

Alabama Department of Senior Services

**Functional Analysis
&
Records Disposition Authority**

**Presented to the
State Records Commission
January 25, 2001**

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Functional and Organizational Analysis of the Alabama Department of Senior Services

Sources of Information

Representatives of the Alabama Department of Senior Services

Micki Dunson, Administrative Services

Mike Lange, Information Systems

Fleet Hollinger, Nutrition

Marvin Jones, Financial Management

Marie Tomlin, Planning and Programs/Ombudsman

Tina Hartley, Planning and Programs/Human Services

Robert Franklin, Planning and Programs/Medicaid Waiver

Sylisa Perryman, Planning and Programs/Medicaid Waiver

Tenesia Jones, Planning and Programs/Senior Employment

Judy Meeks, Planning and Programs/Legal Program

Code of Alabama 1975, Sections 22-5A-1 through 22-5A-7, 38-3-1 through 38-3-6, and 40-18-147

Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)

Federal Older Americans Act of 1965

45 Code of Federal Regulations, Subtitle A, Section 92.42

Alabama Administrative Code, Chapter 70

Alabama Government Manual (1998)

Commission on Aging Audit Report for October 1, 1993 through September 30, 1996

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

Holdings of the Department of Archives and History

Historical Context

Congressional legislation on the issues of aging is embodied in the national Older Americans Act of 1965 and subsequent amendments. The act's purpose is to assist the elderly in securing an adequate income in retirement; the best possible physical and mental health without regard to income; access to low-cost transportation; suitable housing; institutional care for those requiring it, and, for others, a comprehensive array of in-home services; civic, cultural, and recreational opportunities; and retirement in health, honor, and dignity. Under Title III, the act mandates federal grants for cooperative arrangements between state and local agencies to provide multi-purpose senior centers, in-home nutritional services, and other means of securing economic and personal independence for older individuals.

Alabama began its participation in this federal program through the Alabama Commission on Aging, established in 1957 and reconstituted in 1964, which was mandated to collect information on

conditions affecting the welfare of seniors in the state; to provide for the exchange of such information and ideas; to make recommendations to the legislature for improvements in the welfare of seniors; to serve as an advisory board for senior-citizen related legislation; and to coordinate the services of all agencies in the state that assisted senior citizens. The commission acted primarily as a clearinghouse and designated the area agencies on aging as grantee agencies serving their respective areas. Separate legislation passed in 1985 authorized the commission to appoint a state ombudsman to investigate complaints concerning health care, and domiciliary and residential care facilities. Each area agency on aging appoints a community ombudsmen to perform similar regulatory duties within its own planning and service area.

The area agencies themselves are part of a broader state infrastructure developed in the 1960s to administer the Older Americans Act and similar federal mandates in other arenas. In 1969, the Alabama Legislature established twelve state planning and development districts to survey and guide future growth in the state. Regional planning commissions were created to coordinate local government planning activities within their regions. Currently, nine of the area agencies on aging are associated with regional planning commissions. Four are not: the Jefferson County Office of Senior Citizen Services, an agency of the county government; the Middle Alabama Area Agency on Aging, based in Clanton and serving five counties around Birmingham; the Southern Alabama Regional Council on Aging, located in Dothan; and the Central Alabama Aging Consortium, which serves Autauga, Elmore, and Montgomery Counties.

In 2000, the Legislature changed the name of the Commission on Aging to the Department of Senior Services.

Agency Organization

The Department of Senior Services is under the direction and control of the Board of Directors of the Department of Senior Services. This board is composed of 16 members as follows: two members of the Senate appointed by the president of the Senate; two members of the House of Representatives appointed by the speaker of the House; the commissioner of the Alabama Department of Labor, the state health officer, and the commissioner of the Department of Human Resources as ex officio members; and nine members appointed by the governor. The governor appoints an executive director and confidential secretary. The executive director serves at the pleasure of the governor. The executive director, subject to the merit system law, appoints such other personnel as may be necessary. The department oversees the thirteen area agencies on aging, which act as grantee agencies serving their respective areas. An organizational chart is attached.

Agency Function and Subfunctions

The mandated functions of the Department of Senior Services are to collect and exchange information on conditions affecting the welfare of seniors in the state; to make recommendations to the legislature for improvements in the welfare of seniors; and to coordinate the services of all

agencies in the state that assisted senior citizens. The department is one of the agencies primarily involved in carrying out the Client Services and the Public Advocacy functions of Alabama government.

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

- **Promulgating Rules and Regulations.** In accordance with the Administrative Procedures Act (Code of Alabama 1975, Section 41-22-3), the department has the authority to prescribe rules and regulations regarding its activities and programs.
- **Serving.** The department is responsible for serving older Alabamians by acting as their primary advocate. The department carries out this subfunction by collecting facts and statistics and making special studies of conditions and problems pertaining to conditions affecting the welfare of the aging people in this state; interpreting its findings to the public; providing for a mutual exchange of ideas and information on national, state and local levels; making a report of its activities to the legislature; and making recommendations for needed improvements and additional resources to promote the welfare of the aging in this state. The department also serves as an advisory body in regard to new legislation in this field.

The department receives federal funds from the Department of Health and Human Services under Title III of the Older Americans Act of 1965, and administers the program in Alabama under the federally approved state plan. The department makes subgrants to the thirteen area agencies on aging and funds the following five programs with Title III appropriations and matching state funds: state administration; social services; congregate meals; home delivered meals; and in home service. The department also receives funds from the U.S. Department of Agriculture's Nutrition Program for the Elderly, and from the Alabama Medicaid Agency through an interagency agreement that provides for a home and community-based services program that enables chronically ill persons to receive long-term care services in the home and in the community as an alternative to nursing home care. The department is responsible for coordinating the services of all agencies in this state serving the aging. These agencies and institutions report to the department on their activities.

- **Investigating.** The department's long-term care ombudsman investigates complaints about residential health care facilities. The commission also trains and certifies community ombudsmen (who carry out investigations at the local level) and operates "a statewide uniform reporting system to collect and analyze data relating to complaints and conditions in long-term care facilities." Although the community ombudsman tries to resolve complaints by working informally with the facility, unresolved complaints are referred to the state ombudsman. The state ombudsman may either allow more time to settle the complaint or pass it on to the appropriate authority, such as the Board of Nursing Home Administrators or the Board of Medical Examiners.

- **Administering Internal Operations.** A significant portion of the agency’s work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

Managing the agency: Activities involved in managing the agency may include general administration such as corresponding/communicating, meeting, and directing; representing the agency; lobbying on behalf of the agency; reporting; publicizing; managing records; and managing information systems and technology.

Managing finances: Activities involved in managing finances may include the following: budgeting, which encompasses preparing and reviewing a budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget, and reporting in established budget status categories to the Department of Finance; purchasing, which encompasses 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 the Examiners of Public Accounts 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 to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker’s compensation, injury compensation, retirement, and death benefits, and administratively supported but employee-funded benefits such as additional life and health insurance and tax-deferral and savings plans; and supervising employees, which includes promoting, demoting, evaluating performance, granting leave, and monitoring the accumulation of leave.

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 Office of State Auditor; leasing/renting offices if the agency does not own their office space; and securing and maintaining state property in the care of the agency, including vehicles.

Attachment: Organizational Chart

Analysis of Record Keeping System and Records Appraisal of the Alabama Department of Senior Services

Agency Record Keeping System

The Alabama Department of Senior Services operates a hybrid system composed of paper and electronic records.

Computer Systems: The department operates three servers (file and print services server, e-mail server, and client database server) connected to the internet through the campus ring, and receives data from the area agencies on aging through T-1 lines. The client information is saved on the client database server which runs MS SQL, a database program. The operating system for the department is Windows. All electronic records created by the department are saved to the file server, not the individual hard drives. A differential back-up is performed each night for each server. A complete back-up is performed each Friday. The prior week's tape is stored offsite. The department's website, found at www.adss.state.al.us, is hosted by the Information Services Division (ISD) of the Department of Finance. Staff of the Department of Senior Services update the website as needed. The department is planning to implement a web-based application that would allow the service providers to submit information via the Internet. The information would be sent to a server owned by the department, but located at ISD. The server would be outside of the state's firewall. The submitted information would be replicated to the SQL server, which is within the firewall, and then removed from the server at ISD.

Paper-based System: The agency continues to maintain most of its records in paper form in its offices. Currently, no paper records are stored off-site.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Department of Senior Services: 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.

- **Ombudsman Program Files.** These records, which include managed care files, are used by the ombudsman in investigative and review work. They are summarized in the annual report and are recommended for six years retention.

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

Promulgating Rules and Regulations

- **Board Minutes.** These records document policy and rule development by the board and the department, and resolutions proposed by and to the board. (RDA page 3-2) **(Bibliographic Title: Meeting Minutes of the Board of Directors)**
- **Departmental Policies and Procedures Manual.** 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)**

Serving

- **Legislative Files.** These files document the department’s attempts to affect legislation regarding older Alabamians. 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 older Alabamians and how the department and state provide services to the elderly. (RDA page 3-3) **(Bibliographic Title: Legislative Files)**
- **State Plan on Aging.** The Department of Senior Services is responsible under the Older Americans Act for “developing and administering a comprehensive State Plan on Aging in Alabama.” Based on current federal policy, the commission dictates how frequently area agencies must submit multi-year plans for their own work. The state plan documents the goals of the agency for the period of the plan, and as such is necessary for permanent retention. (RDA page 3-3) **(Bibliographic Title: State Plan on Aging)**
- **Final Grant Reports.** These files are the final reports of the grants managed by the department. Final Grant Reports are necessary to document the activities of the grant. (RDA page 3-3) **(Bibliographic Title: Grant Project Final Reports)**

Investigating

Permanent records documenting this subfunction are found in the Annual Reports as described in the Administering Internal Office Operations subfunction.

Administering Internal Operations

- **Publications.** These records are created to build public awareness about a variety of issues and agency activities. The publications are necessary to document what the agency tells the public and how the department views itself. (RDA page 3-4) **(Bibliographic Title: State Publications)**
- **Annual Reports.** The annual reports are summary documentation of the activities of the agency. (RDA page 3-4) **(Bibliographic Title: Annual Reports)**
- **News Releases.** These records consist of news releases of the agency for purposes of publicity. They provide useful information documenting the activities of the agency. (RDA page 3-4) **(Bibliographic Title: News Releases)**

Permanent Records List

Alabama Department of Senior Services

Promulgating Rules and Regulations

1. Board Minutes
2. Departmental Policies and Procedures Manual

Serving

1. State Plan on Aging
2. Legislative Files
3. Final Grant Reports

Administering Internal Operations

1. Publications
2. Annual Reports
3. News Releases

Department of Senior Services 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 Senior Services. The RDA lists records created and maintained by the Department of Senior Services 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 Senior Services 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. Under Code of Alabama 1975, Section 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." 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 Department of Senior Services' 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 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 sub functions 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 records-related materials need not be retained as records under the disposition requirements in this RDA. They may be disposed of, without notice of destruction, in whatever way the agency determines best. 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, such as a note to a group going to lunch.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Department of Senior Services and lists the groups of records created and/or maintained by the department 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**

BOARD MINUTES

Disposition: PERMANENT RECORD.

Board Meeting Notices

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

Recordings of Board Meetings

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

Register of Administrative Rules

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

Administrative Rule Files

Disposition: Temporary Record. Retain for useful life.

DEPARTMENTAL POLICIES AND PROCEDURES MANUAL

Disposition: PERMANENT RECORD.

■ **Serving**

Nutrition Program Records (includes management reports, quarterly reports, menu board minutes, food service reports, weekly serving levels, meal discrepancies, logs of problems, program assessments, product specifications, MENQUAS, and correspondence)

Disposition: Temporary Record. Retain 3 years after submission of federal expenditure report (45 CFR 92.42 (c)).

Ineligible Meals Reports for United States Department of Agriculture

Disposition: Temporary Record. Retain 5 years.

Program Area Plans, Operating Elements, Assessment Reports, Statewide Standards, and Federal Reports and Worksheets

Disposition: Temporary Record. Retain 3 years after submission of federal expenditure report (45 CFR 92.42 (c)).

Human Services Reports and Worksheets

Disposition: Temporary Record. Retain 4 years.

STATE PLAN ON AGING

Disposition: PERMANENT RECORD.

LEGISLATIVE FILES

Disposition: PERMANENT RECORD.

Senior Information (includes senior center information, client lists, and client billing information)

Disposition: Temporary Record. Retain forms until information is entered into the computer and verified. Retain information on computer until superseded.

Senior Employment (Title V) Instructions, Applications, and Agreements

Disposition: Temporary Record. Retain 5 years.

Senior Employment (Title V) Program Reports

Disposition: Temporary Record. Retain 4 years.

Area Agency On Aging, Medicaid Waiver, Medicare+Choice, Senior Medicaid Patrol Fraud Grant, Health Information and Assistance Grant, SHIPMate Grant, and Nutrition Program Fiscal Files (includes budgets, correspondence, billing records, notifications of grant awards, and quarterly reports)

Disposition: Temporary Record. Retain 3 years after submission of federal expenditure report (45 CFR 92.42 (c)).

FINAL GRANT REPORTS

Disposition: PERMANENT RECORD.

■ **Investigating**

National Ombudsmen Reporting System (NORS) Reports, State Information System for Ombudsmen Reports (SISSOR) Reports, Ombudsman Assessments, and Client Records

Disposition: Temporary Record. Retain 5 years.

Title III Assessments

Disposition: Temporary Record. Retain 3 years.

Ombudsman Program Files (includes managed care files)

Disposition: Temporary Record. Retain 6 years.

■ **Administering Internal Operations**

Managing the Agency:

Legal Actions

Disposition: Temporary Record. Retain 6 years after final settlement.

PUBLICATIONS

Disposition: PERMANENT RECORD.

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

NEWS RELEASES

Disposition: PERMANENT RECORD.

Appointment Letters

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

Routine Correspondence (includes requests for information)

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

Minutes of Staff Meetings

Disposition: Temporary Record. Retain 1 year.

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 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.

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.

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 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 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.

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.

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:

Job Recruitment Materials

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 Records

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

Certification of Eligibles for Employment

Disposition: Temporary Record. Retain until superseded.

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 deduction authorizations

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

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, leave taken, and leave donation

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

Records documenting an employee's work history - generally maintained as a case file (includes records of final leave status)

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

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.

Section/Division Personnel Files

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

Weekly Activity Reports

Disposition: Temporary Record. Retain for useful life.

Records Documenting agency provision of training and professional development

Disposition: Temporary Record. Retain 3 years.

Managing Properties, Facilities, and Resources:

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 records were created.

Receipts of Responsibility for Property

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

Records documenting the lease or rental of office or warehouse space for the department

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

Approval of Records Disposition Authority

By signing this agreement the Department of Senior Services acknowledges its responsibilities in the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Department of Senior Services 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 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, submitting an annual report on records management activities to the State Records Commission in January of each year, and ensuring the regular implementation of the agency's approved RDA.
- Permanent records in the Department of Senior Services' custody will 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 Department of Senior Services agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the agency and to inspect records destruction documentation. Government Records Division archivists are available to train the agency's staff in RDA implementation and otherwise assist the agency in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Melissa Mauser Galvin, Executive Director
Alabama Department of Senior Services

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