

**Alabama Department of Senior Services**

**Functional Analysis  
&  
Records Disposition Authority**

**Approved by the  
State Records Commission  
April 23, 2014**

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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

Code of Alabama 1975, Sections 22-5A-1 through 22-5A-7, 38-3-1 through 38-3-6, 40-18-147, and 41-9-740 through 41-9-745

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

Audit Report for the Alabama Senior Citizens Hall of Fame, October 1, 1997 through September 30, 1999

## **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.

To provide recognition for individuals making significant contributions to improve the lives of older citizens in support the objectives of the Older Americans Act, the Alabama Legislature created the Alabama Senior Citizens Hall of Fame in 1983. The Hall of Fame was established as a separate entity from the Commission on Aging, but worked as a partner to share administrative services and the mission of serving older citizens. The processes of nominating, selecting, and honoring individuals was overseen by the Hall of Fame commission board, which met annually to select names for the inductee ballot and participate with inductee ceremonies. The Hall of Fame was to induct no more than ten new members each year; and inductees were to “reflect the racial, ethnic, gender, urban/rural, and economic diversity of the state” (Code of Alabama 1975, Section 38-3-21).

In 2000, the Alabama Legislature changed the name of the Commission on Aging to the Department of Senior Services to reflect the growing scope of resources offered by the agency. In 2009, the Alabama Legislature officially placed the Alabama Senior Citizens Hall of Fame under the purview of the Department of Senior Services. The Department of Senior Services continued to provide administrative and small financial assistance, but the Hall of Fame retained its executive committee board and ability to govern the processes of application, selection, and honoring Alabama’s senior citizens. The Hall of Fame is involved with carrying out the Stewardship function of state government.

## **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.

## 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 ombudsmen try 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.

- **Stewardship.** The department oversees the Senior Citizens Hall of Fame, which has a mandated function to honor and recognize deserving citizens for their outstanding accomplishments, service, and contributions to the lives of older citizens. The Department of Senior Services provides limited funding and administrative support for the Senior Citizens Hall of Fame; but the application, selection, and honoring processes are carried out by the Hall of Fame commission board. The mandated functions of the Hall of Fame are accomplished by;

**Selecting.** The agency is responsible for carrying out the process of selecting citizens to become members of the Senior Citizens Hall of Fame and also selects individuals for other awards and recognition. Any Alabama citizen may nominate a person who has outstanding accomplishments, service, and contributions to the lives of older citizens. Citizens must submit written nominations, which contain detailed information about the accomplishments, service, and contributions of the nominee. The agency staff prepares the ballot and submits it to the Hall of Fame Board members, who vote at a meeting of the board.

**Honoring.** The agency plans and carries out an annual event to honor the citizens it has selected for the Senior Citizens Hall of Fame and other awards. The agency maintains two exhibit spaces inside the tunnel that runs between the Capitol and the State House where it displays plaques, awards, and other exhibits honoring members.

- **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.

# 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 11 servers: one file server, four domain controllers, one test server, one application server, one physical backup server, one web services server, one backup server, and one web conference server. The operating system for all the servers is Windows Server. All servers are connected to the state network. All Area Agencies on Aging are connected to the state network via T1 connections or LAN to LAN VPNs. All records created by ADSS are stored on the file server and all client information transmitted to ADSS is stored on the database server. All ADSS files and client data are backed up nightly, weekly, and monthly for nine months. An encrypted backup is performed weekly to an offsite location. The board maintains a website at <http://www.alabamaageline.gov/>.

**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.
- **Loan Files.** When new members are nominated to the Senior Citizens Hall of Fame, items may be loaned to the Hall of Fame for display inside the tunnel that runs between the Capitol and the State House. Not all of the items in the display collection belong to the agency. Many of the items are on loan. The agency needs the loan files for twenty-five years after the item to document that the item was either returned to the owner or disposed of per the request of the owner.



**II. Permanent Records.** The Government Services 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. Minutes are also taken from meetings of the Alabama Senior Citizens Hall of Fame documenting the selection process among candidates for the Hall of Fame. (RDA page 11) (**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 11) (**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 toward changing or maintaining laws affecting older Alabamians and how the department and state provide services to the elderly. (RDA page 12) (**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 12) (**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 12) (**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.

### **Stewardship**

- **Inductee and Special Awards/Recognition Files.** These records include Inductee and Special Awards/Recognition Files. Once a nominee is inducted into the Senior Citizens Hall of Fame, the nominee file becomes an inductee file. This biographical information file is documentation of the achievements of the inductee and why he/she is worthy of induction.

Information is added to the file as needed. The special awards/recognition files document the special awards given by the agency (RDA page 13) **(Bibliographic Title: Inductee Files)**

### **Administering Internal Operations**

- **Publications, News Releases, and Photographs.** In accordance with the Code of Alabama, Section 41-9-544 (9), the authority may “publish or contract for the publication of brochures, books, and periodicals intended for the general public that are promotional, informational, or educational about the buildings, contents, and grounds of the complex.” The publications are necessary to document what the agency tells the public and how the department views itself and should be maintained permanently as part of the State Publication Collection. (RDA page 13) **(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)**
- **Website and Social Media.** The agency maintains a website at [www.alabamaageline.gov](http://www.alabamaageline.gov). The website will be archived and preserved as it serves as an important medium for communication with the public. If any changes to the website address occur, the agency shall report it to the Government Services Division to update the information. (RDA page 13) **(Bibliographic Title: Website and Social Media)**

# **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

### **Stewardship**

1. Inductee and Special Awards/Recognition Files

### **Administering Internal Operations**

1. Publications
2. Annual Reports
3. News Releases
4. Website and Social Media

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

# Department of 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. 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 Services 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, 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 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. 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 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, monitoring reports, , food service reports, weekly serving levels, meal discrepancies, logs of problems, program assessments, product specifications, MENQUAS (monthly menu software), and official item related correspondence)

Disposition: Temporary Record. Retain 3 full fiscal years after submission of federal expenditure report (45 CFR 92.42 (c)) in print or on computer.

#### 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 and Enrollments (local level)

Disposition: Temporary Record. Retain 3 years.

Ombudsman Program Files (includes managed care files)

Disposition: Temporary Record. Retain 6 years.

■ **Stewardship**

INDUCTEE AND SPECIAL AWARDS/RECOGNITION FILES

Disposition: PERMANENT RECORD.

Nominee Files

Disposition: Temporary Record. Retain 5 years unless the nominee is inducted, in which case transfer to Inductee File.

Ballots

Disposition: Temporary Record. Retain 2 years.

Display Inventory

Disposition: Temporary Record. Retain until superseded.

Loan Files

Disposition: Temporary Record. Retain 25 years after return of loaned item(s) or destruction of loaned items per request of the owner.

■ **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.

WEBSITE AND SOCIAL MEDIA

Disposition: PERMANENT RECORD.

(ADAH staff captures and preserves the agency's website via a service offered by the Internet Archive [Archive It]. Check with ADAH website at [www.archive-it.org/organizations/62](http://www.archive-it.org/organizations/62) to ensure your agency website and social media site(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Government Services Division at 334-242-4452 to get them included.)

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 systems 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 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.

Agency Audit Reports

Disposition: Temporary Record. Retain 6 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

1. Original bid records maintained in the purchasing office of the agency for contracts over \$15,000

Disposition: Temporary Record. Retain 7 years after end of the fiscal year in which the bids were opened.

2. Duplicate copies of bid (originals are maintained by the Division of Purchasing, Department of Finance)

Disposition: Temporary Record. Retain 3 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.

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

## **Requirements**

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 Alabama Private Investigation Board (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submits an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in April of each year.

## **Recommendations**

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 maintains permanent records in electronic format, it should employ an electronic records management system that is capable of tying retention and disposition instructions to records in the system and of purging temporary records when their retention periods expire. The agency is committed to funding any system upgrades and migration strategies necessary to ensure its records’ preservation and accessibility for the periods legally required.

- Electronic mail may contain permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA’s requirements, the division 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 Services Division archivists are available to instruct the agency’s 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 April 23, 2014.

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

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 Date

Receipt acknowledged

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 Neal Morrison, Commissioner  
 Alabama Department of Senior Services

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 Date