

MEMORANDUM
(For SRC Meeting on October 23, 2013)

To: State Records Commission

From: Christine Garrett

Re: Minor Revision to the RDA for the Division of Risk Management, Department of Finance

The agency requests the following minor revision to its RDA.

Agency Record Keeping System:

Deletion:

The record keeping system of the Division of Risk Management consists of paper and electronic records. The division currently creates a paper copy of all electronic records. The division computer system is a custom-designed Windows system, the Division of Risk Management Information System (DORMIS). The system is backed up daily, and weekly tapes are stored in a bank vault. There are two databases - DORMIS database (involve various lines of insurance business and claims for those lines) and American Technical Services (a windows system installed for the Employee Injury Program). The staff involved in each of these areas have access to all the files in their area.

Addition:

The record keeping system of the Division of Risk Management consists of paper and electronic records. Paper records and mail are scanned into the electronic filing system of ImageRight. The division computer system is a custom-designed Windows system, the Division of Risk Management Information System (DORMIS). The system is backed up daily, monthly, and quarterly with backups pushed off site for secure storage. There are three databases – DORMIS (involves various lines of insurance business and claims for those lines), American Technical Services (a Windows system installed for the Employee Injury Program), and ImageRight (a Windows system which houses all electronic records pertaining to the various lines of business). The staff involved in each of these areas has access to all the files in their area via the ImageRight system as determined by their respective security clearances.

Agency Function and Subfunctions

Deletion:

Providing Assistance to State Employees. Implementation of the State Employee Assistance Program (SEAP), established by Executive Order No. 48, began in October 1994. State agencies voluntarily participate in this program by paying a per-employee fee to the program. The SEAP is a short-term counseling and referral service designed to promote employee effectiveness and

efficiency by providing confidential professional assistance in such areas as supervisor and subordinate conflict, drug and alcohol abuse, financial management, marital and family problems, and emotional and mental conditions. Employees may enter the program through self-referral or supervisory referral.

Records Appraisal:

Temporary Records:

Deletion:

Employee Injury Claim Files. These records contain information about state employees who have incurred on-the-job injuries. There is a 2-year statute of limitations on any benefits from the date a claim is closed. After two years there are no more benefits available to the injured employee. Keeping this series for one more year past the statute should be long enough to meet all needs.

Addition:

Employee Injury Claim Files. These records contain information about state employees who have incurred on-the-job injuries. There is a 2-year statute of limitations on any benefits from the date a claim is closed. However, state employees may have more than one injury over the course of their employment with the State, therefore it is beneficial to retain records of past injuries, medical diagnostics, and treatment for future reference.

Records Disposition Authority:

Managing Risks:

Revision:

Field Survey Reports

Disposition: Temporary Record. Retain ~~until superseded or next inspection is complete~~ 10 years from the date of last survey.

Employee Injury Claim Files

Disposition: Temporary Record. Retain ~~3 years until after settlement of claim~~ 10 years after settlement of claim.

Approvals for Agency-Purchased Insurance

Disposition: Temporary Record. Retain ~~1 year~~ 3 years.

Providing Assistance to State Employees:

(move to records no longer created)

Deletion:

Employee Assistance Program Client Files

Disposition: Temporary Record. Retain 5 years after closure of file.

Requirement and Recommendations for Implementing the Records Disposition Authority

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 Retirement Systems of Alabama (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in October of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA’s provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records’ permanent preservation and accessibility.

- Electronic mail containing permanent, temporary, or transitory record information. Although the-mail records can be printed out, filed, and retained according to the RDA's requirements, the agency 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. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on October 23, 2013.

Steve Murray, by Tracey Berezansky
Chairman, State Records Commission

Date

Receipt acknowledged:

Ben M. Spillers, Risk Manager
Division of Risk Management

Date

Bill Newton, Acting Director
Department of Finance

Date