

State Health Planning and Development Agency

Functional Analysis & Records Disposition Authority

**Presented to the
State Records Commission
January 24, 2007**

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Functional and Organizational Analysis of the State Health Planning and Development Agency

Sources of Information

Representatives of the State Health Planning and Development Agency
Code of Alabama, 1975, Sections 22-4-1 to 22-4-17; 22-21-260 to 22-21-276
Alabama Administrative Code, Chapters 410-1-1 to 410-2-5
Alabama Government Manual (2002) page 344
State Health Planning and Development Agency Audit Reports
State Health Planning and Development Agency Website
State Health Planning and Development Agency Publications

Historical Context

The first health planning efforts in the United States began in 1946 with the enactment of the Hill-Burton Act. This legislation authorized funds for the construction of new hospitals, thereby encouraging states to develop a planning structure for the allocation of federal health funds. The second major federal legislative act aimed at health planning occurred in 1966, with the enactment of the Comprehensive Health Planning Act (Public Law 89-749). States receiving funds under the Hill-Burton Act and other acts were required to expand or establish local and state health planning agencies. Alabama elected to divide the state into six (6) Comprehensive Health Planning (CHP) regions known as 314(b) agencies, with a state agency, known as a 314 (a) agency, located in the Alabama Department of Public Health. In 1975, the State Health Planning and Development Agency (SHPDA) was created by the State Health Planning and Development Act and initially operated under the aegis of the Alabama Department of Public Health.

By Executive Order Number Seven in 1979, Governor Fob James designated that SHPDA be located within the governor's office. In 1984, Governor George Wallace relocated SHPDA from the governor's office to the Alabama Department of Public Health, through Executive Order 22. Shortly thereafter, Governor Wallace signed Executive Order 23, which created a Certificate of Need Review Board to administer the Certificate of Need Law (Act No. 82-770); and SHPDA was placed under the supervision of the board as a separate agency.

Agency Organization

The Certificate of Need Review Board (CONRB) is a nine-member board consisting of three consumers, three providers, and three representatives of the governor. All members are appointed by the governor to serve three-year, staggered terms. The board administers a certificate of need program, whereby only those healthcare services and facilities found to be necessary are permitted and developed. The State Health Planning and Development Agency, operated under the supervision

of CONRB, is composed of an executive director and other professional staff members. The term “CONRB” and “SHPDA” are synonymous and may be used interchangeably.

In addition, there is a Statewide Health Coordinating Council (SHCC), established in 1975 pursuant to Act 1197 (Code of Alabama 1975, Section 22-4-8). The council consists of no less than 16 members, with the majority of them consumers. Appointed by the governor, council members serve terms of one to three years. The council meets at least once a quarter, according to SHCC bylaws. SHCC advises SHPDA on matters relating to health planning and resource development. An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the State Health Planning and Development Agency is to prepare and administer, in collaboration with the Statewide Health Coordinating Council, the State Health Plan. SHPDA is also designated as the state agency for health statistics and for the administration of Alabama’s Certificate of Need Program. It is one of the agencies that is primarily involved in carrying out the Policy and Statute Development function of Alabama government. In the performance of its mandated functions, the office may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** In accordance with Code of Alabama, Section 22-21-274, the agency, with the advice and consultation of the Statewide Health Coordinating Council, is authorized to prescribe rules and regulations for review criteria and procedures required by law for the Certificate of Need Program.
- **Developing and Maintaining the State Health Plan.** The State Health Plan is a comprehensive plan that provides for the development of health programs and resources to assure that quality health services are available and accessible. The plan includes a determination of the number and distribution of hospitals and nursing home beds needed in the state and the criteria/standards for certain specialty equipment and institutional health services. With the assistance of SHPDA, the Statewide Health Coordinating Council is obligated to prepare the plan every three years and review/update at least annually. The governor has the final authority to approve the plan prepared by the Statewide Health Coordinating Council and SHPDA, subject to the provisions of the Alabama Administrative Procedures Act.
- **Administering the Certificate of Need Program.** Code of Alabama, Section 22-21-265 mandates that no person may acquire, construct, or operate a new institutional health service, furnish/offer a new institutional health service, or make an arrangement or commitment for financing the offering of a new institutional health service, unless the person first obtains from the SHPDA a certificate of need. This subfunction encompasses the review of the applications, the determination of eligibility, the conduct of public hearings, the making of decisions, the approval/denial of certificates of need, and other related

subsequent actions.

- **Collecting and Providing Access to Health Care Data.** Efficient health planning and certificate of need decisions are dependent upon the availability of reliable health care data. Accurate inventories of existing resources and accurate utilization statistics are required to project the need for additional health care facilities, equipment, and services. Staff members of SHPDA regularly collect and compile a broad range of statistical data concerning various health care facilities (hospitals, nursing homes, home health care, and other related facilities) in the state and their treatment of patients. Data collected are utilized by agency staff to update the State Health Plan and for other health care planning related purposes. The agency staff enters the data into a database, which is available for purchase by the public.
- **Administering Internal Operations.** A significant portion of the agency'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; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing the 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 agency'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 involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record-Keeping System and Records Appraisal of the State Health Planning and Development Agency

Agency Record-Keeping System

The State Health Planning and Development Agency (SHPDA) operates a hybrid system composed of a computer system and a paper record-keeping system.

SHPDA currently has approximately fifteen (15) Intel based, Microsoft Windows, Personal Computers; two (2) Intel Based, Microsoft Servers; and fifteen (15) printers networked together in a Local Area Network tied to the ISD campus ring.

In addition to administrative support functions, the network system is utilized to process data from specified health care facilities in Alabama. Multiple databases are maintained covering the following types of healthcare facilities in Alabama: hospitals, home health care providers, ambulatory surgery centers, nursing homes, assisted living facilities, specialty care assisted living facilities, hospice facilities, and patient origin surveys. Additionally, databases are utilized to track Certificate of Need (CON) applications, invoices, facilities, correspondence, and various other administrative responsibilities. SHPDA staff members store all documents and files on the SHPDA server, while the data server is utilized for storage of healthcare facility databases and statistical databases accessed by staff of the agency's Data Division exclusively. Both servers are backed up nightly on Quantum technology DLT/SDLT tapes, using a two week tape rotation. Staff members of the Data Division take backup tapes offsite every evening, returning them the next day.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the State Health Planning and Development Agency: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal, and administrative requirements have been met. The following are some examples of temporary records created by the agency:

- **Certificate of Need Project Files.** These records are created/maintained to document all activities pertaining to the application for certificates of need (also known, prior to 1979, as assurance of need), review and approval/denial of the application, issuance of certificates, and other subsequent actions taken by the agency staff on requests for reconsideration, etc. Information available in these records includes names and addresses of applicants, names and locations of proposed facilities, descriptions of proposed works, estimated costs of the projects, proposed financing of the projects, budget and utilization data, actions (approval/denial) by the staff, and hearing data. The agency maintains the files for five (5) years after the file is closed. A file is considered closed when the proposed project is

completed, when a final decision is rendered by the CON Review Board to deny an application, or the applicant withdraws the application.

- **Non-Reviewability Files.** This series consists of letters sent by potential applicants to the agency requesting the determination of the reviewability of a proposed project. If the proposed project is dismissed from the review process, this series is maintained by the staff for reference for five (5) years.
- **Letters of Intent.** In accordance with the Alabama Administrative Code, Chapter 410-1-7-.05, a letter of intent must be submitted by the applicant at least 30 days prior to the formal application for a certificate of need. The letter of intent is valid only for six months. If no application is received by the agency within the six-month period, the letter of intent becomes void. The agency files the letter of intent in the Certificate of Need Project Files for projects that have been acted on. For projects that have not been acted on (no formal application is received), the agency retains the letter of intent for one (1) year after the letter of intent becomes void.

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

Promulgating Rules and Regulations

- **Meeting Agendas, Minutes, and Packets of the Statewide Health Coordinating Council (SHCC) and Other Sub-Committees/Task Forces.** SHCC is a council appointed by the governor to prepare the State Health Plan, to advise SHPDA on matters relating to health planning and resource development, and to perform other functions as may be delegated to it. In addition to meeting minutes of the council, meeting minutes generated by various committees/task force appointed by the council chairman are also included in this series. (RDA page 3-2) **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Statewide Health Coordinating Council and Other Sub-Committees/Task Force)**
- **Meeting Agendas, Minutes, and Packets of the Certificate of Need Review Board.** The board holds monthly public hearings for reaching decisions on all applications. This series contains meeting agendas, minutes, and other supporting documents of the board. (RDA page 3-2) **(Bibliographic Title: Meeting Agendas, Minutes, and Packets of the Certificate of Need Review Board)**
- **Rules and Regulations.** The agency is authorized to prescribe needed rules and regulations, with the advice and consultation of the Statewide Health Coordinating Council, review criteria and procedures, and clarify definitions consistent with Alabama law (RDA page 3-2) **(Bibliographic Title: State Publications)**

Developing and Maintaining the State Health Plan

- **State Health Plan.** The Statewide Health Coordinating Council is obligated to prepare, with the assistance of SHPDA, a comprehensive plan every three years and review/update at least annually. The governor has the final authority to approve the plan, subject to the provisions of the Alabama Administrative Procedures Act. The plan is basically divided into five (5) chapters: Chapter I contains the statutory authority, the health planning structure, the Alabama health policy analysis, data collection and publication, and the overview of the State Health Plan; Chapter II provides an identification and summary of the health care priorities in Alabama; Chapters III and IV focus on physical resources; and Chapter V is the appendix. This series consists of the State Health Plan, including any revision/updates, and should be preserved permanently. (RDA page 3-2) (**Bibliographic Title: State Health Plan**)

Administering the Certificate of Need Program

- **SHPDA Review.** Code of Alabama, Section 41-22-20 (15) mandates the agency to prepare and publish, at least annually, a report that documents the review of applications for certificates of need, decisions reached, certificates issued, and status of proposals. In lieu of annual reports, the agency compiles a monthly newsletter known as “SHPDA Review” for distribution to interested parties as requested. (RDA page 3-3) (**Bibliographic Title: State Publications**)

Collecting and Providing Access to Health Care Data

- **Annual Health Care Facility Report Database.** To project the need for additional health care facilities, equipment, and services for the state, the agency staff regularly collects and compiles a broad range of statistical data concerning various health care facilities (hospitals, nursing homes, home health care, and other related facilities) in the state and their treatment of patients. This series consists of annual reports (paper copies) filed on behalf of health care facilities to provide statistical information on services offered and utilization data. Data collected is utilized by the agency staff to update the State Health Plan and for other related purposes. The agency staff enters the data into databases, which are available for purchase by the public. After the release of the data for a particular year, the reports are retained for 10 years for reference. Databases should be preserved as they contain a broad range of statistical data concerning health care facilities in the state and treatment provided to patients. (RDA page 3-3) (**Bibliographic Title: Annual Health Care Facility Report Database**)
- **Quarterly Health Care Facility Patient Origin Survey Database.** Surveys of health care facilities are conducted quarterly to collect demographic data of patients utilizing services of those facilities. Information in the survey may include facility I.D., patient number, age, sex, race, zip code, length of stay, type of service(s), patient’s diagnosis group, payer source. Data collected is utilized by the agency staff to update the State Health Plan and for other related purposes. The agency staff enters the data into databases, which are available for

purchase by the public. After the release of the data for a particular time period, the surveys are retained for 5 years for reference. Database should be preserved as they contain a broad range of demographic data of patients utilizing services of those facilities. (RDA page 3-4)(**Bibliographic Title: Quarterly Health Care Facility Patient Origin Survey Database**)

Administering Internal Operations

- **Website.** The agency has a website at www.shpda.state.al.us. Information on the website includes the agency's history, mission statement, staff directory, announcements, meetings, and various forms. The website should be preserved as it serves as an important medium for communication with the public. (RDA page 3-4) (**Bibliographic Title: Website**)

- **Inventory Lists.** The Code of Alabama 1975, Section 36-16-8[1] requires that “. . . All [state agency] property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts.” These files need to be maintained in the agency's office. (RDA pg. 3-7)

Permanent Records List

State Health Planning and Development Agency

Promulgating Rules and Regulations

1. Meeting Agendas, Minutes, and Packets of the Statewide Health Coordinating Council (SHCC) and Other Sub-Committees/Task Forces
2. Meeting Agendas, Minutes, and Packets of the Certificate of Need Review Board
3. Rules and Regulations

Developing and Maintaining the State Health Plan

1. State Health Plan

Administering the Certificate of Need Program

1. SHPDA Review

Collecting and Providing Access to Health Care Data

1. Annual Health Care Facility Report Database
2. Quarterly Health Care Facility Patient Origin Survey Database

Administering Internal Operations

1. Website
2. Inventory Lists*

*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.

State Health Planning and Development Agency 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 State Health Planning and Development Agency. The RDA lists records created and maintained by the State Health Planning and Development Agency in carrying out its mandated functions and subfunctions. It establishes retention periods and disposition instructions for those records and provides the legal authority for the State Health Planning and Development 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 made available to members of the public. Records 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 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 State Health Planning and Development Agency records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records 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 other short-term records that do not materially document the work of an agency 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; and (2) transitory records, which are temporary records created for internal purposes that 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. They may be disposed of without documentation of destruction. Other items that may be disposed of without destruction documentation include: (1) catalogs, trade journals, and other publications received that require no action and do not document government activities; and (2) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the State Health Planning and Development Agency and lists the groups of records created and/or maintained by the agency 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 quarterly meetings.

■ Promulgating Rules and Regulations

MEETING AGENDAS, MINUTES, AND PACKETS OF THE STATEWIDE HEALTH COORDINATING COUNCIL (SHCC) AND OTHER SUB-COMMITTEES/TASK FORCES
Disposition: PERMANENT RECORD.

MEETING AGENDAS, MINUTES, AND PACKETS OF THE CERTIFICATE OF NEED REVIEW BOARD
Disposition: PERMANENT RECORD.

RULES AND REGULATIONS
Disposition: PERMANENT RECORD.

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

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies
Disposition: Temporary Record. Retain 3 years.

■ Developing and Maintaining the State Health Plan

STATE HEALTH PLAN
Disposition: PERMANENT RECORD.

Requests for Amendments to the State Health Plan
Disposition: Temporary Record. Retain 5 years after resolution of the request.

■ **Administering the Certificate of Need Program**

SHPDA REVIEW

Disposition: PERMANENT RECORD.

Certificate of Need Project Files

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

Certificate of Need Issued (Copies)

Disposition: PERMANENT RECORD. Retain in Office.

Non-Reviewability Files

Disposition: Temporary Record. Retain 5 years.

Declaratory Ruling Files

Disposition: Temporary Record. Retain 5 years after the end of the year in which the ruling was issued.

Letters of Intent

(A) projects that have been acted on

Disposition: File the letter in the Certificate of Need Project Files for retention

(B) Projects that have not been acted on

Disposition: Temporary Record. Retain 1 year after expiration of the letter.

Notice of Change of Ownership Files

Disposition: Temporary Record. Retain 7 years after the facility is closed.

Equipment Replacement Files

Disposition: Temporary Record. Retain 7 years after the facility is closed.

Requests for Determination of Exemption Status

Disposition: Temporary Record. Retain 5 years after date of last action.

Requests for Determination of Exemption Status for Additional Nursing Home Beds

Disposition: Temporary Record. Retain 5 years after last approval.

■ **Collecting and Providing Access to Health Care Data**

Annual Health Care Facilities Reports

Disposition: Temporary Record. Retain 10 years after the end of the fiscal year in which the data was released.

ANNUAL HEALTH CARE FACILITY REPORT DATABASES

Disposition: PERMANENT RECORD.

Quarterly Health Care Facility Patient Origin Surveys

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

QUARTERLY HEALTH CARE FACILITY PATIENT ORIGIN SURVEY DATABASES

Disposition: PERMANENT RECORD.

Data Usage Agreements

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the data is released.

Special Project Survey Files

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

■ **Administering Internal Operations**

Managing the Agency:

WEBSITE

Disposition: PERMANENT RECORD. PRESERVE A COMPLETE COPY OF WEBSITE ANNUALLY OR AS OFTEN AS SIGNIFICANT CHANGES ARE MADE.

Legal Case Files

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

Appointment Letters

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

Governor's Executive Orders (Copies)

Disposition: Temporary Record. Retain for useful life.

Routine Correspondence

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

Telephone Call Books

Disposition: Temporary Record. Retain 1 year after the last entry.

Mailing/Contact 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 approved RDA (copies of transmittal forms to Archives or the 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 is superseded.

Administrative Database

Disposition: Temporary Record. Retain for useful life.

System Documentation (hardware/software manuals and diskettes, warranties)

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 in the agency and all permanent records have been migrated to a new system.

Managing Finances:

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

Disposition: Temporary Record. Retain 3 years after the 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

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

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 3 years after the end of the fiscal year in which the records were created.

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

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

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

- a. Original bid records maintained in the purchasing office of the agency for contracts over \$7500
Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.
- b. Duplicate copies of bid (originals are maintained by the Finance Department - Division of Purchasing)
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the bids were opened.

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.

Records documenting job description

Disposition: Temporary Record. Retain until superseded.

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 3 years 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.

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

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

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

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

Records documenting an employee's 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 sick leave donations

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

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 the agency's personnel records with records maintained by the State Personnel Department

Disposition: Temporary Record. Retain for useful life.

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.

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 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.

Managing Properties, Facilities, and Resources:

INVENTORY LISTS

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

Letters of Transmittal

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

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 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.

Insurance Policies/Risk Management Records

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

Requirements and Recommendations for Implementing the Records Disposition Authority (RDA)

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 State Health Planning and Development Agency (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 Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in January 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.

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 January 24, 2007.

Edwin C. Bridges, Chairman, by Tracey Berezansky
State Records Commission

Date

Receipt acknowledged

Alva M. Lambert, Executive Director
State Health Planning and Development Agency

Date