELON, CICS, FORECROSS, and VISUAL BASIC in its programs and VSAM and DB2 for the databases. (2) Alabama Social Services Information System (ASSIST): a family service client/server application that provides a comprehensive system designed to simplify the process of building case files and provide integrated program information quickly and accurately. In addition, some of the batch reporting is conducted on the state mainframe. The system uses POWERBUILDER and COBOL as its programming language and DB2 as its database. (3) Family Assistance and Comprehensive Employment and Training System (FACETS): a legacy family assistance system that administers and manages the issuance of financial assistance for qualified Alabama families through Electronic Benefits Transfer (EBT). In addition, the system is utilized to support employment and training initiatives for some programs in the counties. The system is written in COBOL and uses DB2 as its database on the state mainframe. (4) State/County Integrated System for Certification and Issuance (SCI-II): another legacy family assistance system that issues food assistance benefits to qualified applicants through EBT (Electronic Benefit Transfer). The system is written in COBOL and uses VSAM as its database on the state mainframe. (5)



Child Care Management System: a child care application that is used by the twelve child care management agencies to administer child care subsidies under the supervision of the department.

Some other systems include: Child Support Correspondence Tracking (CSCT) – a Paradox application that tracks all correspondence that comes into the Child Support Program Office and all follow-up actions; Comprehensive Claims System (CCS) – a mainframe system that identifies and initiates collection of, and tracks over issuance of payments or benefits to clients; Income Eligibility Verification System (IEVS) – a mainframe system that provides departmental logon system security, outside information exchanges with other agencies, safeguards to prevent duplicate program participation, and investigation tracking; Temporary Aid to Needy Families Quarterly Reporting System (TANFQ) – a mainframe reporting system that collects information from several DHR systems for the federal TANF quarterly reports; Alabama Child Welfare Information System (ACWIS) – a mainframe system that tracks children in foster care and adoptive placement; Administrative Hear Record Review System (AHRR) – a system used by staff to track reports of child abuse which will be reviewed jointly by the staff of the central office and county office; CASELOAD – a system that tracks the county workers’ caseloads by capturing case numbers and case types for each worker; Wish-list – a system that records holiday gift wishes of foster children in participating counties for the Southern Company; and Help Desk System (HD) – an automated call tracking system.

## Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama Department of Human Resources:

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

- **Adoption Files with No Placement.** These files maintain information such as the history of the child, the biological parents, the possible adoptive parents, and the reasons the adoption did not take place. According to the Code of Alabama, 1975 Section 26-10A-31(e), adoption records must be maintained for at least 75 years after the case is closed.
- **Child Foster Home Resource Files (Provider Files–Clients Placed).** This series consists of files documenting the approved foster homes and the placement of children in those foster homes. Records found in this series may include criminal background checks, medical exam results, and training records for foster parents, and summary information on the children placed in the foster home. Both the Department of Human Resource’s central office and county offices create and maintain this series. The transaction is completed and documented mainly in the county office while the central office has summarized information and reporting data. The recommended retention, 75 years after the case is closed, ensures that the Department of Human Resources maintains adequate evidence of its actions during the lifetime of the individual placed in foster care.

- **Child Foster Care Records (Client Files).** This series is composed of records documenting children who are placed in the custody of the Department of Human Resources. Records found in this series may include court documents, child family history, child medical and mental exam data, and various services provided by the department staff to the child and his/her birth family. When a child is placed in a foster home or is adopted, the department staff will forward only summarized information on the child to the Foster Home Resource Files (Provider Files–Clients Placed). For reference purposes, the department maintains this series for the same length of time as the Foster Home Resource Files (Provider Files–Clients Placed).
- **Child Placement Agencies:** These files contain the records of closed Child Placement Agencies. Materials that may be included in these files include licenses of the department, financial records, personnel records, and visit reports. These records are maintained for 75 years to assure continuity of information for the children who have been placed through the Department of Human Resources.
- **Group Homes, Child Care Institutions, and Shelters:** These files contain the records of closed Child Placement Agencies. Materials that may be included in these files include licenses of the department, financial records, personnel records, and visit reports. These records are maintained for 75 years to assure continuity of information for the children who have been through the Group Homes, Child Care Institutions, or Shelters.
- **Child Preventative Service (CPS) Case Files.** DHR staff members assess overall family functioning to determine if a child needs ongoing protective services to prevent maltreatment. Documentation of this assessment needs to be maintained 25 years after the case is closed.
- **Child Abuse and Neglect Files.** The Department of Human Resources creates files on reported incidents of child abuse and/or neglect. Because these files serve as documentation of the department's actions in regards to the child, the department needs to maintain these records for 75 years after the case is closed.
- **Bankruptcy Case Files.** When a client receiving public assistance or Food Assurances declares bankruptcy, the Department of Human Resources creates a file to monitor that individual. The case files need to be maintained 10 years to meet the requirement of the Bankruptcy Reform Act of 1994.

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

### **Promulgating Rules and Regulations**

- **Meeting Minutes of the State Board of Human Resources.** The governor, who serves as chair of the Board of Human Resources, calls meetings as needed. The meeting minutes, which document board decisions on the appointment of a commissioner of human

resources; creation of rules/regulations of the department; the approval of the department's annual budget, and other program related activities, should be maintained permanently. (**Bibliographic Title: Meeting Minutes**)

- **Meeting Minutes of County Board of Human Resources.** Each county's board meeting minutes document board decisions on program operations at the county level. They should be preserved by each county office as permanent documentation. (**Bibliographic Title: Not Applicable**) (**Maintained in County Offices**)
- **Policies and Procedures.** The Department of Human Resources creates and issues policies and procedures to address the overall functioning and daily operations of the department and its county offices. This series may include the Administrative Policies and Procedures of the Department of Human Resources, Rules and Regulations for the Operation of County Boards of Human Resources, and other related program procedures. These records provide key documentation of departmental policy and should be maintained permanently. (**Bibliographic Title: State Publications**)

## **Administering Children's Welfare Services**

- **Adoption Files.** Adoption files contain extensive documentation on the adoptive parents, the child and the biological parents. Although Code of Alabama, Section 26-10A-31 (f) restricts access to these records, adoption records should be maintained permanently in the Department of Human Resource's office as a way for the child and possibly future descendants to trace family history. After the court issues the adoption order, county offices are required to forward original copies of pleadings, summary sheets, and all other adoption related documents to the department's central office for preservation. The recommended permanent retention would ensure that information pertaining to adoption is maintained permanently, either at the department's central office or county offices. The same consideration is also used in justifying the retention recommendation for both of the Interstate Compact Placement of Children Files and the Independent Adoption Records. (**Bibliographic Title: Not Applicable**) (**Maintained by Department of Human Resources**)
- **Interstate Compact Placement of Children Files.** This series consists of adoption records for out-of-state guardians. It contains extensive documentation on the adoptive parents, the child, and the biological parents. Although the law restricts access to these records by others, adoption records should be maintained permanently in the department 's office as a way for the child and possibly future descendants to trace family history. (**Bibliographic Title: Not Applicable**) (**Maintained by Department of Human Resources**)
- **Independent Adoption Records.** Adoption may be facilitated independent of the state, for example, by a doctor or church. In these cases, the state still maintains the adoption records, which have historical importance, especially to the adoptee or possibly a descendant. Although the law restricts access to these records by others, adoption records should be maintained permanently in the department 's office as a way for the child and possibly future descendants to trace family history. (**Bibliographic Title: Not Applicable**) (**Maintained by Department of Human Resources**)

## Ensuring Quality Control & Program Integrity

- **Quality Assurance Review Files: Case Review Write-ups, Rating Sheets, and Demographic Data.** Staff members of the Department of Human Resource's Quality Assurance Committee, at both the state and county levels, conduct (or may conduct) quality assurance review activities related to the delivery of certain services. Central to these review activities is the qualitative case reviews whereby persons involved with a child or a family is interviewed and the information documented. Types of records created may include rating sheets, case review write-ups, demographic data, and completed case review protocols. The completed protocol (procedural instrument, forms, and any review notes, etc.) needs to be kept for reference for three years. The case review write-ups, rating sheets, and demographic data should be maintained permanently as a complete documentation of DHR's efforts in protecting the integrity of its programs. **(Bibliographic Title: Quality Assurance Review Files)**

## Administering Internal Operations

- **Administrative Files of the State Commissioner of Human Resources.** The series which, consist of correspondence of the human resources commissioner, also contains various other records documenting the activities of the D. Typical records in these files include memoranda, reports, department publications, and other materials concerning department policy, procedures, organization, programs and fiscal or personnel matters. These files should be maintained permanently to document the role of the commissioner. **(Bibliographic Title: State Commissioner Administrative Files)**
- **Website(s) and Social Media Site(s).** ADAH staff capture and preserve the department's website(s) and other social media sites via a service offered by the Internet Archive [Archive It]. Any content behind a password protected page or login would not be captured by ADAH. Check with the ADAH website at [www.archive-it.org/organizations/62](http://www.archive-it.org/organizations/62) to ensure your agency's website(s) and social media site(s) are captured and preserved. If your agency's website(s) and social media site(s) are not captured by the service, please contact the Government Services Division at 334-242-4452 to get them included. **(Bibliographic Title: Websites and Social Media Sites)**
- **News Releases.** The Department of Human Resources may release statements or announcements to the news media and the public for distribution. Included may be copies of news releases, published articles, and other reference material and typescripts to broadcast announcements. **(Bibliographic Title: State Publications)**
- **Photographs.** This series consists of pictures taken of the commissioner, the board, and/or other important meetings and events held by the Department of Human Resources. These images, which are used in various news releases and publicity campaigns, should be labeled with the name of individuals, location/event, and date for permanent preservation. **(Bibliographic Title: Photographs)**

- **Audio-Visual Presentations.** The Department of Human Resources creates and maintains audio-visual presentations to be used for promoting departmental programs/services, training contract providers or employees, and other related activities. This series should be preserved permanently for documentation purpose. **(Bibliographic Title: Audiovisual Materials)**
- **Speeches of the State Commissioner of Human Resources.** In the performance of his/her duties, the commissioner of human resources may issue public statements and give speeches designed, among other things, to promote departmental activities and programs. This series may consist of statements prepared by the commissioner for delivery at meetings, interviews, conventions, or other public functions. These records should be retained permanently. **(Bibliographic Title: State Commissioner Speeches)**
- **Publicity/Informational Materials.** The Department of Human Resources produces various pamphlets, brochures, and booklets, which may be directed to its staff, constituents, or the general public. This series should be maintained permanently to document the promotional efforts of the department. **(Bibliographic Title: State Publications)**
- **Annual Reports.** Types of information in the annual report include special events, budget and statistical data, and a summary of operations within each division/program. These reports are a concentrated source of information on the department and should be maintained permanently. **(Bibliographic Title: State Publications)**
- **Legal Litigation Case Files Relating to the Termination of Parental Rights and Child Custody Appeals.** The Department of Human Resources seeks to provide for the safety and self-sufficiency of vulnerable Alabamians. When in court, lawyers for the state, who may litigate on sensitive issues such as parental rights or child custody, need to reference antecedent case files to establish a basis of argument and precedent; thus, the Department of Human Resources maintains legal litigation files relating to the termination of parental rights and child custody appeals permanently in its office. **(Bibliographic Title: Not Applicable) (Maintained by Department of Human Resources)**
- **Legal Litigation Case Files Relating to Landmark Cases That Have Important Historical Value or Long-Term Impact.** This series contains files of landmark cases that may have historical value or long-term impact on the state's social welfare system. For example, in 1988 there was a lawsuit regarding the treatment of an eight-year-old foster child who was, at that time, in the care of DHR. To settle this lawsuit, the plaintiffs and the state entered into a consent decree in 1991. In 1992, DHR began a massive long-term overhaul of its services for children. Known as the *R.C. Consent Decree*, the decade-old case related documents should be preserved for their historical value. **(Bibliographic Title: Legal Case Files)**
- **Grant Project Final Reports.** The federal government funds much of the Department of Human Resources' primary operations. Final narrative reports should be maintained

permanently as documentation of the department's fulfillment of obligations to the federal government in receiving funding. **(Bibliographic Title: Federal Grant Final Reports)**

- **Original bid records maintained in the purchasing office of the Department of Human Resources for contracts over \$15000.00.** The Code of Alabama 1975, Section 41-16-24 requires that "all original bids together with all documents pertaining to the award of the contract shall be retained and made a part of the permanent file or records and shall be open to public inspection." These files should be maintained in the department 's office. **(Bibliographic Title: Not Applicable) (Maintained by Department of Human Resources)**

# **Permanent Records List**

## **State Department of Human Resources**

### **Promulgating Rules and Regulations**

1. Meeting Minutes of the State Board of Human Resources
2. Policies and Procedures

### **Administering Children's Welfare Services**

1. Adoption Files\*
2. \*Interstate Compact Placement of Children Files
3. \*Independent Adoption Records

### **Ensuring Quality Control and Program Integrity**

1. Quality Assurance Review Files: Case Review Write-ups, Rating Sheets, and Demographic Data

### **Administering Internal Operations**

1. Administrative Files of the State Commissioner of Human Resources
2. Website(s) and Social Media Site(s)
3. Photographs
4. Audio-Visual Presentations
5. Speeches of the State Commissioner of Human Resources
6. News Releases
7. Publicity/Informational Materials
8. Annual Reports
9. Legal Litigation Case Files Relating to the Termination of Parental Rights, Child Custody Appeals\*
10. Legal Litigation Case Files Relating to Landmark Cases That Have Important Historical Value or Long-Term Impact
11. Grant Project Final Reports
12. \*Original Bid Records
13. \*Meeting Minutes of County Boards of Human Resources

\*indicates records that ADAH anticipates will remain in the care and custody of the creating agency. ADAH staff members are available to work with agency staff in determining the best location and storage conditions for the long-term care and maintenance of permanent records.

# **Department of Human Resources 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, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Services Division, Alabama Department of Archives and History (ADAH), which serves as the Commission's staff, in cooperation with representatives of the Agency. The RDA lists records created and maintained by the Agency in carrying out their mandated functions and activities. It establishes minimum retention periods and disposition instructions for those records and provides the legal authority for the Agency to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and may be made available to members of the public. Records also must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 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 Government Services 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.

### **Promulgating Rules and Regulations**

#### **MEETING MINUTES OF THE STATE BOARD OF HUMAN RESOURCES**

Disposition: PERMANENT RECORD.

#### **MEETING MINUTES OF THE COUNTY BOARD OF HUMAN RESOURCES**

Disposition: PERMANENT RECORD.

#### **POLICIES AND PROCEDURES**

Disposition: PERMANENT RECORD.

#### **Records documenting various meetings within the county office**

Disposition: Temporary Record. Retain 3 years after the records were created.

#### **Recordings of Meetings**

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

#### **County Board of Human Resources Appointment Files**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term expires.

### **Administering Adult Protective Services**

#### **Reports of Adults Suspected to be Abused, Neglected, or Exploited at Mental Health Facilities**

Disposition: Temporary Record. Retain 10 years after the records were created.  
(Disposition changed from 5 to 10 years for administrative consistency)

#### **Adult Protective Service County Compliance Audit and Review Files**

Disposition: Temporary Record. Retain 10 years after the records were created.

#### **Adult Protective Services Routine Inquiries**

Disposition: Temporary Record. Retain 3 years after the creation of the records.

**Adult Foster Home Provider Files (Clients Placed)**

Disposition: Temporary Record. Retain 10 years after the provider is no longer in service.

**Adult Foster Home Provider Files (No Clients Placed)**

Disposition: Temporary Record. Retain 5 years after final contact.

**Adult Protective Service Files (Client Files)**

- a. Client files if the client no longer needs service  
Disposition: Temporary Record. Retain 75 years.
- b. Client files after the client is deceased  
Disposition: Temporary Record. Retain 5 years.

**Weekly Homemakers Progress Reports**

Disposition: Temporary Record. Retain 3 years after the records were created.

**Administering Children's Welfare Services**

**ADOPTION FILES**

Disposition: PERMANENT RECORD.

**INTERSTATE COMPACT PLACEMENT OF CHILDREN FILES**

Disposition: PERMANENT RECORD.

**INDEPENDENT ADOPTION RECORDS**

Disposition: PERMANENT RECORD.

**Adoption Files with No Placement**

Disposition: Temporary Record. Retain 75 years after the case is closed.

**Child Foster Home Resource Files (Provider Files –Clients Placed)**

Disposition: Temporary Record. Retain 75 years after the case is closed.

**Child Foster Home Resource Files (Provider Files --No Clients Ever Placed)**

Disposition: Temporary Record. Retain 5 years after the case is closed.

**Child Foster Care Records (Client Files)**

Disposition: Temporary Record. Retain 75 years after the case is closed.

**Child Placement Agencies (Resource Files)**

Disposition: Temporary Record. Retain 75 years after the closing of the facility.

**Group Homes, Child Care Institutions and Shelters (Resource Files)**

Disposition: Temporary Record. Retain 75 years after the closing of the facility.

**Foster Children Medicaid Eligibility Case Files**

Disposition: Temporary Record. Retain 5 years after the case is closed.

**Constituent Inquiry/Contact Files**

Disposition: Temporary Record. Retain 5 years after the records were created.

**Child Preventative Service Case Files**

Disposition: Temporary Record. Retain 25 years after the records were created.

**Children Abuse and Neglect Files**

Disposition: Temporary Record. Retain 75 years after the case is closed.

**Monthly Population Reports**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year.

**Enforcing Child Support**

**District Attorney Contract Files**

Disposition: Temporary Record. Retain 1 year after audit.

**District Attorney Budget Files**

Disposition: Temporary Record. Retain 1 year after audit.

**District Attorney Reimbursement Files**

Disposition: Temporary Record. Retain 1 year after audit.

**Child Support Administrative Hearing Files**

Disposition: Temporary Record. Retain 5 years from the date of decision.

**Child Support Enforcement Case Files**

Disposition: Temporary Record. Retain 5 years after the case is closed.

**Administering Food Assistance Program**

**Food Assistance Program Policies and Procedures**

Disposition: Temporary Record. Retain 3 years after the records were superseded

**Performance Reporting System Files**

Disposition: Temporary Record. Retain 3 years after the records were created.

**Financial Records, Supporting Documents, Statistical Records, Negotiated Contracts, and Other Records Pertinent to Program Fund**

Disposition: Temporary Record. Retain 1 year after audit.

**Food Assistance Eligibility Case Files**

Disposition: Temporary Record. Retain 1 year after audit.

**Food Assistance Over-Issuance/Claim Files (Non-Fraud)**

Disposition: Temporary Record. Retain 1 year after audit after the claim was paid out, individual's death, or collection termination (this retention would also apply to cases where claim has been transferred to another adult household member).

**Food Assistance Over-Issuance/Claim Files (Fraud)**

Disposition: Temporary Record. Retain indefinitely or until the department has evidence of individual's death (this retention would also apply to cases where claim has been transferred to another adult for collection).

**Food Assistance Disqualification Records (Non-Fraud)**

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the decision was made.

**Food Assistance Disqualification Records (Fraud)**

Disposition: Temporary Record. Retain indefinitely or until the department has evidence of individual's death.

**Providing Family Assistance**

**Program, Policies, and Procedures**

Disposition: Temporary Record. Retain 3 years after the records were superseded.

**Electronic Benefits Transfer Exception/Error Reports**

Disposition: Temporary Record. Retain 5 years after the records were created.

**Federal Program Reports**

Disposition: Temporary Record. Retain 3 years after the records were created.

**Family Assistance Fair Hearing Files**

Disposition: Temporary Record. Retain 5 years from the date of decision.

**Family Assistance Case Files**

Disposition: Temporary Record. Retain 5 years after last contact with the client.

**Jobs Case Files**

Disposition: Temporary Record. Retain 5 years after last contact with the client.

**State Supplementation Case Files**

Disposition: Temporary Record. Retain 5 years after last contact with the client.

**Aid to Family with Dependent Children (AFDC) Case Files**

Disposition: Temporary Record. Retain 5 years after last contact with the client.

### **Kinship Case Files**

Disposition: Temporary Record. Retain 5 years after last contact with the client.

## **Regulating Child/Adult Care Facilities**

### **Day Care Center Licensing Files**

Disposition: Temporary Record. Retain 10 years after facility closure.

### **Exempt Church Files**

Disposition: Temporary Record. Retain 10 years after facility closure.

### **Day Care Home Licensing Files (County Offices have the Closed Homes. Current Homes are with the State Office)**

Disposition: Temporary Record. Retain 10 years after facility closure.

### **Rosters of Day Care Homes**

Disposition: Temporary Record. Retain 3 years after the records were created.

## **Ensuring Quality Control & Program Integrity**

### **QUALITY ASSURANCE REVIEW FILES**

- a. CASE REVIEW WRITE-UPS, RATING SHEETS, AND DEMOGRAPHIC DATA  
Disposition: PERMANENT RECORD.
- b. Completed Case Review Protocol  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

### **Food Assistance Over-Issuance/Claim Files (Fraud)**

Disposition: Temporary Record. Retain indefinitely or until the department has evidence of individual's death (this retention would also apply to cases where claim has been transferred to another adult for collection).

### **Monthly Food Assistance Quality Control Review Files and Statistical Analysis**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the final federal financial report was submitted.

### **Temporary Assistance for Needy Families (TANF) Quality Control Review Files and Statistical Analysis**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the final federal financial report was submitted.

### **Program Provider or Employee Fraud Investigation Files**

Disposition: Temporary Record. Retain 4 years after the case is closed.

**Records documenting financial audits on the agency's county offices and local program contracted providers**

Disposition: Temporary Record. Retain 10 years after the completion of the audit.

**County DHR Child Support Audit Files**

Disposition: Temporary Record. Retain 10 years after the completion of the audit.

**DHR Contract Audits**

Disposition Temporary Record. Retain 10 years after the completion of the audit.

**Criminal History Closed Case Files**

Disposition: Temporary Record. Retain 5 years after the case is closed.

**Overseeing Field Administration and Training**

**County Administrative Operation Files**

Disposition: Temporary Record. Retain 3 years after the records were created.

**County Group Home Civil Rights/Equal Employment Audit and Compliance Review Files**

Disposition: Temporary Record. Retain 5 years after the records were created.

**County Food Assistance Program Civil Rights/Equal Employment Audit and Compliance Review Files**

Disposition: Temporary Record. Retain 5 years after the records were created.

**Employee Civil Rights/Equal Employment Complaint and Investigation Files**

Disposition: Temporary Record. Retain 5 years after the case is closed.

**Day Care Facility Civil Rights/Equal Employment Complaint and Investigation Files**

Disposition: Temporary Record. Retain 5 years after the case is closed.

**County Office Incident Reports**

Disposition: Temporary Record. Retain 3 years after the case is closed.

**County Volunteer Liability Insurance Registration Files**

Disposition: Temporary Record. Retain 3 years after the records were created.

**Administering Internal Operations: Managing the Agency**

**ADMINISTRATIVE FILES**

Disposition: PERMANENT RECORD.

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

Disposition: PERMANENT RECORD.

(ADAH staff capture and preserve the agency's website(s) and other social media sites via a service offered by the Internet Archive [Archive It]. Any content behind a password protected

page or login would not be captured by ADAH. Check with the ADAH website at [www.archive-it.org/organizations/62](http://www.archive-it.org/organizations/62) to ensure your agency's website(s) and social media site(s) are captured and preserved. If your agency's website(s) and social media site(s) are not captured by the service, please contact the Government Services Division at 334-242-4452 to get them included.)

### **NEWS RELEASES**

Disposition: PERMANENT RECORD.

### **PHOTOGRAPHS**

Disposition: PERMANENT RECORD.

### **AUDIO-VISUAL PRESENTATIONS**

Disposition: PERMANENT RECORD.

### **SPEECHES OF THE STATE COMMISSIONER OF HUMAN RESOURCES**

Disposition: PERMANENT RECORD.

### **PUBLICITY/INFORMATIONAL MATERIALS**

Disposition: PERMANENT RECORD.

### **State Board of Human Resources Appointment Files**

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the term expires.

### **Division/Office Policies and Procedural Standards**

Disposition: Temporary Record. Retain until superseded.

### **Administrative Reference Files (materials not created by the agency, collected and used only as reference sources of information)**

Disposition: Temporary Record. Retain for useful life.

### **Routine Correspondence**

Disposition: Temporary Record. Retain 3 years after the records were created.

### **Newspaper Clippings**

Disposition: Temporary Record. Retain 1 year.

### **Mailing Lists**

Disposition: Temporary Record. Retain for useful life.

### **Shipping Records**

Disposition: Temporary Record. Retain 1 year after audit.

### **Telephone Logs/Calendars**

Disposition: Temporary Record. Retain 3 year after the end of the calendar year in which the records were created.

## **Agenda and Minutes**

- a. Records documenting meetings of subsidiary committees within the agency  
Disposition: Temporary Record. Retain 3 years after the records were created.
- b. Recordings of Meetings  
Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

## **Planning Files**

Disposition: Temporary Record. Retain until superseded.

## **Reports**

- a. ANNUAL REPORTS  
Disposition: PERMANENT RECORD.
- b. Records documenting reporting of activities by division or county office on a periodic basis  
Disposition: Temporary Record. Retain a record copy 3 years after the end of the fiscal year in which the records were created.
- c. Other summarized statistical and/or narrative reports  
Disposition: Temporary Record. Retain a record copy 3 years after creation of the annual report.

## **Attorney General Informal Legal Opinions**

Disposition: Temporary Record. Retain for useful life.

## **Legislative Files (drafts of proposed department-sponsored legislation, tracking files)**

Disposition: Temporary Record. Retain for useful life.

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

Disposition: Temporary Record. Retain 1 year after audit.

## **Copy of RDA**

Disposition: Temporary Record. Retain 1 year after the audit for the fiscal year in which the RDA was superseded.

## **Master Statistical Table Files**

Disposition: Temporary Record. Retain 3 years after the records were created.

## **Records documenting hearings conducted in accordance with the Administrative Procedures Act**



Disposition: Temporary Record. Retain 5 years after the case is closed.

## **Administering Internal Operations: Providing Computer Services**

**System Documentation** (project/program files and specifications, computer planning/scheduling /configuration, design/requirement documentation, implementation plans, hardware manuals and diskettes, 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.

**Software Documentation** (software manuals and diskettes, application description and function, warranties, licenses, and configurations)

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.

**Program Databases** (databases developed and used for program benefit eligibility determination, service delivery, quality control or criminal background tracking, staff/provider training, and other work related activities, such as help desk database)

Disposition: Temporary Record. Retain until superseded.

**Computer Printouts/Reports** (online and batch processing reports, job control language reports program/project status, statistics, and impact analysis, etc.)

Disposition: Temporary Record. Retain for useful life.

### **Computer Job Logs**

Disposition: Temporary Record. Retain 1 year.

**Records documenting computer program change requests/solutions, problem reports/solutions, work sampling, and new program requests, etc.**

Disposition: Temporary Record. Retain until issues are completed and resolved.

### **Computer and Internet User Access Agreements and Security Records**

Disposition: Temporary Record. Retain until superseded.

**FTI/SSA audit and event logs (audit logs and windows event logs on systems storing, processing or transmitting FTI or SSA data including both paper and electronic data)**

Disposition: Temporary Record. Retain 7 years.

**Computer system documentation (hardware/software manuals and diskettes, and warranties)**

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

## **Administering Internal Operations: Providing Legal Services**

### **Legal Litigation Files**

- a. LEGAL LITIGATION CASE RELATING TO THE TERMINATION OF PARENTAL RIGHTS AND CHILD CUSTODY APPEALS  
Disposition: PERMANENT RECORD.
- b. LEGAL LITIGATION CASE FILES RELATING TO LANDMARK CASES THAT HAVE IMPORTANT HISTORICAL VALUE OR LONG-TERM IMPACT  
Disposition: PERMANENT RECORD.
- c. Other Legal Litigation Files  
Disposition: Temporary Record. Retain 10 years after the final disposition of the case.

### **Administrative Codes**

Disposition: Temporary Record. Retain 10 years after they have been superseded.

### **Board of Adjustment Files**

Disposition: Temporary Record. Retain 5 years after the final disposition of the case.

### **Contract Files**

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

### **Approved Attorney Contract Package**

Disposition: Temporary Record. Retain 3 years after the expiration of the contract.

### **Child Support Legal Case Files**

Disposition: Temporary Record. Retain 2 years after age of majority of the youngest child.

### **Legal Subject Files**

Disposition: Temporary Record. Retain for useful life.

### **Bankruptcy Case Files**

Disposition: Temporary Record. Retain 10 years after the disposition of the case.

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

### **Records documenting grants**

- a. GRANT PROJECT FINAL REPORTS  
Disposition: PERMANENT RECORD.
- b. Records documenting routine grant activities and compliance with grant program requirements  
Disposition: Temporary Record. Retain 1 year after audit.

**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 audit.

**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 audit.

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

These records document the bid process, including requests for proposals and unsuccessful responses.

a. Sealed Bids over \$15,000:

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened. (Code of Alabama 1975, Section 41-16-24).

b. Other Bids:

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

**Records of original entry such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and canceled checks**

Disposition: Temporary Record. Retain 1 year after audit.

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

Disposition: Temporary Record. Retain 1 year after audit.

**Electronic Benefits Transfer (EBT) Exception /Error Reports.**

Disposition: Temporary Record. Retain 5 years after the records were created.

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

Disposition: Temporary Record. Retain 6 years after expiration of contract. (Code of Alabama, Section 6-2-34).

**Agency Audit Reports**

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

**Internal Audit Files**

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

**Postage Recapitulations**

Disposition: Temporary Record. Retain 10 years after the records were created.

**County Closeout Reports**

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

**Request for Tax Information Files**

Disposition: Temporary Record. Retain 3 years after the records were created.

**Administering Internal Operations: Managing Human Resources**

**Records documenting job recruitment**

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

**Position Classification Files**

Disposition: Temporary Record. Retain 4 years after position is reclassified.

**Records documenting job description**

Disposition: Temporary Record. Retain until superseded.

**Certification/Personnel Transaction Files**

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

**Records documenting application for employment**

Disposition: Temporary Record. Retain 1 year after request.

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

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

**Personnel records maintained within divisions or offices**

Disposition: Temporary Record. Retain 1 year after separation of employee from the agency.

**Employment Register Copy Files**

Disposition: Temporary Record. Retain 4 years after the records were created.

**Request for Employment Register Files**

Disposition: Temporary Record. Retain 4 years after the records were created.

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

Disposition: Temporary Record. Retain 1 year after audit.

**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 audit.

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

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting sick leave donations**

Disposition: Temporary Record. Retain 1 year after audit.

**Records documenting final leave status**

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

**Records documenting verification of accuracy of State Personnel Department records**

Disposition: Temporary Record. Retain for useful life.

**State Employees Injury Compensation Trust Fund Files**

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

**Worker Compensation Injury and Settlement Reports**

Disposition: Temporary Record. Retain 12 years after the end of the fiscal year in which the transaction occurred. (Code of Alabama 1975, Section 25-5-4.)

**Employee Flexible Benefits Plan Files (applications and correspondence)**

Disposition: Temporary Record. Retain 1 year after termination of participation in program.

**Employee Training Files**

Disposition: Temporary Record. Retain 3 years after the training.

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

a. Compliance Records

Disposition: Temporary Record. Retain 3 years after the close of the program year.

b. Complaint Records

Disposition: Temporary Record. Retain 3 years from the date of resolution of the complaints.

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

### **Real Property Leasing/Rental Records**

Disposition: Temporary Record. Retain 6 years after termination of lease or rental agreement.

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

Disposition: Temporary Record. Retain 4 years after the end of the fiscal year in which the records were created.

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

Disposition: Temporary Record. Retain 4 years after the end of the fiscal year in which the records were created.

### **Receipts of Responsibility for Property**

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

### **Records documenting security of facilities**

- a. Records documenting routine administrative functions of security  
Disposition: Temporary Record. Retain 4 years after the end of the fiscal year in which the records were created.
- b. Records documenting incidents occurring on facilities  
Disposition: Temporary Record. Retain 4 years after resolution of incident.

### **Records documenting maintenance of vehicle and equipment**

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

### **Records documenting use of the Motor Pool**

Disposition: Temporary Record. Retain 1 year after audit.

# **Requirement and Recommendations for Implementing the Records Disposition Authority**

## **Requirement**

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

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

## **Recommendations**

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

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

Permanent records in the Agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.

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

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

Electronic mail contains permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the

office should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the Agency and inspect records destruction documentation. Agency records managers and/or the ADAH archivists are available to instruct the staff in RDA implementation and otherwise assist the Agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on October 26, 2016.

\_\_\_\_\_  
Steve Murray, Chairman,  
State Records Commission

\_\_\_\_\_  
Date

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

\_\_\_\_\_  
Nancy T. Buckner, Commissioner  
Department of Human Resources

\_\_\_\_\_  
Date