

Jefferson County Department of Health

Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
October 25, 2006**

Table of Contents

Functional and Organizational Analysis of Jefferson County Department of Health	1-1
Sources of Information	1-1
Agency Organization	1-1
Agency Function and Subfunctions	1-2
Planning and Supervising the Public Health of the County	1-2
Protecting the Environmental Health of the Community	1-2
Responding to Natural and Manmade Disasters	1-2
Controlling the Outbreak and Spread of Communicable Diseases	1-3
Providing Outpatient Health Care Services to the Public	1-3
Providing Homebound Care	1-3
Recording and Providing Access to Vital Records	1-4
Educating and Informing Professionals and the Public	1-4
Preparing Periodic Reports	1-5
Administering Internal Operations	1-5
Organizational Chart	1-7
Analysis of Record Keeping System and Records Appraisal of Jefferson County Department of Health	2-1
Agency Record Keeping System	2-1
Records Appraisal	2-2
Temporary Records	2-2
Permanent Records	2-4
Permanent Records List	2-8
Jefferson County Department of Health Records Disposition Authority	3-1
Explanation of Records Requirements	3-1
Records Disposition Requirements	3-2
Planning and Supervising the Public Health of the County	3-2
Protecting the Environmental Health of the Community	3-2
Responding to Natural and Manmade Disasters	3-5
Controlling the Outbreak and Spread of Communicable Diseases	3-5
Providing Outpatient Health Care Services to the Public	3-5
Providing Homebound Care	3-7
Recording and Providing Access to Vital Records	3-7
Educating and Informing Professionals and the Public	3-8
Preparing Periodic Reports	3-9
Administering Internal Operations	3-9
Requirement and Recommendations for Implementing the Records Disposition Authority	3-14

Functional and Organizational Analysis of the Jefferson County Department of Health

Sources of Information

Representatives of Jefferson County Department of Health
Jefferson County Department of Health Annual Reports
Jefferson County Department of Health Vital Records Annual Reports
Jefferson County Department of Health Air Quality Annual Reports
Guide to the Organization of the Alabama Department of Public Health
Code of Alabama 1975, Sections 22-3-1 through 22-3-12
Jefferson County Department of Health Records Retention Schedules, Government Records Division, Department of Archives and History
County Department of Health Records Retention Schedules, Government Records Division, Department of Archives and History
State Department of Public Health Records Retention Schedules, Government Records Division, Department of Archives and History
Government Records Division, State Agency Files (1985-ongoing)

Agency Organization

The Jefferson County Department of Health (hereafter referred to as JCDH), created in 1917, is the largest county health department within the Alabama Public Health system. The department is supervised by the Jefferson County Board of Health, which is composed of five physicians elected by the Jefferson County Medical Society. One member is elected each year for a five-year term. The chairman of the Jefferson County Commission is also a member of the Board.

Under the authority of Code of Alabama (1975), Section 22-3-2, the County Board of Health elects, subject to the approval of the State Committee of Public Health, a health officer for JCDH. In addition to his position as the chief executive officer of this department, the Jefferson County Health Officer also functions as the Assistant State Health Officer for Public Health Area 4 that covers Jefferson County.

The department is made up of several program service areas, such as Clinical Services, Finance and Administration, Management Information Systems, Research and Public Health Policy, Disease Control, Dental Health, Environmental Health, Vital Records, Community and School Health Promotion, Home Care/Hospice, WIC (Women, Infants and Children Program), Weapons of Mass Destruction, Bio-Defense, and Emergency Preparedness. Within each service area there may be one or more divisions responsible for executing specific program policies and procedures. In addition, the department operates seven fixed health centers and several mobile trailers to provide outpatient health care services to eligible county residents. An organizational chart is attached.

Agency Function and Subfunctions

The functions of JCDH are to preserve, protect, and enhance the general health of the community by providing health assessment information to the community; providing leadership in public health policy; assuring access to quality health services and information; preventing disease; and enforcing health regulation. This department is one of the agencies responsible for performing the Client Services function of Alabama government. In performance of its mandated function, JCDH may engage in the following subfunctions:

- **Planning and Supervising the Public Health of the County.** JCDH supervises, subject to the advice of the Jefferson County Board of Health, the sanitary interests of the county and enforces the health laws of the state, including all ordinances or rules and regulations. This subfunction involves all activities associated with the work of the Jefferson County Board of Health and the agency's top management team to develop specific program goals and priorities, establish procedures for implementation, and measure for quality control and improvement.
- **Protecting the Environmental Health of the Community.** Code of Alabama 1975, Section 22-3-2 (4), mandates all county departments of health in Alabama to exercise general supervision over the sanitary conditions of various public and private institutions or facilities and to use legal means to abate unsanitary problems. Through environmental health services, JCDH enforces federal, state, and local laws or regulations designed to provide and protect sanitary living conditions and a safe food supply. This subfunction encompasses three major program areas: Food and Lodging Protection Division, Air and Radiological Health Protection Division, and Community and Environmental Health Protection Division. The core service activities performed for those programs include product tests, field visits, facility inspections, complaint investigations, plan evaluations and approvals, permits or notices issuance, and various surveys.

Additionally, this subfunction contains an Air Pollution Control Program as a major program area; JCDH is the only county health department in the state with such a program area. This subfunction carries out the requirements of the federal Clean Air Act and its amendments and the requirements of the Code of Alabama (1975), Section 22-28-13 (b).

- **Responding to Natural and Manmade Disasters.** In conjunction with area-wide response teams including the Alabama Department of Public Health, Alabama Emergency Management Agency, Jefferson County Emergency Management Agency, local police, fire, and rescue officials, JCDH leads or supports mitigation and recovery efforts in the event of manmade or natural disasters. This includes responding to damage done by tornadoes, industrial accidents that may involve the surrounding community, relocation of citizens affected by hurricanes on the Alabama coast, and widespread infectious disease outbreaks like influenza. In this role, JCDH primarily provides assistance to front-line responders but the preponderance of effort is directed toward mitigation and recovery after the event has

occurred. In the age of increasing acts of international and domestic terrorism, JCDH will play a lead role in response to possible deliberate chemical, radiological and especially, biological releases, in addition to its more frequent and traditional support roles through mitigation and recovery.

- **Controlling the Outbreak and Spread of Communicable Diseases.** One of the major duties of the department is to investigate cases or outbreaks of any communicable disease and to enforce measures for the prevention or extermination of the disease. This subfunction involves investigating disease outbreaks; tracking diseases in the community that are reportable by law; providing testing and/or treatment for Sexually Transmitted Diseases (STD), HIV/AIDS, and tuberculosis; and offering immunization services to children and travelers.

- **Providing Outpatient Health Care Services to the Public.** The Jefferson County Department of Health operates health centers, and mobile dental clinics at various locations within Jefferson County to provide outpatient health care services to eligible county residents. The focus of health care is the prevention of disease and the treatment of illness in its early stages so that hospitalization or special care may be avoided. Health care services available in the clinics include family planning, pediatric primary care, adult health, dental care, clinical laboratory testing, nutrition counseling and WIC, and case management.

JCDH had in place the first outpatient mental hygiene clinic in Alabama (created in 1948) and the only one to be affiliated with a county health department. In 1976, the mental hygiene clinic evolved into a comprehensive community mental health center named Western Mental Health Center. In July of 2003, the department's Western Mental Health facility split away from the Jefferson County Department of Health and now operates as the Jefferson-Blount-St. Clair Mental Health / Mental Retardation Authority. This organization assumed the responsibility of providing mental health services to those that were being treated at Western Mental Health Center.

In May 2004, JCDH discontinued providing direct maternity care. JCDH partnered with the University of Alabama-Birmingham to provide maternity care in our health centers.

In December 2005, JCDH discontinued providing direct pharmacy services. Cooper Green Hospital was contracted to provide pharmacy services in five of the health centers that housed a pharmacy.

- **Providing Homebound Care.** JCDH's Home Care Program is a multi-disciplinary program that provides home visits to persons living in Jefferson County who are homebound due to an injury, illness, or surgery. Services include professional nursing, home health aide, physical therapy, occupational therapy, speech/language pathology, and medical social services. This service will be provided by the State Department of Public Health in October 2006.

The Birmingham Area Hospice is a service provided by the Jefferson County Department of Health to persons who are in the last stage of the dying process. Hospice provides a program of treatment to assist patients and their families in coping with dying by focusing on the personal, spiritual, and emotional needs of both. The concept employs an interdisciplinary team approach consisting of registered nurses, social workers, clergy, and volunteers acting under the direction of an autonomous medical director. Hospice services will be assumed by a private company in October 2006.

The Home and Community-Based Waiver for the Elderly and Disabled is a cooperative effort between the Alabama Medicaid Agency, the Department of Public Health, and the Department of Senior Services. Department of Public Health and Department of Senior Services are administering agencies authorized to provide all services, either directly or by contract. The Elderly and Disabled Medicaid Waiver Program is available statewide to individuals of any age who meet the medical and financial eligibility requirements. The services provided are Case Management, Personal Care, Homemaker, Respite, Companion, and Adult Day Health.

- **Recording and Providing Access to Vital Records.** JCDH is responsible for the registration and preservation of certain records of vital events that occur in Jefferson County and to provide public access to them. Before JCDH was established, birth and death records, dating back to the 1880s, had been recorded in handwritten ledgers at the Jefferson County Courthouse. The department had been one of the four county health departments designated by the State Board of Health to keep duplicate copies of vital records and issue official copies of vital records to county residents. As a result of the implementation of an electronic transmission system by the Center for Health Statistics of the State Department of Public Health in 1996, JCDH is no longer required to retain any copies of birth records (birth certificates and amendments) with the exception of records filed prior to the creation of the Center for Health Statistics at the state level in 1908. The same requirement also exists for death records after the State Department of Public Health finalizes the death records. The agency staff members are obligated to assist the public in obtaining, through its electronic network, certified copies of vital records that are not in its custody with the Center for Health Statistics and to provide direct access to all vital records filed prior to 1908.
- **Educating and Informing the Professional and the Public.** In accordance with Code of Alabama (1975), Section 22-3-5 (14),(15), and (16), county health departments are obligated to teach the people of the county through lectures, newspaper articles, and demonstrations the importance of protecting all food products, houses and human beings against unsanitary conditions or disease. This subfunction involve educating the community about public health through television/radio programs and newspaper articles, coordinating outreach or training activities, and promoting and conducting awareness programs, such as Public Health Week and AIDS press conference. It also covers various training activities for public health workers and professionals.

Staff of the agency's Community Relations unit, through Community and School Health Promotions, work with service centers within the JCDH, churches, communities, neighborhoods, civic groups, and community organizations to form partnerships to address health issues, provide health-related activities and programs, and provide health data and information to communities in Jefferson County. This effort includes development, implementation, and evaluation of health promotion programs and events. Community Resource Representatives serve as a liaison between the community and health department, by assisting in communicating needs and understanding of department functions. Other aspects of activities to build a healthy community involve identifying new and existing resources in communities to educate citizens about public health issues, healthy lifestyle practices, and health department services through community partnerships, health promotion and information programs, and health campaigns and events.

- **Preparing Periodic Reports.** This subfunction involves activities associated with the preparation and submission of periodic reports of activities and accomplishments to the Jefferson County Board of Health and other government entities, such as the State Department of Public Health, and the U.S. Environmental Protection Agency, that have jurisdiction over certain programs of JCDH.
- **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 Jefferson County Department of Health

Agency Record Keeping System

JCDH's record keeping system consists of paper, microfilm (soon to be replaced by a new digital imaging system), and electronic records. The agency microfilms all patient medical records more than 5 years old created by all health care program divisions and health centers/clinics. It also microfilms JCDH employee personnel files for employees who are separated from service. The paper copy is usually destroyed after the completion of filming. The original microfilm is returned to the department of origin and a silver duplicate is made and stored in a separate facility to ensure protection of record in case of destruction or loss of original. Due to the recent price increase of silver duplicate microfilm, JCDH is in the process of replacing the current microfilming system with a digital imaging system. A daily back up of all records on the digital imaging system will be kept permanently in the agency's Management Information System (MIS) department. A second back-up in the form of a DVD will be made and stored off site.

Management Information System/Electronic Records

In 1965, JCDH was the first county health department in Alabama to install a computer. JCDH currently has approximately 800 PCs, 60 Intel based servers, 200 printers, and a Unisys mainframe networked together in a Wide Area Network that connects the main administrative offices to the 8 remote sites. In addition, connectivity is maintained between the Jefferson County Commission, City of Birmingham, UAB, Cooper Green Hospital, and the Kirklin Clinic.

In addition to its administrative support functions, the network system is utilized to process the clinical data from specific programs. An immunization database provides up-to-date information, including the current status of all participants. With a federal grant award, the agency developed and implemented in 1993 the first electronic record keeping system in the nation for maintaining the Sexually Transmitted Disease (STD) patient medical records. This system manages all phases of patient care in the agency's STD clinic, from check-in to physician visit and payment. In October 2000, JCDH began implementation of an electronic medical record keeping system in all of its health centers. This system is now installed in all of the health centers. All of the patient's medical information can now be obtained from any of the seven sites. In 2006, STD and TB were added to the electronic medical record. Both the computer system and all applications are backed up daily on tapes. Duplicate back-up tapes are transferred to one of the agency's off-site health centers for storage.

Website

The JCDH web site address is www.jcdh.org. The department's first web-site was established in 1994 but there were only a few general pages. It was totally revamped in 1996 and provides information on JCDH programs, guide to services, daily ozone information, history of the department, restaurant inspection scores, and other timely information.

HIPAA

In 2002, all JCDH employees who have access to health information, either electronic or otherwise, received training on The Health Insurance Portability and Accountability Act of 1996 (HIPAA) Rule. In addition to training, the department has implemented several physical safeguards and precautions that are used daily to protect patient's health information against unauthorized access or modifications. The HIPAA Privacy Rule was promulgated to protect a patient's right to privacy and confidentiality of health information and requires that all documentation created and maintained under the security regulations be kept six years. However, this does not override state requirements on information such as medical records that require a 22-year retention.

Time and Attendance Enterprise

In 2000, an electronic time keeping system was implemented. Mangrove Software and Attendance Enterprise software comprise the department's integrated, web-enabled computerized personnel and payroll management information system. This includes a time and attendance module, a human resource module, and a payroll processing module. Attendance Enterprise is the electronic time and attendance management system, and Mangrove Software is the payroll processing and human resource system. Both systems are designed to improve employee tracking, scheduling, reporting, and processing payroll. Mangrove Software and Attendance Enterprise were implemented January, 2005.

Financial Management System

In 2005, an electronic financial management system was implemented. The department's financial management system is "FMS II", a product of the Mitchell Humphrey Software Company. The FMS II system is a web-enabled integrated system that includes a general ledger with encumbrance accounting, a budget system, purchasing/payable system, inventory/stores, fixed assets and accounts receivable software solution for governmental use. The system was fully operational on October 1, 2005.

Records Storage and Preservation

The agency utilizes part of its annex building to store all temporary records and the vault located in the agency's main building to preserve all of its permanent records. All records management activities are coordinated by staff members of the agency's General Services Division.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by JCDH: 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. Some of the temporary records created by the department are discussed below:

- **Health Center/Clinic Patient Medical Records.** JCDH is responsible for providing a wide

range of outpatient health care services to eligible county residents. These records serve as case files to document diagnoses, treatments, and other services, such as flu shot and immunizations, provided to eligible patients. They are retained to meet all statutes of limitation requirements and the medical reference needs of the agency staff for patients who have returned for services.

- **Tuberculosis Patient Case Files.** Filed separately from regular Health Center/Clinic Patient Medical Records, these are medical records pertaining to the diagnoses and treatment of active/suspected tuberculosis (TB) patients. A typical file may contain some or all of the following documents: TB clinical records, laboratory reports, X-ray readings, TB drug cards, Reports of Verified Case of Tuberculosis, TB Case - Current Information Exchange Forms, Interstate Reciprocal Notification of Disease forms, and hospital reports of TB patients. The case files are confidential under Code of Alabama (1975), Section 22-11A-9 and should be kept long enough to cover the average life span of an individual patient as a reference source for reactivated cases.
- **Sexually Transmitted Disease (STD) Patient Case Files.** Maintained primarily in the agency's electronic record keeping system, these records document the testing, diagnosis and treatment of cases of sexually transmitted diseases. The State Board of Health declares STD as "contagious, infectious, and dangerous to public health" (Code of Alabama [1975], Section 22-11A-13) and these confidential medical records should be preserved for the average life span of individual patients for clinical reference needs.
- **Acquired Immune Deficiency Syndrome (AIDS) Positive Testing Records.** The agency offers free confidential HIV antibody testing in all health centers/clinics. Pre and post test counseling are also offered, and referrals are made for clients who test HIV antibody positive. These positive laboratory test results for HIV/AIDS should be retained for the same length of time as medical records for TB and STD patients.
- **Expired Air Permit Files.** All major stationary sources that have the potential to emit air pollutants must apply for operating permits and abide by the established air emission standards. Since there is no standard requirement for renewal of air permits, all permit applications and other related materials must be maintained long enough to meet the agency's administrative needs and federal retention requirements.
- **Air Pollution Monitoring Site and Data Records.** A significant component of the agency's air pollution control program is the monitoring of air pollutant levels in the ambient air. Information received from the monitoring network about pollutant levels is used as the basis for developing control strategies and should be kept for long-term reference.
- **Onsite Sewage Disposal System Applications and Maintenance Files.** These files document applications for permits to construct or repair conventional residential/commercial septic tank systems and all follow up approval or related activities performed by the agency

staff. They provide documentation that may be of legal value as long as the system is in use.

- **X-Ray Machine Registration Files.** These files document the agency staff members' effort in regulating the use of x-ray machines or other devices producing ionizing radiation by medical, educational, industrial, and veterinary facilities. A typical file contains registration form, inspection reports, shielding evaluations, complaint records, and correspondence. They are useful to the agency as long as the device is in use. Shielding evaluations are kept for longer retention because they can be used, in the event that a new x-ray facility utilizes the same area, to compare with the new facility's design to see if existing shielding is adequate.
- **Radiation Exposure Reports.** Code of Alabama (1975), Section 22-14-8, requires each person who possesses or uses a source of ionizing radiation to maintain appropriate records showing radiation exposure. These reports are submitted by facilities documenting radiation dose received by their employees when performing work. In accordance with the retention requirements of the U.S. Nuclear Regulatory Commission, and due to the potential litigation arising from the exposure to radiation, these records should be retained long term.
- **Radioactive Materials Use Log.** JCDH maintains a radioactive materials use log to document user's names and locations where devices containing radioactive materials are used. Information in the log could be used as evidence in potential litigations and merits long retention.

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

Planning and Supervising the Public Health of the County

- **County Board of Health Meeting Minutes.** These records document proposed and executed proceedings of the Jefferson County Board of Health. Meetings of the board are held once every month and may be called as needed. The meeting minutes, dating back to 1917, serve collectively as the core documentation of major functions with regard to policy and the decision making processes.
- **JCDH Policy, Procedures, and Protocols.** These are official policies, procedures, and protocols designed for the administration of the agency's programs and services. They may include procedural manuals, rules and regulations, instruction guides, handbooks, or other issuances that establish a course of action for the entire department or a specific service program.

Protecting the Environmental Health of the Community:

- **Air Quality Annual Reports.** This report analyzes the results of air monitoring stations

located throughout Jefferson County for the purpose of measuring the outdoor concentrations of those pollutants for which the U.S. Environmental Protection Agency has established ambient air quality standards. Included in the report are general discussions of the background information; possible sources and health effects of each pollutant, along with any occurrences exceeding air quality standards; and a summary of field enforcement activities. These reports possess significant historical value, as the county has suffered from serious air pollution problems for years, and the annual report documents air pollution trends and efforts to correct them.

Providing Outpatient Health Care Services to the Public:

- **Medical Record Committee Meeting Minutes.** This committee consists of the medical record coordinator, medical record supervisors, administrator, deputy health officer, and MIS personnel. The main purpose of this committee is to revise/update the agency's medical record policies. This series documents proposed and executed proceedings of the committee.

Providing Homebound Care:

- **Public Health Nursing Advisory Council Meeting Minutes.** The council is composed of agency's staff and representatives from the community. The council was created to interpret and publicize services of the agency; advise the agency on professional issues; participate in the evaluation of the agency's program; and review annually the agency's by-laws and other governing policies and make recommendations. The meeting minutes of the council provide important documentation of the council's actions that may not be found elsewhere.

Recording and Providing Access to Vital Records:

- **Disinterment Permits.** These records document applications filed by funeral institutions for permission to disinter the remains of deceased persons and subsequent endorsement by the agency staff. The records are kept as archival documentation regarding the disinterment and location of deceased persons and are used by researchers for genealogy-related studies.
- **Birth/Death Records and Amendments Filed Prior to 1908.** As a result of the implementation of an electronic transmission system by the State Center for Health Statistics in 1996, the agency is no longer required to create and keep birth/death certificates, with the exception of records filed prior to the creation of the State Center for Health Statistics in 1908. Similarly, all amendments to records of birth and death, except those amending records created prior to 1908, are not handled by JCDH. The agency staff members are only responsible for assisting the public to obtain copies of vital records through its network with the State Center for Health Statistics. In addition, JCDH maintains and provides direct access to all archival records of vital events that occurred in Jefferson County prior to 1908.

Educating and Informing Professionals and the Public:

- **News Releases.** To keep the public informed and to promote departmental programs, JCDH releases information to the news media. These records consist of copies of press releases, articles for newspapers/journals, typescripts of broadcast announcements, photographs, and other related materials.
- **Speeches of the Health Officer.** In the performance of his duties, the county health officer issues public statements and delivers speeches designed to promote departmental programs and activities. The county health officer prepares speeches for delivery at meetings, interviews, conventions, or other public functions.
- **Still Photographs, Audio/Video Recordings, and Scrapbooks.** To supplement and preserve a record of the department's services and programs, JCDH staff members create and maintain a collection of photographs, audio/video recordings, and scrapbooks. These records serve as illustrations in various departmental publications or as visual displays of program activities. Included are negatives, contact prints, enlarged prints, audio/video recordings, and scrapbooks documenting not only the programs/services offered by JCDH but also changes of sanitary conditions in Jefferson County over the past eighty years.
- **Informational and Promotional Publications.** The agency staff members regularly distribute various publications to the general public for promoting and advertising services. Included are brochures, pamphlets, posters, and other materials issued in print.

Preparing Periodic Reports:

- **JCDH Annual Reports.** These reports are created to highlight the achievements and impact of the agency's services during the previous year. The format of the annual report is a combination of narrative summary and statistical data.
- **Vital Records Annual Reports.** The agency staff members use the vital records data to conduct county and sub-county level health surveillance and publishes the results each year in this report. The purpose of this report is to evaluate trends in the health status of residents of Jefferson County, to indicate areas of special health risk, and to provide decision support regarding health care policy, health system capacity, and overall health advocacy.

Administering Internal Operations:

- **Administrative Files of the Health Officer.** These records document the activities of the health officer in directing the work of the department and in enforcing policy. This series may include correspondence, memoranda, and other related materials. They are part of the core documentation of the department and should be preserved permanently.

- **Website.** The agency maintains a website at www.jcdh.org. Information on the website includes the agency’s history, board of health, financial data, organization chart, reports, inspection scores for restaurants/hotels, health-related statistics, and searchable guide to services. The website should be preserved as it serves as an important medium for communication with the public.(RDA page 3-5)(**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. 3-8)

III. Permanent Records No Longer Created. The following records were created by the agency over time, but are no longer created in this same format. In most cases these records were created for a purpose that no longer exists:

- **Quality Council Meeting Minutes.** The Quality Council, consisting of all program managers and administrative heads, develops and implements goals, priorities, and policies designed to ensure the quality and improvement of health care services, regulatory enforcement, and other activities. The council serves as the major planning and management tool for the whole department and these minutes warrant preservation to document the activities of the council. Quality Council meetings were discontinued in October 2004.
- **Narcotics Dispense Records.** These records document the dispensing of controlled substances in order to track their distribution. They are to be retained permanently in accordance with the federal regulation (21 CFR 1304). Although the department no longer dispenses controlled substances, all records previously created must be maintained permanently in JCDH Archives.
- **Western Mental Health Center Board Meeting Minutes** While under the direction of the Jefferson County Department of Health, The Western Mental Health Center Board of Directors was a community based board, functioning as the governing authority. Minutes taken during their bi-monthly meetings are property of the Jefferson County Department of Health and must be maintained permanently.

Permanent Records List*
Jefferson County Department of Health

Planning and Supervising the Public Health of the County:

1. County Board of Health Meeting Minutes
2. JCDH Policy, Procedures, and Protocols

Protecting the Environmental Health of the Community:

1. Air Quality Annual Reports

Providing Outpatient Health Care Services to the Public:

1. Medical Record Committee Records

Providing Homebound Care:

1. Public Health Nursing Advisory Council Meeting Minutes

Recording and Providing Access to Vital Records:

1. Disinterment Permits
2. Birth/Death Records and Amendments Filed Prior to 1908

Educating and Informing the Professional and the Public:

1. News Releases
2. Speeches of the Health Officer
3. Still Photographs, Audio/Video Recordings, and Scrapbooks
4. Informational and Promotional Publications

Preparing Periodic Reports:

1. JCDH Annual Reports
2. Vital Records Annual Reports

Administering Internal Operations:

1. Administrative Files of the Health Officer
2. Website
3. Inventory Lists

Permanent Records No Longer Created:

1. Quality Council Meeting Minutes
2. Narcotics Dispense Records
3. Western Mental Health Center Board Meeting Minutes

* All permanent records are scheduled for preservation in the agency's archival records storage area in the vault.

Jefferson County Department of Health 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 Jefferson County Department of Health. The RDA lists records created and maintained by the Jefferson County Department of Health 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 to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must also be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Jefferson County Department of Health's records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain 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 Jefferson County Department of Health 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.

■ Planning and Supervising the Public Health of the County

COUNTY BOARD OF HEALTH MEETING MINUTES

Disposition: PERMANENT RECORD. TRANSFER TO JCDH ARCHIVES.

QUALITY COUNCIL MEETING MINUTES

Disposition: PERMANENT RECORD. TRANSFER TO JCDH ARCHIVES.

Recordings of Meetings

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

JCDH POLICIES, PROCEDURES, AND PROTOCOLS

Disposition: PERMANENT RECORD. TRANSFER TO JCDH ARCHIVES.

■ Protecting the Environmental Health of the Community

Expired Air Permit Files

Disposition: Temporary Record. Retain for useful life.

Air Pollution Inspection and Complaint Files

Disposition: Temporary Record. Retain 5 years.

Air Pollution Inventories

Disposition: Temporary Record. Retain for useful life.

Air Pollution Monitoring Equipment Calibration and Audit Files

Disposition: Temporary Record. Retain 5 years.

Air Pollution Monitoring Site and Data Records

Disposition: Temporary Record. Retain for useful life.

Air Pollution Prevention Project Files

Disposition: Temporary Record. Retain 5 years.

Air Pollution State Implementation Plan (SIP) and Supporting Documentation

Disposition: Temporary Record. Retain for useful life.

AIR QUALITY ANNUAL REPORTS

Disposition: PERMANENT RECORD. TRANSFER TO JCDH ARCHIVES.

Applications for Permits (Food Service Establishments, Food/Milk Processing Plants, Frozen Dessert Locations, Retail Food Stores, Dairy Farms, and School Food Services, Mobile Home Parks, Hotels/Motels, Summer Day Camps, Communal Living Facilities, Junk Yards and Tattoo Parlors)

Disposition: Temporary Record. Retain 1 year or until new applications are received.

Applications for Tattoo Artist Permits

Disposition: Temporary Record. Retain 5 years.

Bacteriological Tests for Drinking Water

Disposition: Temporary Record. Retain 1 year.

Complaint Records (Food Service Establishments, Food/Milk Processing Plants, Frozen Dessert Locations, Retail Food Stores, Dairy Farms and School Food Services, Jails, Mobile Home Parks, Hotels/Motels, Summer Day Camps, Communal Living Facilities, Tattoo Parlors, Sewage Systems, Swimming Pools, and other facilities)

Disposition: Temporary Record. Retain 3 years after settlement of complaint.

Demolition/Renovation Project for Facilities with Asbestos-Containing Materials Files

Disposition: Temporary Record. Retain 5 years.

Food Handler Training Certificates

Disposition: Temporary Record. Retain 2 years.

Inspection Records (Food Service Establishments, Food/Milk Processing Plants, Frozen Dessert Locations, Retail Food Stores, Dairy Farms, and School Food Services, Jails, Mobile Home Parks, Hotels/Motels, Summer Day Camps, Communal Living Facilities, Tattoo Parlors, and other facilities)

Disposition: Temporary Record. Retain 3 years.

Lead-In Paint Survey Files

Disposition: Temporary Record. Retain 5 years.

Odor Complaint Forms

Disposition: Temporary Record. Retain: 5 years

On-Site Sewage Disposal System Applications and Maintenance Files

Disposition: Temporary Record. Retain until the system is no longer in use.

Open Burning Authorizations

Disposition: Temporary Record. Retain 3 years.

Public Hearing Records

Disposition: Temporary Record. Retain 6 years.

Public Swimming Pool Construction Files

Disposition: Temporary Record. Retain: Retain until the pool is no longer in use

Public Swimming Pool Operation and Inspection Reports

Disposition: Temporary Record. Retain 5 years

Rabies Control Program Records

Disposition: Temporary Record. Retain 3 years

Radiation Exposure Records

Disposition: Temporary Record. Retain 50 years

Radioactive Materials Licenses (copies)

Disposition: Temporary Record. Retain 5 years.

Radioactive Materials Use Logs

Disposition: Temporary Record. Retain 50 years after last entry.

Subdivision Files

Disposition: Temporary Record. Retain for useful life

Tanning Device Facility Inspection Reports

Disposition: Temporary Record. Retain until the completion of one audit and the release of the audit report.

Tanning Device Facility and Inspection Files

Disposition: Temporary Record. Retain 3 years after the termination of the permit.

Water and Sanitary Surveys

Disposition: Temporary Record. Retain for useful life

X-Ray Machine Reports

Disposition: Temporary Record. Retain until the completion of one audit and the release of the audit report.

X-Ray Machine Registration and Inspection Files

Disposition: Temporary Record. Retain 3 years after the termination of the registration.

X-Ray Machine Shielding Evaluations

Disposition: Temporary Record. Retain 20 years after the termination of the registration.

■ **Responding to Natural and Manmade Disasters**

Disaster Response Logs

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

After Action Reports

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

■ **Controlling the Outbreak and Spread of Communicable Diseases**

Acquired Immune Deficiency Syndrome (AIDS / HIV) Positive Testing Records

Disposition: Temporary Record. Retain 75 years.

Acquired Immune Deficiency Syndrome (AIDS / HIV) Negative Test Results

Disposition: Temporary Record. Retain 3 years

Certificates of Religious Exemption from Immunization

Disposition: Temporary Record. Retain 10 years

Communicable Disease Investigation and Notification Files

Disposition: Temporary Record. Retain 5 years

Immunization Survey Records (Schools, Day Care Centers, and Two-year-old Children)

Disposition: Temporary Record. Retain 3 years or until the completion of next survey.

Sexually Transmitted Disease (STD) Patient Case Files

Disposition: Temporary Record. Retain 75 years.

Tuberculosis Patient Case Files

Disposition: Temporary Record Retain 75 years.

■ **Providing Outpatient Health Care Services to the Public**

Health Center/Clinic Appointment Logs, Sign-in Sheets, and Telephone Logs

Disposition: Temporary Record. Retain 3 8 years

Health Center/Clinic Patient Encounter Forms

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

Health Center/Clinic Patient Medical / Dental Records

Disposition: Temporary Record. Retain 22 years after the date of last patient visit.

Health Center/Clinic Payment Deposit Listings

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

Laboratory Back Up Test Results

Disposition: Temporary Record. Retain 3 years.

Laboratory Equipment Maintenance Files

Disposition: Temporary Record Retain for the life of the instrument.

Laboratory Results (originals -- not filed in medical records)

Disposition: Temporary Record. Retain as long as medical records are maintained.

Laboratory Testing Quality Assurance and Staff Competency Evaluation Files

Disposition: Temporary Record. Retain 3 years.

MEDICAL RECORD COMMITTEE MINUTES

Disposition: PERMANENT RECORD.

NARCOTICS DISPENSE RECORDS

Disposition: Permanent Record. Retain in office in accordance with federal regulation (21 CFR 1304).

Narcotics Permits

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

Pharmacy Records (Inventory, Order Forms, Prescriptions)

Disposition: Temporary Record. Retain 2 years

Radiology X-Ray Films, Dental

Disposition: Temporary Record. Retain 5 years.

School Children Preventive Dental Program Case Files (Sealants and Fluoride Treatment)

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

Vaccine Administrative Slips (Signed by the Nurse Giving the Immunization)

Disposition: Temporary Record. Retain 75 years.

Vaccine Inventory and Temperature Graphs Monthly Reports

Disposition: Temporary Record. Retain 1 year

Vaccine Statements (Signed by the Patient or the Legal Guardian of the Patient)

Disposition: Temporary Record. Influenza: Retain 10 years; All Others: Retain 75 years

WESTERN MENTAL HEALTH CENTER BOARD MEETING MINUTES

Disposition: PERMANENT RECORD.

Women, Infants, and Children (WIC) Administrative Files (Payroll Records, Requisition Files, Quality Assurance Audits, Travel Vouchers)

Disposition: Temporary Record. Retain 7 years

Women, Infants, and Children (WIC) Program Administrative Files (Eligibility Certification Files, Food Instrument Registers, Vendor Files, Inventory Logs, Formula Logs, Correspondence, Financial Records, Nutrition Education Plans, Health Promotions, Waiting list, Verification of Destroyed Food Instruments, Complain Forms, Training Reports and various program management reports).

Disposition: Temporary Record. Retain 3 ½ years after the end of the fiscal year in which the records were created.

■ **Providing Homebound Care**

PUBLIC HEALTH NURSING ADVISORY COUNCIL MEETING MINUTES

Disposition: PERMANENT RECORD.

Daily Visit Records

Disposition: Temporary Record. Retain for useful life.

Inactive Elderly & Disabled Medicaid Waiver Program Patient Records

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

Inactive Home Health Care / Rehabilitation Program Patient Records

Disposition: Temporary Record. Retain 20 years after date of last visit.

Inactive Hospice Program Patient Records

Disposition: Temporary Record. Retain 20 years after date of last visit.

■ **Recording and Providing Access to Vital Records**

AFFIDAVITS TO AMEND RECORDS OF BIRTH FILED PRIOR TO 1908

Disposition: PERMANENT RECORD.

Applications for Vital Records

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

BIRTH CERTIFICATES FILED PRIOR TO 1908

Disposition: PERMANENT

BIRTH/DEATH RECORDS AND AMENDMENTS FILED PRIOR TO 1908

Disposition: PERMANENT RECORD.

DEATH CERTIFICATES FILES PRIOR TO 1908

Disposition: PERMANENT RECORD.

DISINTERMENT PERMITS

Disposition: PERMANENT RECORD.

■ **Educating and Informing Professionals and the Public**

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD. TRANSFER A MINIMUM OF 3 COPIES TO JCDH ARCHIVES.

NEWS RELEASES

Disposition: PERMANENT RECORD. TRANSFER A MINIMUM OF 3 COPIES TO JCDH ARCHIVES.

STILL PHOTOGRAPHS, AUDIO/VIDEO RECORDINGS, AND SCRAPBOOKS

Disposition: PERMANENT RECORD. TRANSFER NEGATIVES/CONTACT SHEETS, AUDIO/VIDEO TAPES, AND SCRAPBOOKS OF IMPORTANT EVENTS TO JCDH ARCHIVES.

(Each item should have an identification that includes the name(s) or subject pictured/recorded, occasion, place, and date event occurred or picture/recording was taken.)

Photograph publication permission forms

Disposition: Temporary Record. Retain 1 year after photograph is published.

SPEECHES OF THE HEALTH OFFICER

DISPOSITION: PERMANENT RECORD. TRANSFER TO JCDH ARCHIVES. IF IN ELECTRONIC FORMAT, A BACK-UP CD AND PAPER COPY MUST BE MAINTAINED PERMANENTLY FOR FUTURE REFERENCE.

■ **Preparing Periodic Reports**

Employee Newsletters

Disposition: Temporary Record. Retain 3 years.

JCDH ANNUAL REPORTS

DISPOSITION: PERMANENT RECORD. TRANSFER A MINIMUM OF 3 COPIES TO JCDH ARCHIVES

VITAL RECORDS ANNUAL REPORTS

DISPOSITION: PERMANENT RECORD. TRANSFER A MINIMUM OF 3 COPIES TO JCDH ARCHIVES

■ **Administering Internal Operations**

Managing the Agency:

ADMINISTRATIVE FILES OF THE HEALTH OFFICER

Disposition: PERMANENT RECORD. TRANSFER TO JCDH ARCHIVES.

WEBSITE

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

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life

Camera-Readies, Negatives, and Plates

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

Copies of Records Disposition Authority

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

Internal Committee Meeting Agenda and Minutes

Disposition: Temporary Record. Retain 1 year.

Legal Case Files

Disposition: Temporary Record. Retain 10 years after the case is closed.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies

Disposition: Temporary Record. Retain 3 years.

Printing Service Requests

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

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

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

Routine Correspondence and Memoranda

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

Security Compliance Documentation

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

Managing Finances:

Billing Records of the Department's Central Billing Office (Explanation of Payments and Response Files)

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

Records documenting the preparation of a budget 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 or routine accounting transactions, such as journals, registers, ledgers, and funds deposited outside the state treasury.

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

Records documenting requests for authorization from supervisors to travel on official business either within or outside the state, 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 the contract.

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 (where 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.

Audit Reports

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

Health Care Program Grant Project Financial Files and Client Encounter Records

Disposition: Temporary Record. Retain 6 years following the date service was provided.

Federal-funded Grant Project Files (Healthy Start)

Disposition: Temporary Record. Retain 6 years following the date of submission of the final expenditure report.

State-funded Grant Project Files:

Disposition: Temporary Record. Retain: 6 years following the end of the fiscal year in which the last transaction occurred.

Grant Project-related Property Inventory Files:

Disposition: Temporary Record. Retain: 3 years after the final disposition of property.

Medicare Cost Report Files

Disposition: Temporary Record. Retain: 5 years after the end of the fiscal year in which the records were created or until the final settlement of the cost report.

Financial Management Reports

Disposition: Temporary Record.

If final end-of-the-year reports are generated: Retain the final report 3 years after the end of the fiscal year in which the records were created.

If no final end-of-the-year reports are generated: Retain all reports 3 years after the end of the fiscal year in which the records were created.

State-funded: Retain: 6 years following the end of the fiscal year in which the last transaction occurred.

Billing Records of Central Billing Office (EOP's and Response Files)

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created.

Managing Human Resources:

Higher Education Records (Financial Records of Employees Who Have Participated in the Higher Education Program).

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

Employee Blood/Body Fluid Exposure Reports

Disposition: Temporary Record. Retain 30 years after separation of employee from the agency.

Employee Hepatitis B Immunization Records

Disposition: Temporary Record. Retain 30 years after separation of employee from the agency.

EMPLOYEE TRAINING AUDIO/VIDEO PRESENTATIONS

Disposition: PERMANENT RECORD. TRANSFER TO JCDH ARCHIVES.

Records documenting payroll (e.g. pre-payroll reports, 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 (including Form 941)

Disposition: Temporary Record. Retain: 4 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

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

Records documenting employees' daily and weekly work schedules

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

Records documenting employee disciplinary actions (reprimands, demotions, transfers, terminations, appeals, and administrative hearings)

Disposition: Temporary Record. Retain: 3 years following decision.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

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.

Employee Flexible Benefits Plan Files

Disposition: Temporary Record. General information -- Retain until superseded.

Other (applications, correspondence) -- Retain 6 years after termination of participation in program.

State Employee Injury Compensation Trust Fund Files

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

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain: 3 years.

Unemployment Compensation Files

Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the transaction occurred and settlement of any claims due.

Managing Properties, Facilities, and Resources:

Semiannual Inventory Lists

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

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

Disposition: Temporary Record. Retain: 3 years after the 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 items were removed from inventory.

Receipts of Responsibility for Property

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

Real Property Leasing/Renting Records

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

Facilities/Building Security Records (including visitor logs)

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

Insurance Policies/Risk Management Records

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

Building Maintenance Work Orders

Disposition: Temporary Record. Retain: 1 year.

Vehicle and Equipment Maintenance Files

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property is sold or replaced.

Requirement 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 Jefferson County Department of Health (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 October of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency’s approved RDA.
- Permanent records in the agency’s custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.

- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis--for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government Records Division archivists are available to instruct the agency staff in RDA implementation and otherwise assist the agency in implementing its records management program.

The State Records Commission adopted this records disposition authority on October 25, 2006.

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

Date

Receipt acknowledged.

Michael E. Fleenor, Health Officer
Jefferson County Department of Health

Date