

Alabama Department of Public Safety

Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
April 26, 2002**

Table of Contents

Functional and Organizational Analysis of the Department of Public Safety	<u>1-1</u>
Sources of Information	<u>1-1</u>
Agency Organization	<u>1-2</u>
Historical Context	<u>1-2</u>
Agency Function and Subfunctions	<u>1-4</u>
Promulgating Rules and Regulations	<u>1-4</u>
Licensing	<u>1-4</u>
Enforcing Laws, Arresting, and Detaining	<u>1-5</u>
Investigating	<u>1-6</u>
Collecting and Analyzing Information	<u>1-6</u>
Training Law Enforcement Personnel	<u>1-7</u>
Building Public Awareness	<u>1-8</u>
Administering Internal Operations	<u>1-8</u>
Organizational Chart	<u>1-9</u>
Analysis of Record Keeping System and Records Appraisal of the Department of Public Safety	<u>2-1</u>
Agency Record Keeping System	<u>2-1</u>
Records Appraisal	<u>2-2</u>
Temporary Records	<u>2-2</u>
Permanent Records	<u>2-3</u>
Permanent Records List	<u>2-7</u>
Department of Public Safety Disposition Authority	<u>3-1</u>
Explanation of Records Requirements	<u>3-1</u>
Records Disposition Requirements	<u>3-2</u>
Promulgating Rules and Regulations	<u>3-2</u>
Licensing	<u>3-2</u>
Enforcing Laws, Arresting, and Detaining	<u>3-4</u>
Investigating	<u>3-8</u>
Collecting and Analyzing Information	<u>3-8</u>
Building Public Awareness	<u>3-9</u>
Training Law Enforcement Personnel	<u>3-10</u>
Administering Internal Operations	<u>3-11</u>
Approval of Records Disposition Authority	<u>3-19</u>

Functional and Organizational Analysis of the Department of Public Safety

Sources of Information

Representatives of the Department of Public Safety

Drivers License Division

Major Roscoe Howell, Division Chief
Alma Fountain, Driver Improvement
Lt. Burns, Examining
Sgt. Terry Chapman, Examining
Kurt Turling, Information Services
Capt. Floyd A. Bingham, Records Management
Becky Weldon, Records Management
Sgt. Taylor, Safety Responsibility
Joyce Barrett, Safety Responsibility

Alabama Bureau of Investigation

Major Ken Hallford, Division Chief
Lt. David L. Duke, Operations Officer
Lynn Granger, Operations
Sara Hollon, Operations
Sgt. William Guy,
Sgt. Anthony Burton, Criminal Information Center
James E. Potts, Identification
Lt. Gerome Grant, Investigative Support Service

Administrative Division

Major G. F. Deese, Division Chief
Sgt. Nathaniel Wright, Executive Security Unit
Michael Robinson, Legal
Robert Morrow, Legal
Wanda Speight, Personnel Management
Lt. Hugh McCall, Public Information/Education
Fran Copeland, Financial Service
Capt. Agatha Windsor, Planning and Research
William Shanks, Planning and Research
Rosemary Perdue, Planning and Research
Capt. Jerry Ogletree, Audit and Inspections
Lt. Greg Griffin, Audit and Inspections

Service Division

Major Cecil McElvaine, Division Chief
Lt. David Lashley, Criminal Justice Training Center
Kristopher Hecton, Aviation
William Graham, Communications Engineering
Johnny Hartley, Fleet Maintenance

Tom Bryant, Supply
Cpl. Randy Byrd, Supply
Lt. Wright, Planning and Logistics
Highway Patrol Division
Troop B, Birmingham
Troop D, Dothan and Mobile
Troop C, Montgomery and Opelika
Troop A, Decatur

Code of Alabama 1975, Title 32

Alabama Administrative Code, Chapter 760

Code of Federal Regulations, Title 28

Alabama Government Manual (1994)

Government Records Division, State Agency Files (1985-ongoing)

Government Records Division, Agency History

Holdings of the Department of Archives and History for the Department of Public Safety

Department of Public Safety Records Schedules

Department of Public Safety Audit Report for October 1, 1993 through September 30, 1997

Agency Organization

The governor appoints a director for the department, who employs all necessary employees. Currently, the department consists of the following five divisions, each of which is headed by an officer with the rank of Major: Administrative Division, which provides services to the other divisions of the department; Service Division, which provides logistical support for the department; Highway Patrol Division, which enforces the laws relating to the use of motor vehicles on state and county roads as well as enforcing certain other statutes; Driver License Division, which enforces driver license laws and the Safety Responsibility Act; and the Alabama Bureau of Investigation, which conducts criminal investigations at the request of the department and other state agencies. This division also investigates illegal drug activity and enforces the Alabama Uniform Controlled Substance Act and other laws pertaining to the use, sale, possession, manufacture, growth, transport, and diversion of controlled substances. An organizational chart is attached.

Historical Context

In the early 1930's, there were only two "highway officers" in the state. These two officers were appointed under Governor Benjamin Miller's administration and worked out of the State Highway Department. Ten more highway officers were added during Governor Miller's term, but there was no statewide law enforcement agency. On December 5, 1935, Governor Graves created the Alabama Highway Patrol, consisting of the original twelve highway officers and soon another sixty-two officers. Early highway patrol officers focused on assisting motorists, getting drunk drivers off the roads, issuing driver licenses, and exercising their authority to enforce the law.

Many laws and executive orders have affected the department and its activities. In 1935, the legislature mandated that each driver buy a license for fifty cents. The proceeds were earmarked to

pay for highway patrol equipment and salaries. A bill approved by the legislature and signed by Governor Frank M. Dixon on March 8, 1939, reorganized the Highway Patrol and renamed it the Alabama Department of Public Safety with a director as its chief administrator and four divisions. Soon applicants for drivers licenses were required to pass a test prior to the issuance of a driver license.

During World War II, the department's Investigation and Identification Division assisted the Selective Service System in locating military personnel who were away without leave. The division traditionally conducted investigations and made reports to the department, governor, attorney general, and other state departments. In 1945, an executive order of Governor Sparks renamed the Alcoholic Beverage Control Board, created by the legislature in 1937, as the Alcoholic Beverage Law Enforcement Division under the supervision of the Department of Public Safety. The board, and then the division, was authorized to buy, manufacture, and sell alcoholic beverages; control the possession, sale, transportation, and delivery of alcoholic beverages; and determine the localities for operation of state stores. Governor Folsom moved the Alcoholic Beverage Law Enforcement Division out of the department in 1947.

In 1943, the legislature required all drivers involved in motor vehicle accidents to submit written reports to the department's director. Also in 1943, Governor Chauncey Sparks issued an executive order that abolished all existing ranks in the department and replaced them with the new classifications of senior highway patrolman and principal highway patrolman. In 1947, Governor Folsom abolished the classifications of senior and principal highway patrolmen and reinstated the rank system of captain, lieutenant, sergeant, and corporal.

The legislature reorganized the department under Act 585 of 1953, which provided a legislative mandate for the Department of Public Safety. In 1963, Governor George C. Wallace approved the change of the name of highway patrol officers to state troopers. The state troopers were called upon to assist with maintaining the peace during the early 1960s. In 1966, the department organized four disaster control groups to respond as a highly mobile, special force.

In 1979, the legislature established the Medical Advisory Board to make recommendations regarding the issuing of licenses to individuals with physical or psychological problems that may affect their ability to drive. In the 1980s, the legislature enacted legislation requiring the mandatory use of child restraints in motor vehicles by children under the age of three. Other legislation strengthened the Driving Under the Influence (DUI) law to help combat the incidence of drunk driving. In 1985, the department began to focus on handling explosive and other hazardous materials through the Hazardous Response Team, and on missing children through the Missing Children Bureau. The Federal Commercial Vehicle Safety Act of 1986 and the Motor Carrier Safety Assistance Program begun in 1987, led the department to increase efforts to regulate commercial drivers and reduce the incidence of commercial vehicle involvement in traffic accidents. Beginning in 1990, the department began testing and licensing commercial drivers under the Uniform Commercial Driver License Act. The legislature passed the Alabama Safety Belt Use Act in 1991, requiring the use of seatbelts.

In 1972, Judge Frank M. Johnson ruled in the Paradise case that the department must hire one black

trooper for each white hired until 25 percent of the force was black. In 1988, U.S. District Judge Myron Thompson approved a settlement in this federal court case regarding hiring and promotion practices of the department, which resulted in changes in the department's procedures. The Paradise case ended on May 19, 1995, when it was determined that the provisions of the settlement had been met.

Agency Function and Subfunctions

The mandated functions of the Department of Public Safety are to enforce laws relating to the use of state highways and to investigate certain criminal activities in the state. The department is one of the agencies responsible for performing the Regulatory function and the Law Enforcement and Emergency Powers function of Alabama government.

In the performance of its mandated functions, the department may engage in the following subfunctions.

- **Promulgating Rules and Regulations.** The director of the department, with the approval of the governor, may establish and promulgate reasonable rules and regulations not in conflict with the laws of the state concerning operation of motor vehicles and concerning the enforcement of applicable laws (Code of Alabama 1975, Section 32-2-9).

- **Licensing.** The department licenses commercial and noncommercial drivers in the state. Licenses are available for automobiles, motorcycles, and boats. Applicants for automobile licenses must pass a written examination as well as a driving test. Applicants for a motorcycle or boater license need only pass a written test. Licenses must be renewed every four years. License examiners administer the examinations and collect applicable fees. The probate judge's office in each county assists in administering renewals and in taking the photographs for licenses.

The department can suspend and revoke licenses. In some instances, a license may be suspended for medical reasons after the review of a driver's medical history. A hearing officer hears appeals of suspensions and revocations of licenses as well as refusals to issue a license. After careful review of the hearing file, the chief hearing officer or designated reviewer makes the final determination based upon statutory law.

Drivers involved in accidents with property damage in excess of \$200 must fill out an accident report and mail it to the department. Information is entered from the report (SR-13) into the Financial Responsibility Information System (FRIS), along with information regarding who was at fault. If an individual is held responsible for damages, proof of payment must be shown. If payment is not made, FRIS will suspend the license of the responsible party. In some instances, the matter goes before a judge who issues a judgement.

- **Enforcing Laws, Arresting, and Detaining.** The department is responsible for

executing laws, detaining persons accused of crimes, and suppressing insurrection.

The majority of the department's activities relating to enforcing laws involves patrolling the highways of the state. Troopers write warnings or citations for violations of traffic laws (the most common being speeding, driving under influence of alcohol, driving without a license or with a revoked/suspended license, improper tag, lack of child restraint, and seat belt violation) and arrest serious violators when applicable. No person can be accused, arrested, or detained, except in cases ascertained by law, without a judge issuing a warrant. The department is also responsible for commercial motor vehicle law enforcement within the state, which includes weighing trucks at selected sites across the state, and conducting inspections.

The department's personnel also coordinate all protection details for public officials of the state and certain other persons and assist in directing traffic at some large sporting events and other special events.

The department is responsible for assisting in the enforcement of state and federal controlled substance acts and related laws. Staff members provide investigative, intelligence, and analytical support to local, state, and federal agencies. The Federal Office of National Drug Control Policy declared the states of Alabama, Mississippi, and Louisiana a high intensity drug trafficking area because the three states serve as a gateway for drugs entering the United States through seven deepwater ports and thousands of miles of un-patrolled coastlines and waterways. Several major highway systems and a multitude of commercial and private airports serve as transit or staging zones for drugs destined for other areas. Violent drug trafficking groups have developed markets in these states and have created significant drug distribution networks leading to drug-related crimes and social problems. The Alabama high intensity drug trafficking area includes Baldwin, Jefferson, Mobile, and Montgomery counties. The department, in conjunction with local, state, and federal agencies focuses on decreasing the supply of illegal drugs and related crimes while coordinating demand reduction strategies.

The department, in conjunction with local law enforcement agencies and the Alabama National Guard, also strives to eradicate the illegal creation and production of drugs within the state, especially marijuana. Eradication teams consisting of an ABI narcotic operations agent, the Department of Public Safety Aviation unit, and Alabama National Guard helicopters and flight crews fly over each county at least twice during the growing season and more often as needed. Ground support is provided by National Guard members and local law enforcement officers.

The department is responsible for coordinating the transfer of excess military equipment to federal, state, county, and local law enforcement agencies enforcing counter-drug laws in Alabama. The department stores some of the commonly requested equipment at its warehouse. Items issued have included body armor, protective helmets, boots, clothing, night vision devices, sleeping bags, water coolers, trucks, cars, and armored vehicles. The department is also responsible for monthly inspections and maintenance of 233 evidentiary

alcohol breath-testing instruments located at various law enforcement agencies throughout the state.

- **Investigating.** The Alabama Bureau of Investigation (ABI) is the investigative arm of the department. It provides investigative assistance to municipal, county, state, federal, and foreign law enforcement agencies. The department is responsible for the identification, infiltration, investigation, and prosecution of individuals, career criminals, and organizations devoted to criminal enterprises or violent crimes in Alabama. In addition to field investigations of violent crimes and narcotic violations, ABI assists in crime scene searches; recovery and identification of latent fingerprints; polygraph examinations; and the maintenance, dissemination, and analysis of criminal history information. The department also conducts background checks of state trooper applicants, and other law enforcement and state merit and non-merit applicants in state government upon request.

The department's Technical Services Team (TST) is responsible for providing electronic surveillance and explosive ordinance disposal support to the department and any agencies lacking this expertise. TST personnel provide this support through the utilization of sophisticated electronic surveillance equipment, remote controlled robots, and specialized canine support.

The Traffic Homicide Unit investigates automobile crashes in which criminal charges of a surviving driver are indicated. Many of the cases involve intoxicated drivers who cause death or serious injury. Local district attorneys prosecute the cases with the assistance of the primary investigating officer.

- **Collecting and Analyzing Information.** The Criminal Information Center (CIC) of the ABI collects, evaluates, collates, reports, and disseminates criminal intelligence data received from numerous sources. CIC coordinates the indexing of case data into the mainframe computer located in CIC and personal computers located throughout ABI and the other divisions. Reports are filed via computer, providing the speedy documentation necessary for the effective storage, retrieval, and sharing of information. CIC functions as the department's link with the Gulf States Initiative, with computerized networking of Alabama, Georgia, Mississippi, and Louisiana for collecting and sharing information on narcotic trafficking. This enhances the automation of current data in CIC, as well as future data generated by the department.

The Alabama Intelligence Network (AIN), funded by the Alabama Department of Economic and Community Affairs (ADECA) and coordinated through CIC, is an effective intelligence gathering program available to all law enforcement agencies. AIN has improved communication, coordination, analysis, and exchange of narcotic and crime-related information among the local drug task forces funded by ADECA and is the first operation utilizing this concept in the United States.

The CIC also functions as the state's repository for information on children and other persons missing in Alabama and other states. Staff members work with national and state agencies

to provide resources to locate and recover missing children and assist in identifying living and deceased persons.

The department contributes to the national Fatality Analysis Reporting System (FARS), by reporting information on all fatal car crashes occurring on Alabama roadways. Alabama is part of the FARS network, along with all other states, the District of Columbia, and Puerto Rico.

The INTERPOL Liaison Network coordinates international law enforcement case information and requests for investigative assistance, and facilitates requests among network members, federal law enforcement organizations and foreign countries. The point of contact in Alabama for this liaison network is the ABI.

The department maintains fingerprint files on persons arrested in Alabama and maintains repeat offender files and arrest dispositions, classifies fingerprint cards, and provides criminal history information to law enforcement agencies throughout the nation. Approximately 300 arresting and judicial agencies in Alabama submit criminal history information to the department.

The department processes crime scene evidence for latent fingerprints and compares these prints with prints of individuals who may have been at the scene of the crime.

- **Training Law Enforcement Personnel.** The department provides training for law enforcement personnel of the department and of other law enforcement and government agencies at its Criminal Justice Training Center in Selma. The center provides in-service training to all of the department's arresting officers following curricula developed by the Training and Career Development Board. Topics include advanced firearm training, legal issues update, and defensive/highway response driver training.

The center also offers courses in field sobriety testing, breath-testing instrument training, traffic homicide investigation, highway response course, Horizontal Gaze Nystagmus training (technique that assists in identification of drivers under the influence of alcohol), juvenile probation officer training, defensive tactics, field training, officer retraining, Stinger road spike training, Peace Officer's Standards and Training Commission (POSTC) physical ability/agility training, training of trainers, EVOC training, Incident/Offense arrest report school, special operations, case management, state government orientation seminar, commercial driver license (CDL) certification, accident reconstruction, Honor Guard retraining, highway interdiction, polygraph school, junior police academy, and SWAT training.

The training center also manages the Criminal Justice Training Library. The library assists law enforcement agencies in meeting training needs by lending films, videos, and books and by researching law enforcement related questions. Colleges, professional educational and training programs, high schools and elementary schools, and the public also use the library.

- **Building Public Awareness.** The department provides information to the public, media, and law enforcement concerning departmental operations and all aspects of law enforcement and traffic safety; and conducts safety programs and campaigns. The department creates a newsletter, The “Blue Light,” and provides audio and videotape production, duplication, and enhancement services for other police agencies upon request.
- **Administering Internal Operations.** A significant portion of the agency’s activities include general administrative, financial, and personnel activities geared toward the internal functioning of the agency. These administrative duties are grouped together under the subfunction Administering Internal Operations. Administering Internal Operations includes the following groups of activities:

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; drafting, promoting, or tracking legislation; publicizing and providing information; managing records, and managing information systems and technology.

Managing Finances: Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department; documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency’s budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; assisting in the audit process; investing; and issuing bonds.

Managing Human Resources: Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees, such as leave, health insurance, unemployment compensation, worker’s compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, promoting, 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; constructing buildings and facilities; leasing and/or renting offices or facilities; providing security for property owned by the agency; insuring property; and assigning, inspecting and maintaining agency property, including vehicles.

Attachment: Organizational Chart

Analysis of Record Keeping System and Records Appraisal of the Department of Public Safety

Agency Record Keeping System

The department operates a hybrid system composed of computer systems, microfilm, and paper record-keeping.

Computer Systems: The department's programming staff members maintain a variety of software supporting activities such as driver license issuance, driver improvement functions, safety responsibility actions, commercial driver automated testing, and applicant processing. The department also provides electronic driver license information to law enforcement agencies throughout Alabama and the nation. The Unified Network Interface system allows driver license personnel and motor carrier inspection staff to access commercial driver information through a national link and provides an effective exchange of citation and driver history.

The computer system includes mainframe applications which interface essential services with the Finance Department. Information is also provided for other state functions, including voter registration, risk management, revenue, human resources, education, conservation, criminal justice, and the state courts.

The department's information unit provides support for local area networks, including an optical imaging network that enables the Driver License Division to manage all medical records. The unit maintains and supports several operating systems, including minicomputers, laptop computers, personal computers with printer, hand-held pin-based computers, mainframe terminals, mainframe printers, and terminal controllers. These systems are set up for department facilities across the state.

The Alabama Fingerprint Identification System (AFIS) is a computer system that analyzes, stores, matches, and retrieves fingerprint images and the matching features of images. AFIS increases the ability to identify suspects quickly and provides efficient management of more than 640,000 fingerprint cards. After a crime occurs, a latent fingerprint recovered from the crime scene is electronically scanned into the AFIS computer, where it is compared with approximately 5.2 million fingerprint images. The result of the scan is verified by a certified latent print examiner to confirm any identifications.

Microfilm: The department utilizes an in-house microfilm operation to reformat numerous records. In many instance both the paper and microfilm are kept. Some paper records are destroyed after verification of the microfilm.

Paper-based System: The department continues to maintain many of its records in paper form.

Records Appraisal

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

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

Licensing

- **Driver License/Non-Driver Identification Files.** These files are created when someone applies for a driver license or a non-driver identification. Records in the file may include the application with examination score, accident reports, school dropout notifications, court corrections, insurance changes, correspondence, and deposit of security. The paper is maintained on open shelves for three to five years and then destroyed after verification of the microfilm, which is recommended to be retained 85 years because of the DUI law, which allows an individual charged with a DUI to have access to his/her driver records. The department will attempt to decrease this retention for the majority of the files.
- **Driver License/Non-Driver Identification Index (database).** When the department receives records that are part of the Driver License/Non-Driver Identification Files, certain information is typed from the record into the Driver License/Non-Driver Identification Index database. The records are grouped into batches as they are received. The records in the batches are each given a number that is also entered into the index for the driver record. This same number is used when the records are eventually microfilmed. The number is displayed on the computer screen when a record is accessed. Staff can use the number to go back to the microfilm to see the actual record instead of just the information that was taken off of the record and entered into the index. Because the index is necessary to access the files on microfilm, it is recommended to be retained 85 years, the same as the files it indexes.
- **Judgments From Court.** When a driver is liable for damages and does not settle, the other party may resort to filing a claim against the liable individual. The court will issue a judgement that sets out the liability and conditions. If the conditions are not met, the department will suspend the license of the liable party. The judgments are necessary for thirty years in case of default, appeal, or the issuance of a new judgment.
- **Records of Drug/Alcohol/Psychological Medical Problems.** These records are created when a driver has long-term medical problems that may affect his/her ability to drive. The department may suspend an individual's driver license for medical reasons until the individual is deemed able to drive by a medical professional and the department. For medical problems associated with drugs, alcohol, and psychological problems, the driver may be allowed to drive with the obligation to take certain medication or refrain from certain activities. Violation of these conditions could result in liability charges. Because the

conditions of reinstatement affect the entire career of a driver, it is necessary to maintain these records 85 years.

Investigating

- **Special Inquiry Investigation Records and Death Investigations Case Files.** These files are created in the course of an investigation dealing with a death or other special case such as shootings involving law enforcement personnel. The case files are microfilmed upon final disposition in court or due to the case being unsolved. The investigation records and case files are retained 80 years due to the possibility that new leads may be developed on a cold or unresolved case, the use of DNA to show innocence, and the possibility of historical value. After the retention period has expired, the records should be examined for possible historical value by the Department of Archives and History prior to destruction. Historical cases would include high profile investigations.
- **Criminal Case Files (not death or special).** Criminal Case Files are created in the course of an investigation of a crime. Older cases are also in microfiche. Newer cases are in an automated digital database. The paper copies are maintained until final judicial action because it is sometimes necessary to go back to the paper file. The microfiche and automated records are maintained 80 years.

Training Law Enforcement Personnel

- **Basic Police Training Records.** These records are created during the course of an officer's training and document the training received and the officer's performance. The records are necessary for 75 years in the event the qualifications of an attendee are questioned.
- **Class Rosters, Class Books, Training Records, Trooper Recruit Training Files, and Veterans Administration Student Files.** These records document the activities of the department regarding recruiting and training. They are summarized in the annual report of the department and are recommended for 75 years retention in the event the qualifications of an attendee are questioned.

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

Promulgating Rules and Regulations

- **Legislative Files.** These files document the department's attempts to affect legislation before the legislature regarding public safety. The files may include correspondence, drafts of legislation, comments on proposed legislation, and requests for legislation. The files are necessary to document actions taken by the department to try and change/maintain laws affecting the safety of the public and how the department and state ensure public safety. (RDA page 3-2) (**Bibliographic Title: Legislative Files**)
- **Departmental Policies and Procedures.** The department's policies and procedures

document how the department interacts with the public. These policies and procedures are based in part on the department's administrative code entry. (RDA page 3-2) **(Bibliographic Title: Policies and Procedures)**

- **Division Head Policy Records.** These records document any policies created by division heads that are not included in the administrative code or in the department's policies and procedures. Many times, division head policies eventually become policies of the department. These records document the evolution of policies. (RDA page 3-2) **(Bibliographic Title: Division Head Policy Records)**

Licensing

Records documenting this subfunction are maintained in the department's annual reports.

Enforcing Laws, Arresting, and Detaining

- **Notices of Mandatory Evacuation.** In the event of a declared emergency, the department may require individuals to evacuate an area. These records document the instances of mandatory evacuation and are necessary to document the state's use of police power when dealing with the public. (RDA page 3-7) **(Bibliographic Title: Notices of Mandatory Evacuation)**

Investigating

Records documenting this subfunction are maintained in the department's annual reports.

Collecting and Analyzing Information

- **Accident Statistical Summaries.** The summaries analyze accidents in Alabama. Different summaries cover different geographical groupings, such as statewide, rural statewide, rural part of each county, and larger cities. Currently the Department of Archives and History has in its custody accident statistical summaries from 1946 to 1957. (RDA page 3-9) **(Bibliographic Title: Annual Summaries of Accident Statistics)**
- **Fatality Listings.** These are cards filed by county and log books with entries by date that give information about each fatality, the accident, and the report number. Beginning in 1991, this information is also maintained on computer. (RDA page 3-9) **(Bibliographic Title: Fatality Listings)**

Building Public Awareness

- **Alabama Accident Summary Files.** These files are comprised of rural and statewide traffic accident statistics maintained for reference and in responding to the public, media, department personnel, and other requests for information. (RDA page 3-9) **(Bibliographic**

Title: Alabama Accident Summary Files)

- **Annual Reports.** The annual reports are summary documentation of the activities of the department. Currently the Department of Archives and History has in its custody annual reports from 1959-1998. (RDA page 3-9) **(Bibliographic Title: Annual Reports)**
- **DUI/Arrest/ Seat Belt Statistics.** These files contain statistics maintained for reference and in responding to the public, media, department personnel, and other agency requests for information.(RDA page 3-9) **(Bibliographic Title: DUI/Arrest/ Seat Belt Statistics)**
- **News Releases.** These records consist of news releases of the department for purposes of recruitment and publicity. They provide useful information documenting the activities of the department. (RDA page 3-10) **(Bibliographic Title: News Releases)**
- **Publications.** These records are created to build public awareness about a variety of issues and department related activities. The publications are necessary to document what the department tells the public and how the department views itself. Currently the Department of Archives and History has in its custody publications from 1939 to 1983. (RDA page 3-10) **(Bibliographic Title: Publications)**
- **Speeches/Photographs.** These records document what the department says to the public in speeches, official activities of the department, and major events where the department is present such as incidents in the 1960's. (RDA page 3-10) **(Bibliographic Title: Speeches; Photographs)**
- **Director's Award Files.** The department gives out awards to members of the department and of the public to recognize meritorious service to the department and/or the state. The records of the awards are necessary to document the meritorious actions by people of the state and the department's reactions to such actions. (RDA page 3-10) **(Bibliographic Title: Director's Award Files)**

Training Law Enforcement Personnel

- **Year Books.** The year books are created for the training center. They document attendees and activities. The year books provide summary information on the attendees and the training center. (RDA page 3-11) **(Bibliographic Title: Year Books)**

Administering Internal Operations

- **Administrative Correspondence of the Department.** These records, which include official correspondence of the department and not correspondence dealing with routine matters, document actions and positions of the department. They are necessary for documenting numerous aspects of law enforcement, especially those actions that become precedent. (RDA page 3-11) **(Bibliographic Title: Correspondence)**
- **Planning Files.** These records are created for strategic planning purposes. The plans show

how the department plans to implement its mandate and are necessary to document how the department plans, the plans created by the department, and the resulting actions. (RDA page 3-11) (**Bibliographic Title: Planning Files**)

- **Agency Internal Policy and Procedure Records.** These records document the internal procedures and policies of the department, as opposed to the policies governing the public. Such internal policies would include taking leave, filing for per diem, use of fire arms, etc. Currently the Department of Archives and History has in its custody policy and procedures records from 1963 to 1991. (RDA page 3-11) (**Bibliographic Title: Internal Policy and Procedure Records**)
- **State and Federal Civil Case Files.** These case files document the legal actions taken against and/or on behalf of the department. They document civil cases that actually make it to court. (RDA page 3-12) (**Bibliographic Title: State and Federal Civil Case Files**)
- **Y2K Plan and Final Report.** The department created comprehensive plans for rendering their computer system compliant with Year 2000 requirements. This record includes the plan and any final report on the success or failure of its implementation. It documents the department's response to a unique global initiative. (RDA page 3-13) (**Bibliographic Title: Plan and Final Reports for Year 2000**)
- **Web Sites.** The department has a website at: www.dps.state.al.us. Information on the web includes agency mission and history, division/office information and directory, various acts/reports, media information, annual reports, weather data, road closure, and employment/recruitment information. The disposition statement calls for retaining a “snap shot” of complete web site information annually or as often as significant changes are made to the site. (RDA page 3-13)

Permanent Records List
Function: Regulatory and Law Enforcement & Emergency Powers
Department of Public Safety

Promulgating Rules and Regulations

1. Legislative Files
2. Departmental Policies and Procedures
3. Division Head Policy Records

Enforcing Laws, Arresting, and Detaining

1. Notices of Mandatory Evacuation

Collecting and Analyzing Information

1. Accident Statistical Summaries
2. Fatality Listings

Building Public Awareness

1. Alabama Accident Summary Files
2. Annual Reports
3. DUI/Arrest/ Seat Belt Statistics
4. News Releases
5. Publications
6. Speeches/Photographs
7. Director's Award Files

Training Law Enforcement Personnel

1. Year Books

Administering Internal Operations

1. Administrative Correspondence of the Department
2. Planning Files
3. Agency Internal Policy and Procedure Records
4. State and Federal Civil Case Files
5. Y2K Plan and Final Report
6. Web Sites

Department of Public Safety 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 Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Department of Public Safety. The RDA lists records created and maintained by the Department of Public Safety in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Department of Public Safety to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, 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 ADAH Government Records Division at (334) 242-4452

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Department of Public Safety records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain records and records-related materials need not be retained as records under the disposition requirements in this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term, internal purposes, 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 agency social activities. They may be disposed of without

documentation of destruction.

Records Disposition Requirements

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

■ **Promulgating Rules and Regulations**

LEGISLATIVE FILES

Disposition: PERMANENT RECORD.

Legislative/Policy/Procedures Reference, Tracking, and Statistical Files

Disposition: Temporary Record. Retain 3 years.

DEPARTMENTAL POLICIES AND PROCEDURES

Disposition: PERMANENT RECORD.

Register of Administrative Procedures Rule Filings

Disposition: Retain in office (Code of Alabama 1975, Section 41-22-6).

DIVISION HEAD POLICY RECORDS

Disposition: PERMANENT RECORD.

■ **Licensing**

Driver License/Non-Driver Identification Files (includes applications)

Disposition: Temporary Record. Records created after 1976: Retain 85 years.

Records (microfilm) created before 1976: Destroy.

Driver License/Non-Driver Identification Index (database)

Disposition: Temporary Record. Retain 85 years.

Driver License Summary Auditor's Report

Disposition: Temporary Record. Retain 1 year.

Transmittal Abstracts of Driver Licenses Sold

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

Returned Notifications of Renewals

Disposition: Temporary Record. Retain 60 days.

Financial Responsibility Records

Disposition: Temporary Record. Retain 5 years.

Judgments From Court

Disposition: Temporary Record. Retain 30 years.

Seat Belt Convictions Submitted by Courts

Disposition: Temporary Record. Retain for useful life.

Records of Physical/Medical Problems

Disposition: Temporary Record. Retain 5 years.

Records of Drug/Alcohol/Psychological Medical Problems

Disposition: Temporary Record. Retain 85 years.

Driver Improvement Insurance Changes

Disposition: Temporary Record. Retain 3 years.

Driver Improvement School Attendance/Dropout Notifications

Disposition: Temporary Record. Retain 4 years.

Driver Improvement Court Corrections

Disposition: Temporary Record. Retain 5 years.

Accident Reports Sent to Driver Improvement and Related Correspondence

Disposition: Temporary Record. Retain 5 years after settlement.

License Applicant Activity Logs

Disposition: Temporary Record. Retain until completion of annual report.

Drivers License Accounting Records

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

Drivers License Written Examinations (Blank)

Disposition: Disposition: Temporary Record. Retain until superseded.

Applicants Written Examinations

Disposition: Temporary Record. Retain until verified by applicant and score recorded on application.

Application File Not Resulting In License

Disposition: Temporary Record. Retain 1 year (application files resulting in license are sent into the department and are listed separately).

Drivers License Appeal Cases

Disposition: Temporary Record. Retain 6 months after final adjudication of the case.

■ **Enforcing Laws, Arresting, and Detaining**

Executive Security Contact Lists

Disposition: Temporary Record. Retain until superseded.

Security Assistance Action Reports

Disposition: Temporary Record. Retain until verification of hours by supervisor.

Records of Suspension of Driving Privileges, Warning Tickets, Violations of Use of Driver License (AST-38), and Sobriety Examination Report (AST-3)

Disposition: Temporary Record. Retain 3 years.

Alcohol Influence Reports

Disposition: Temporary Record. Retain until adjudication of incident.

Records of Non-Traffic Arrests (AST-6) and Tickets and Failure to Appear in Court

Disposition: Temporary Record. Retain 5 years.

Uniform Traffic Ticket and Complaint (UTTC) Records

Disposition: Temporary Record. Retain 5 years.

Uniform Traffic Ticket and Complaint (UTTC) Transmittals (AST-40 and UTC-3)

Disposition: Temporary Record. Retain 1 year.

Daily Assist Tickets

Disposition: Temporary Record. Retain 5 years.

Uniform Arrest Reports (ACJIC-34)

Disposition: Temporary Record. Retain 2 years after disposition of case.

Alabama Uniform Traffic Accident Reports (AUTAR) (AST-27) and Truck/Bus Supplement Reports

Disposition: Temporary Record. Retain 3 years.

Reportable Accidents

Disposition: Temporary Record. Retain 5 days.

Felony Awareness Patrol (FAP) Reports

Disposition: Temporary Record. Retain 5 years.

Accident Logs (AST-5)

Disposition: Temporary Record. Retain 3 years.

Weekend Rural Fatality Roundup Reports (AST-4)

Disposition: Temporary Record. Retain 1 year.

Records of Fatalities, Stolen Vehicles, and Wanted Persons (Includes DPS 23 and AST-23)

Disposition: Temporary Record. Retain 3 years.

Traffic Homicide Records (HI-1 through HI-8)

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

Combined Accident Reduction Effort (CARE) Records

Disposition: Temporary Record. Retain 5 years.

Uniform Incident/Offense Reports, Supplements, and Logs (ACJIC-32 and ACJIC-33)

Disposition: Temporary Record. Retain 5 years.

Alias Warrant Records (AST-12)

Disposition: Temporary Record. Retain until served or recalled.

Violation Tally Reports and Summaries

Disposition: Temporary Record. Retain 3 years.

Daily Accident and Activity Logs and Reports (AST-20 and AST-20-A)

Disposition: Temporary Record. Retain 2 years.

Trooper Daily Activity Reports (AST-42)

Disposition: Temporary Record. Retain 1 year.

Trooper Monthly Activity Summaries (AST-10)

Disposition: Temporary Record. Retain 1 year.

Daily Assignment Rosters (AST-16)

Disposition: Temporary Record. Retain 3 years.

Trooper El Paso Information Center (EPIC) Access Forms (CF-21)

Disposition: Temporary Record. Retain 2 years.

Alabama Criminal Justice Information System (ACJIS) Teletypes

Disposition: Temporary Record. Retain 1 month.

Alabama Criminal Justice Information System (ACJIS) Files

Disposition: Temporary Record. Retain until related information is removed from National Criminal Information Center system.

Highway Patrol Case Numbering Logs

Disposition: Temporary Record. Retain 1 year.

Use of Force Reports

Disposition: Temporary Record. Retain 5 years.

TACT Team Call-Out Requests

Disposition: Temporary Record. Retain 3 years.

Intox 5000 Checklists (DPS-511)

Disposition: Temporary Record. Retain until adjudication.

Special Event Reports

Disposition: Temporary Record. Retain 3 years.

Confiscated/Abandoned/Stored Vehicle Records (AST-9, AST-32, AST-37, and CF-20)

Disposition: Temporary Record. Retain 3 years.

Motorist Assistance Records (AST-33)

Disposition: Temporary Record. Retain 1 year.

Radar/Radio Repair Requests and Test Scores

Disposition: Temporary Record. Retain 3 years.

Radar Logs (AST-19)

Disposition: Temporary Record. Retain 5 years.

Bomb Threat Forms (Form 16)

Disposition: Temporary Record. Retain 3 years.

Bomb Squad Assistance Reports

Disposition: Temporary Record. Retain 6 years unless a death is involved, in which case retain 25 years.

Driving and Criminal History Communication Logs (Form 18)

Disposition: Temporary Record. Retain 3 years.

Motor Carrier Safety Weight Reports, Inspection Reports, Weekly Reports, and Grant Files

Disposition: Temporary Record. Retain 5 years.

Road Blockage Forms and Reports

Disposition: Temporary Record. Retain 1 year.

DUI Roadblock Program Reports

Disposition: Temporary Record. Retain 3 years.

Vehicle Checkpoint Reports (AST 8C)

Disposition: Temporary Record. Retain 3 years.

Consent to Search Forms (DPS-60)

Disposition: Temporary Record. Retain 5 years.

Abandoned Vehicle Stickers

Disposition: Temporary Record. Retain 7 days.

Wrecker Logs (AST-7)

Disposition: Temporary Record. Retain 3 years.

Owner's Requests For Wrecker (AST-15)

Disposition: Temporary Record. Retain 3 years.

Wrecker Inspection and Authorization Sheets

Disposition: Temporary Record. Retain 3 years.

Wrecker and Wrecker Driver Information Sheets

Disposition: Temporary Record. Retain for useful life.

Vehicle Inspection Reports (AST-8A and AST 8C)

Disposition: Temporary Record. Retain 3 years.

Relay Reports

Disposition: Temporary Record. Retain 3 years.

Hazardous Road Reports (AST 45 and DPS 45)

Disposition: Temporary Record. Retain 3 years.

NOTICES OF MANDATORY EVACUATION

Disposition: PERMANENT RECORD.

Excess Property Records (demilitarized)

Disposition: Temporary Record. Retain 5 years after return of property to the federal government.

Implied Consent Unit Activity Reports

Disposition: Temporary Record. Retain 2 years.

Alcohol Breath-testing Instrument Inspection Sheets

Disposition: Temporary Record. Retain until disposition of alcohol breath-testing instrument.

■ **Investigating**

Special Inquiry Investigation Records and Death Investigations Case Files

Disposition: Temporary Record. Retain 80 years.

Criminal Case Files (not death or special)

Disposition: Temporary Record. Retain paper copy until final judicial action. Retain microfilm 80

years.

■ Collecting and Analyzing Information

Criminal Intelligence Database

Disposition: Temporary Record. Retain records not related to criminal activity for 90 days. Retain records related to criminal activity for 5 years from latest date of criminal activity by individual (28 CFR Part 23).

Criminal Histories

Disposition: Temporary Record. Retain 5 years after notification of death.

Criminal Records Fingerprint Cards and Related Court Documents

Disposition: Temporary Record. Retain until court order is received.

Applicant Fingerprint Cards

Disposition: Temporary Record. Retain 5 years after notification of death.

Alabama Title Files

Disposition: Temporary Record. Retain for useful life.

Alabama Registration Files

Disposition: Temporary Record. Retain 10 years.

Criminal Threat Assessment Reports

Disposition: Temporary Record. Retain for useful life.

Adult Criminal Sex Offender Files

Disposition: Temporary Record. Retain 25 years after last sex crime, unless offender has been convicted on more than one occasion for a criminal sex offense or convicted of a criminal sex offense involving multiple victims, in which case retain for life of offender. (Code of Alabama 1975, Sections 15-20-21 and 15-20-33).

Juvenile Sex Offender Files

Disposition: Temporary Record. Retain 10 years from the last date of release. A juvenile criminal sex offender who is subsequently convicted as an adult criminal sex offender within the ten year period is considered solely an adult criminal sex offender. (Code of Alabama 1975, Sections 15-20-21 and 15-20-33).

Fatality Analysis Reporting System (FARS) Submission Files

Disposition: Temporary Record. Retain 3 years.

Crime Control and Criminal Information Center (CIC) Grants Progress Reports

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

Crime Control and Criminal Information Center (CIC) Grants Statistics

Disposition: Temporary Record. Retain 5 years.

ACCIDENT STATISTICAL SUMMARIES

Disposition: PERMANENT RECORD.

FATALITY LISTINGS

Disposition: PERMANENT RECORD.

License Photographs

Disposition: Temporary Record. Retain 25 years.

■ **Building Public Awareness**

ALABAMA ACCIDENT SUMMARY FILES

Disposition: PERMANENT RECORD.

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

DUI/ARREST/SEAT BELT STATISTICS

Disposition: PERMANENT RECORD.

Artwork for Publications

Disposition: Temporary Record. Retain for useful life.

Biographies

Disposition: Temporary Record. Retain for useful life.

Blue Light Files (Publication)

Disposition: Temporary Record. Retain for useful life.

Honorary Certificates

Disposition: Temporary Record. Retain 2 years.

Chaplain Materials

Disposition: Temporary Record. Retain until chaplain no longer provides services to the department.

Charter and Retired Members Files

Disposition: Temporary Record. Retain for useful life.

Daily Reports on Rural Traffic Accidents (AST-20A)

Disposition: Temporary Record. Retain 5 years.

Public Information Outlines

Disposition: Temporary Record. Retain 1 year.

NEWS RELEASES

Disposition: PERMANENT RECORD.

PUBLICATIONS

Disposition: PERMANENT RECORD.

SPEECHES/PHOTOGRAPHS

Disposition: PERMANENT RECORD.

DIRECTOR'S AWARD FILES

Disposition: PERMANENT RECORD.

Media and Retirees Databases

Disposition: Temporary Record. Retain until superseded.

Monthly Reports of Traffic Deaths

Disposition: Temporary Record. Retain 5 years.

Division Purchasing Files (PUR-10)

Disposition: Temporary Record. Retain for useful life.

Press Credential Files

Disposition: Temporary Record. Retain for useful life.

Quarterly Performance Reports

Disposition: Temporary Record. Retain 5 years.

Safety Education Program Requests

Disposition: Temporary Record. Retain 1 year.

Uniform Safety Education Workshop (USEOW) Materials

Disposition: Temporary Record. Retain for useful life.

■ **Training Law Enforcement Personnel**

Year Book Files

Disposition: Temporary Record. Retain 5 years.

YEAR BOOKS

Disposition: PERMANENT RECORD. Send three copies to ADAH. Retain other copies for useful life.

Basic Police Training Records

Disposition: Temporary Record. Retain 75 years.

Monthly Training Schedules

Disposition: Temporary Record. Retain 1 year.

Weekly Training Reports

Disposition: Temporary Record. Retain until completion of monthly training report.

Monthly Training Reports

Disposition: Temporary Record. Retain 1 year.

Quarterly Training Reports

Disposition: Temporary Record. Retain 3 years.

Annual Training Reports

Disposition: Temporary Record. Retain 3 years.

Class Rosters, Class Books, Training Records, Trooper Recruit Training Files, and Veterans Administration Student Files

Disposition: Temporary Record. Retain 75 years.

Course Attendance Records (Form 618 and 619)

Disposition: Temporary Record. Retain until entered into computer.

■ **Administering Internal Operations**

Managing the Agency:

ADMINISTRATIVE CORRESPONDENCE OF THE DEPARTMENT

Disposition: PERMANENT RECORD.

PLANNING FILES

Disposition: PERMANENT RECORD.

AGENCY INTERNAL POLICY AND PROCEDURAL RECORDS

Disposition: PERMANENT RECORD.

Official Bonds and Oaths

Disposition: Temporary Record. Retain for duration of employee's tenure.

Questionnaires/Surveys and Reports

Disposition: Temporary Record. Retain for useful life.

Quarterly Reports

Disposition: Temporary Record. Retain 3 years.

Staff Meeting Minutes and Recordings

Disposition: Temporary Record. Retain for useful life.

Pre-Litigation Case Files (Restricted)

Disposition: Temporary Record. Retain 30 months.

Internal Investigations

Disposition: Temporary Record. Retain 25 years or 6 years after separation of employee, whichever is sooner.

Lawsuit Investigations

Disposition: Temporary Record. Retain 6 months after final adjudication of the case.

Agency Inspection/Audit Reports

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

Equal Employment Opportunity Complaint Files

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created. If action is taken, becomes a Civil Case Files.

STATE AND FEDERAL CIVIL CASE FILES

Disposition: PERMANENT RECORD.

Memorandum of Understanding

Disposition: Temporary Record. Retain 2 years after termination of agreement.

Board of Adjustment Files

Disposition: Temporary Record. Retain 1 year after settlement.

Telephone and Radio Logs/Records (Communications 14, DPS-4 and DPS-3)

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

Calendars

Disposition: Temporary Record. Retain 1 year.

Requests for Information

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

Routine Correspondence

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

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

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

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

Copy of RDA

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

Computer System Documentation (Y2K Records, hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions)

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of 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.

Y2K PLAN AND FINAL REPORT

Disposition: PERMANENT RECORD.

WEB SITES

Disposition: PERMANENT RECORD. RETAIN A "SNAP SHOT" OF COMPLETE WEB SITE INFORMATION ANNUALLY OR AS OFTEN AS SIGNIFICANT CHANGES ARE MADE TO THE SITE.

Managing Finances:

List of Department of Public Safety Grants

Disposition: Temporary Record. Retain until superseded.

Grant Files and Grant Financial Files

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

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

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

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products (includes AST-1 and AST-1A)

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

Records of original entry or routine accounting transactions such as journals, registers, and ledgers; and records of funds deposited outside the state treasury, including bank statements, deposit slips, and cancelled checks

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

Staff Fuel/Gas Tickets/Receipts

Disposition: Temporary Record. Retain 3 months.

Subsistence Reports

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

Statement of Official Per Diem Forms

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

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

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

Travel Orders

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created.

Contractual records established for the purpose of services or personal property

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

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

Disposition: Retain in office (Code of Alabama 1975, Sections 41-16-24).

Agency Audit Reports

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

Managing Human Resources:

Records of Personnel Committees (career development, safety, personnel utilization, recruiting)

Disposition: Temporary Record. Retain for useful life.

Emergency Locator Cards

Disposition: Temporary Record. Retain until separation of employee from department.

Requests for Mandatory Leave

Disposition: Temporary Record. Retain 1 year.

Job Recruitment Materials (includes DPS 610, 611, 612, and 613)

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

Application Materials

Disposition: Temporary Record. Retain 1 year.

Position Classification Questionnaire

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

Position Files

Disposition: Temporary Record. Retain 7 years.

Certification of Eligibles for Employment

Disposition: Temporary Record. Retain until superseded.

Position Control Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the record is superseded.

Investigation Records of Applicants Not Hired

Disposition: Temporary Record. Retain 10 years.

Employee Suggestions

Disposition: Temporary Record. Retain for useful life.

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

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

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

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

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

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

Records documenting employees' daily and weekly work schedules (includes Form 14A and 14)

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

Records documenting leave donations

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

Records of final leave status

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

Annual and Probationary Raise Reports

Disposition: Temporary Record. Retain 5 years.

Records documenting an employee's work history - generally maintained as a case file (includes special orders, monthly activity reports that document compensatory time, complaint/violation

reports, DPS 608, 609, 614, 616, 618, and 650A)

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

Monthly Activity Reports Not Documenting Compensatory Time

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

Employee Flexible Benefits Plan Files (applications and correspondence)

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

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

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

Employee Administrative Hearing Files

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

Injury In-The-Line-of-Duty Files

Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency or 6 years after the case is settled, whichever is longer.

Subpoena Logs

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

Personnel Management Copy of Personnel Hearing Case Files

Disposition: Temporary Record. Retain 3 years after decision.

Assignment, Training, and Promotion Orders (Policy Order 100 Records)

Disposition: Temporary Record. Retain requests 5 years.

Videos of Trooper Agility Tests

Disposition: Temporary Record. Retain 5 years or until written trooper test is administered, whichever is shorter.

Master Time Sheets

Disposition: Temporary Record. Retain 5 years.

Weekly/Daily Time Sheets

Disposition: Temporary Record. Retain 1 year.

Leave Reports

Disposition: Temporary Record. Retain 5 years.

Overtime and Compensatory Time Reports

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

Personnel Action Reports

Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created.

Section/Division Personnel Files

Disposition: Temporary Record. Retain until separation of an employee from the agency.

Weekly Activity Reports

Disposition: Temporary Record. Retain until creation of monthly activity report.

Monthly Manpower Reports

Disposition: Temporary Record. Retain 1 year.

Overtime Requests and Requests for Outside Employment

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

Personnel Leave Record Print-Out Reports

Disposition: Temporary Record. Retain for useful life.

Departmental Training Records

Disposition: Temporary Record. Retain 3 years.

Managing Properties, Facilities, and Resources:

Annual Report to United States Government of Utilization of Training Center Property

Disposition: Temporary Record. Retain until disposition of property.

Real Property Leasing/Rental Records

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

Renovation Correspondence

Disposition: Temporary Record. Retain 5 years.

Facility Maintenance and Upkeep Records

Disposition: Temporary Record. Retain 10 years.

Security Desk Monthly Call Transfer Records

Disposition: Temporary Record. Retain 1 month.

Visitor/Service Personnel Log-In Sheets

Disposition: Temporary Record. Retain 6 months.

Temporary Employee Identification Records

Disposition: Temporary Record. Retain 1 year.

Semiannual Inventory Lists

Disposition: Retain in office (Code of Alabama 1975, Section 36-16-8[1]).

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

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

Property Inventory Cards and/or Computer Files

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

Receipts of Responsibility for Property

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

Weapons Registration Forms (ATF 5 and ATF 10) and Weapon Retirement Forms

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

Supply/Equipment Registration Forms

Disposition: Temporary Record. Retain 5 years.

Records documenting the use, maintenance, ownership, insurance, and disposition of vehicles (including aircraft) owned by the agency

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

Records documenting vehicles acquired through court ordered confiscation

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

Tag Applications

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

State Auction Records

Disposition: Temporary Record. Retain 3 years.

Vehicle Cost Reports

Disposition: Temporary Record. Retain 2 years.

Monthly Fleet Activity Reports

Disposition: Temporary Record. Retain 2 years.

Annual/Semi Annual Parts Inventory

Disposition: Temporary Record. Retain 2 years.

Records of Underground Storage Tanks

Disposition: Temporary Record. Retain 5 years.

Grant Property Records

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

Approval of Records Disposition Authority

By signing this agreement the Department of Public Safety acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Department of Public Safety will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the department, for coordinating the transfer and destruction of records, for 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, for submitting an annual report on records management activities to the State Records Commission in July of each year, and for ensuring the regular implementation of the department's approved RDA.
- Permanent records in the Department of Public Safety's custody will be maintained under physical and intellectual control, and under environmental conditions that will ensure their 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. In certain circumstances, the department may determine that a valid need exists to keep a record beyond its prescribed retention period. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena. Records destruction must cease when the department receives notice of current or pending litigation, government investigation, or audit, even if otherwise permitted under the RDA.
- The Department of Public Safety 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 department chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Department of Public Safety agrees to allow the State Records Commission, its staff, and the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the department and to inspect records destruction documentation. Government Records Division archivists are available to train the department's staff in RDA implementation and otherwise assist the department in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Col. James Alexander, Director
Department of Public Safety

By: _____ Date: _____
Edwin C. Bridges, Chairman
State Records Commission