

Alabama State Personnel Department

Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
April 26, 2006**

Table of Contents

Functional and Organizational Analysis of the Alabama State Personnel Department	<u>1-1</u>
Sources of Information	<u>1-1</u>
Agency Organization	<u>1-1</u>
Historical Context	<u>1-1</u>
Agency Function and Subfunctions	<u>1-2</u>
Promulgating Rules and Regulations	<u>1-2</u>
Administering the Rules and Regulations of the Board	<u>1-2</u>
Regulating	<u>1-3</u>
Administering Internal Operations	<u>1-4</u>
Organizational Chart	<u>1-6</u>
Analysis of Record Keeping System and Records Appraisal of the Alabama State Personnel Department	<u>2-1</u>
Agency Record Keeping System	<u>2-1</u>
Records Appraisal	<u>2-1</u>
Temporary Records	<u>2-1</u>
Permanent Records	<u>2-3</u>
Permanent Records List	<u>2-7</u>
Alabama State Personnel Department Records Disposition Authority	<u>3-1</u>
Explanation of Records Requirements	<u>3-1</u>
Records Disposition Requirements	<u>3-2</u>
Promulgating Rules and Regulations	<u>3-2</u>
Administering the Rules and Regulations of the Board	<u>3-2</u>
Regulating	<u>3-5</u>
Administering Internal Operations	<u>3-5</u>
Requirements and Recommendations for Implementing the Records Disposition Authority	<u>3-10</u>

Functional and Organizational Analysis of the Alabama State Personnel Department

Sources of Information

Representatives of the Alabama State Personnel Department
Code of Alabama 1975, Sections 36-26-1 through 36-26-3
Code of Alabama 1975, Sections 41-22-1 through 41-22-27 (Administrative Procedures Act)
Alabama Administrative Code, Chapters 670-x-1 through 670-x-20
Alabama Government Manual (2002), p. 48
Government Records Division, State Agency Files (1985-ongoing)
Records Schedules for the Alabama State Personnel Department
Annual Reports of the Alabama State Personnel Department

Agency Organization

The Alabama State Personnel Department is overseen by the state personnel board. The board is made up of five members as follows: the governor appoints two members; the lieutenant governor appoints one member; the Speaker of the House appoints one member; and the employees of the state elect one member. Members serve six-year staggered terms and may be removed by impeachment. The board holds regular monthly meetings and other meetings as necessary. The board appoints a director as the executive head of the department who hires staff, including a deputy director. An organizational chart is attached.

Historical Context

In 1939 Governor Frank Dixon recommended a number of organizational and administrative improvements in state government. At that time state government was composed of numerous independent boards, bureaus, and agencies. Personnel matters were handled by the governor. Governor Dixon's recommendations laid out plans for the consolidation of related functions into larger departments instead of numerous commissions or boards. Bills were introduced in 1939 resulting in the legislature's creation of six new departments: Revenue, Highway, Finance, Corrections, Pardons and Paroles, and Personnel.

The Alabama State Personnel Department is administered by a personnel director who answers to the State Personnel Board, which originally consisted of three members appointed by the governor with the consent of the Senate. In 1983, the legislature restructured the board increasing its membership to five and changing the appointing authorities to include the Lt. governor and the speaker of the house. The Senate no longer confirms the appointments.

On June 12, 1968, the United States Department of Justice filed suit in the U. S. District Court for the Middle District of Alabama against the State Personnel Director and Personnel Board and the heads of six departments (originally known as U. S. vs Frazer, the suit is now U. S. vs. Director

of the Alabama State Personnel Department et. al.). The lawsuit resulted in the finding that all state departments followed a pattern and practice of racial discrimination. The court order resulted in the following changes in Alabama's employment practices: prohibiting any employment practice with the purpose of, or which has the effect of, discrimination on the grounds of race, color, or national origin; forbidding appointing authorities to pass over higher-ranking eligible blacks for positions in order to appoint lower-ranking whites (now known as the "no-pass-over rule"); requiring the placement of blacks on certification lists sent to agencies when such blacks had a rank that qualified them; increasing advertisement and recruitment for applications among blacks; and prohibiting the return of registers with vacancies unfilled when blacks were available and qualified to do the job and were on the register.

In August of 1976, Judge Frank Johnson amended the original court order and made the U. S. Department of Justice (DOJ) the administrative watchdog over the State Personnel Department's test development activities. Testing and hiring came to an abrupt halt. The DOJ required that the state validate selection devices by statistically proving that the selection devices the state used actually tested for job-related knowledge, skills, and abilities. The state set about proving the worth of its procedures and eventually was allowed to continue its testing and hiring practices.

With recent civil rights legislation, federal law requires similar validation of selection devices. All aspects of the employment relationship have been addressed by legislative and executive pronouncements and by legal interpretations by the courts. The agency still operates under Department of Justice review.

Agency Function and Subfunctions

The mandated function of the department is to identify qualified individuals for state employment. The department is one of the agencies responsible for performing the Administrative Support Operations function of Alabama government. In the performance of its mandated function, the department may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** Staff members prepare and recommend rules to the board. The board reviews the recommendations and creates rules and regulations for state employment pursuant to the state administrative procedures. Staff members also recommend to the board and, after the board's adoption, establish, administer, and execute a classification plan for state service. After approval by the board, staff members submit to the governor a pay plan for all positions in the state service. Staff members make investigations pertaining to personnel, salary scales, and employment conditions in the state service as may be requested by the board, the governor, or the legislature.
- **Administering the Rules and Regulations of the Board.** The department is responsible for administering the board's rules and regulations. To fulfill this responsibility, staff members establish qualifications, screen applicants, create and conduct examinations, establish employment registers, and certify persons qualified for appointment. The department also establishes and maintains a roster of all the officers and employees in state service.

All state employees are categorized as follows: classified, exempt, unclassified, or unskilled. Classified employees are part of the merit system and are governed and protected by the rules and regulations of the merit system. Exempt employees (different from the federal use of the classification of exempt versus non-exempt) are exempt from the rules and regulations of the merit system. Unclassified employees are subject to the same rules and regulations as those that apply to classified employees, except those regarding appointment and dismissal. The unskilled employee classification is made up of positions that are limited assignments, including laborer, resort worker, and forestry worker and have no status in the merit system, receive only limited entitlements to certain fringe benefits, and have no right to appeal should their employment be terminated.

There are many different job classes with the state. To be considered for a job an applicant must be on the employment register for that job class. Applicants submit applications showing they meet qualifications as listed on the job announcement. Staff members of the department log the application in and then give the application to the personnel analyst responsible for the job class that the applicant is applying for. The assigned employee reviews the application to verify that the applicant meets the minimum criteria. Rejected applicants are so notified. Accepted applicants who applied for a job class that requires a written test are notified of the time and location of the test. For job classes not requiring a written test, the assigned personnel analyst scores the accepted applications based on education and experience, or based on some activity the applicant must perform, and then places the applicant on the register according to the score and notifies the applicant of the placement.

For job classifications requiring a written test, a personnel analyst works with the agencies utilizing the class to create an examination. A personnel analyst also administers and grades the examination. Results are distributed about four weeks after the examination. The names of all applicants that pass the examination are placed on the employment register. When an agency wants to hire a new employee, the department gives a list of the top applicants to the requesting agency, which is then responsible for interviewing, selecting, and hiring from the list.

Once someone is in state service, the Alabama State Personnel Department coordinates the state's system of leave and devises and administers a program of employee service ratings to allow for raises and promotions of individuals in state service. The department also develops and administers employee training programs to assist in understanding the merit system and other personnel procedures and for other associated activities such as applicant recruitment.

- **Regulating.** The board holds hearings for the appeal of dismissals, demotions, and charges of discrimination. The department also makes investigations concerning the administration of its rules and regulations and reports the findings and recommendations to the board.

Within ten days of dismissal, an employee may request a hearing before the board. The

hearing is conducted before a hearing officer whose report of the hearing, with exhibits attached, is the basis for the final order of the board. Employees who are laid off, and who contend that the layoff was motivated by bad faith, may request a hearing before a hearing officer who makes a report of the hearing to the director.

Demotions are subject to the approval of the director. If an employee requests a review, the record is obtained from the agency and statements of position are submitted by the parties. A formal order is entered which is placed in the employee's file.

Under department rules, an employee or applicant can appeal to the board any employment action alleged to be motivated by race, sex, or other discrimination. Such appeal is assigned to a hearing officer who conducts an evidentiary hearing and submits a report to the board.

An employee may seek relief before the board if an agency rule is working an unnecessary hardship on the employee. A member of the public may also bring dismissal charges against an employee. Such charges are assigned to a hearing officer for an evidentiary hearing and report.

- **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 internal office management activities such as corresponding and communicating; scheduling; meeting; creating policy and procedures; reporting; litigating; legislating (drafting, lobbying, tracking); 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; constructing buildings and facilities; 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 Alabama State Personnel Department

Agency Record Keeping System

The Alabama State Personnel Department operates a hybrid system composed of electronic and paper records.

Computer Systems: The department uses the State Data Center's IBM mainframe as the central repository for information generated and stored by the examination, certification, classification and payroll/personnel audit divisions of the department. Currently, the systems hosted on the mainframe include: the Local Government Financial System (LGFS), the Government Human Resources System (GHRIS), the applications and exams system, the certification system, and the reports management system. The more recent employee index files are found only in electronic form.

Nightly backups are taken of the LAN servers, with the Friday data-sharing server backup being sent to off-site storage. Two sets of mainframe backups are taken each night, with one set being stored in the silo in the Gordon Persons Building and the other set being stored in the Folsom Administrative Building. Each week, the department creates two sets of cartridges that backup all of the data files from the mainframe. Annually, a backup is sent to off-site storage.

Paper-based System: The department continues to maintain most of its records in paper form. Currently, the department utilizes the Records Retention Services for storage of some of its inactive paper records.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Alabama State Personnel Department : Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered their active life and disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the Alabama State Personnel Department are discussed below.

- **Transitory Records.** These are records created for short-term, internal purposes, as opposed to those that document the program functions of an agency or perpetuate knowledge. These records are not filed or appropriate for filing because they serve no documentary purpose, such as setting policies, establishing guidelines, etc. Transitory records might include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of materials sent for information purposes but not needed by the receiving office for future business; and internal communications about department social activities, such as a note to a group going to lunch.

- **Examination Files.** The department creates examination files to document the review and evaluation of applicants to formulate employment registers from which the agencies hire employees. The files include rejected applications, applications from abolished registers, applications from registers that have been replaced, and applications that were deleted after two years. The examination files are recommended for a retention of thirty years.
- **Examination Validation Study Files.** The department creates these records to document the actions taken and decisions made during content validity studies of various examinations given by the department. Included in these files are correspondence, lists of participants in the studies, worksheets and forms completed during the studies, and various notes concerning actions taken toward the development of the examinations. The files are recommended to be kept thirty years.
- **Certification of Eligibility Files.** These records enable the department to recreate a list of eligible individuals upon request. The list is needed to show who was eligible for hire at a given time in case of litigation. Information available in the records includes applicant's name, social security number, classification, score, race, sex, age, address, and the action taken. The records are recommended for a retention of thirty years for legal documentation.
- **Employee Master Files.** These records consist of applications and related information that document employees' work histories with the state. Information available includes employee's application, certification with examination score and standing, class, rate of pay, department employed by, performance appraisals, promotions, demotions, raises, suspensions, etc.. These records are recommended to be kept for twenty-five years after an employee's separation from state service.
- **Employee Master History Cards/Files.** These records, consisting of index cards and computer files, document employees' work histories with the state. Information available includes dates of service, positions held, pay rates, and other information on actions taken. From 1939 to 1983, information was entered onto cards that are maintained in a card catalog. Beginning in 1978, information is entered into the computer system. Because the possibility exists for someone to leave state service and then later return, the service records need to be kept to calculate benefits. These records are recommended to be kept for sixty years after employee's separation from state service.
- **Register of Removals.** These records are created to document the removal of individuals from registers because of falsification of employment records, illegal activity, or improper conduct. Information available includes employees' and applicants' names, addresses, personal data, social security numbers, education, records of illegal activity, etc.. These records are recommended to be kept ten years.
- **Special Leave Requests.** These records are requests from state agencies to the department requesting special leave for employees because of work related medical problems. The requests contain medical information. In October of 1994, the Division of Risk Management of the Department of Finance took over this responsibility through the Worker's

Compensation Program. It is recommended that these records be retained for thirty-five years after closure of any litigation in which the request is involved.

- **Family Medical Leave Act Correspondence and Logs.** Starting in 1999, the department handles questions regarding the Family Medical Leave Act. When someone calls, information is entered into a log to document who called, the nature of the question or request and the answer given or action taken. The matter of the state's compliance with this law is in litigation. It is recommended that the records be kept fifty years because of the long term administrative use of leave records. If the state is not required to comply with the act, the retention will be lowered.
- **Request for Mandatory Leave.** An appointing authority, with the approval of the personnel director, may require an employee to use accumulated leave under certain circumstances when the appointing authority deems the employee's absence from work to be in the best interests of the agency. The requests for mandatory leave document the agency's request for permission from the department to require an employee to take leave, and should be retained for one year.

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

Promulgating Rules and Regulations

- **State of Alabama Personnel Procedures Manuals.** These manuals are published to explain to the personnel managers of each agency the personnel procedures of the state. The manuals document the procedures of the state regarding personnel and are useful for evidential and historical purposes. (RDA page 3-1) **(Bibliographic Title: Manuals of Personnel Procedures)**
- **Records of The State Personnel Board.** These records, which include correspondence, resolutions, historical information, minutes, and agendas, document policy and rule development of the agency and required reporting by the department's staff members and other committees to the board. (RDA page 3-2) **(Bibliographic Title: Administrative Records of the State Personnel Board)**
- **State Classification and Pay Plans.** The department is responsible for creating job classifications and pay range classifications. Each employee is in a job classification. That job classification has a corresponding pay class with a pay range. Employees obtain annual raises and move through the pay range until reaching the top of the range or being placed in a different job classification with a different pay range. The classification and pay plan outlines the job and pay classes for the state. Because they document classifications and pay scales for state service, it is necessary to retain the plans. Currently, the Department of Archives and History has in its custody class specifications for 1939, 1952, 1957, and 1981 and Pay Plans from 1942 to -1982. (RDA page 3-2) **(Bibliographic Title: Classifications of State Jobs; Pay Ranges of State Jobs)**

Administering the Rules and Regulations of the Board

- **Examination History Files.** The examination history files contain the paperwork generated in the administration of each examination by the department. The files contain correspondence from state agencies, departmental announcements about examinations, examination booklets and answer keys, item analyses of the grades, and departmental memoranda concerning the examinations. These records are useful in documenting the changes in required knowledge for state positions and why those changes came about. Currently the Department of Archives and History has in its custody examination announcements from 1942 to 1981. (RDA page 3-2)

- **Continuous Recruitment/Employment Guides.** These guides are created to assist applicants with the application process. The Continuous Recruitment Guide contains a salary schedule and a listing of examination announcements for state jobs on continuous recruitment. This guide is updated annually. The Employment Guide contains a listing and a brief description of a variety of jobs in the state classified service. Most of the jobs in the guide are entry-level jobs and they are listed under headings like Administrative, Clerical, Social Services, etc. This guide is also updated annually. Because the guides document information given to the public and they could be used to show the changes in job classifications utilized by the state, they are recommended for permanent retention. (RDA page 3-3) **(Bibliographic Title: Recruitment Guides; Employment Guides)**

- **Monthly/Quarterly Reports, Semi-Annual Reports of Promotions and New Hires, and Annual Tables.** The monthly reports are statistical reports on the employee work force, departmental summaries, gains and losses, and Form 8 (unskilled) employees. The quarterly reports are listings of all employees by type of appointment (exempt, unclassified, classified (merit), and Form 8), by class and by department. The Semi-Annual Report of Promotions and New Hires, which lists all promotions and new hires, is part of the Federal Court Order reporting and is sent to the Department of Justice, which serves as the federal court reviewers. The annual tables give distribution of employees by type of employment, salary, department, county of residence, EEOC category, ethnicity, gender, leave totals, application origins, and turnover. These records are not always found in annual reports. (RDA page 3-4) **(Bibliographic Title: Monthly Reports; Quarterly Reports; Semi-Annual Court Reports; Annual Tables)**

- **Training Manuals/Handouts and Films/Videos.** The department creates and gives training programs and presentations. Usually there are manuals or handouts that are distributed with the presentation. These handouts are the best documentation of the training programs. Occasionally the department is involved in the creation of training films. These films are produced by or on behalf of the department and are used to assist in training. (RDA page 3-5) **(Bibliographic Title: Training Materials)**

Regulating

- Records documenting this subfunction are found in the Records of the State Personnel Board, listed below.

Administering Internal Operations

- **Correspondence of the Director.** These records include correspondence between the director and other agencies. Because the records document the policies and procedures of the department and how the department interacts with other agencies the records are deemed permanent. (RDA page 3-5) **(Bibliographic Title: Correspondence)**
- **Agency Policy And Procedural Records.** These records document the internal policies and procedures of the department and are necessary to understand how and why activities were carried out. (RDA page 3-5) **(Bibliographic Title: Policies and Procedures)**
- **Records of Presentations by Representatives of the Department to the Personnel Managers Council.** The personnel managers council is made up of agency personnel managers. The department has no authority over the council, but employees of the department as well as the director of the department may attend the meetings and speak on behalf of the department. The records of the presentations of the department at these meetings are necessary to document what is said on behalf of the department. (RDA page 3-5) **(Bibliographic Title: Presentations by Representatives of the Department to the Personnel Managers Council)**
- **News Releases.** These records consist of news releases of the department for purposes of recruitment and publicity. They provide useful information documenting the activities of the department. (RDA page 3-6) **(Bibliographic Title: News Releases)**
- **Speeches/Photographs.** These records document official statements and/or activities of the department that may not be found elsewhere and therefore retain historical value. (RDA page 3-6) **(Bibliographic Title: Speeches; Photographs)**
- **Annual Reports.** The annual reports are summary documentation of the activities of the department. (RDA page 3-6) **(Bibliographic Title: Annual Reports)**
- **Website.** The agency has a website at www.personnel.state.al.us. Information on the website includes notices of personnel board, job openings, examination status, payroll information, and the agency's annual reports. 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. 3-9)

Permanent Records List

Alabama State Personnel Department

Promulgating Rules and Regulations

1. State of Alabama Personnel Procedures Manuals
2. Records of the State Personnel Board

Creating Classification and Pay Plan

1. State Classification and Pay Plans

Administering the Rules and Regulations of the Board

- *1. Examination History Files
2. Continuous Recruitment/Employment Guides.
3. Monthly/quarterly Reports, Semi-annual Reports of Promotions and New Hires, and Annual Tables
4. Training Manuals/Handouts and Films/Videos

Administering Internal Operations

1. Correspondence of the Director
2. Agency Policy And Procedural Records
3. Records of Presentations by Representatives of the Department to the Personnel Managers Council
4. News Releases
5. Speeches/Photographs
6. Annual Reports
7. Website
8. Inventory Lists*

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

Alabama State Personnel Department 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 Alabama State Personnel Department. The RDA lists records created and maintained by the Alabama State Personnel Department in carrying out its mandated functions and subfunctions. It establishes retention periods and disposition instructions for those records and provides the legal authority for the Alabama State Personnel 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 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 Alabama State Personnel Department's records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the Subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain other short-term records that do not materially document the work of an agency may be disposed of under this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; and (2) transitory records, which are temporary records created for internal purposes that may include, but are not limited to, telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for information purposes but not needed by the receiving office for future business; and internal communications about social activities. They may be disposed of without documentation of destruction. Other items that may be disposed of without destruction documentation include: (1) catalogs, trade journals, and other publications received that require no action and do not

document government activities; and (2) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete.

■ **Promulgating Rules and Regulations**

STATE OF ALABAMA PERSONNEL PROCEDURES MANUALS

Disposition: PERMANENT RECORD.

RECORDS OF THE STATE PERSONNEL BOARD

Disposition: PERMANENT RECORD.

Personnel Board Rulemaking Files

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

Register of Administrative Procedures Rule Filings

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

Studies and Surveys

Disposition: Temporary Record. Retain 5 years.

Annual Surveys

Disposition: Temporary Record. Retain 2 years.

Replies to Studies and Surveys

Disposition: Temporary Record. Retain 2 years.

STATE CLASSIFICATION AND PAY PLANS

Disposition: PERMANENT RECORD.

Classification Specifications

Disposition: Temporary Record. Retain 10 years after class is abolished.

Position Duties and Responsibilities Forms (Form 40)

Disposition: Temporary Record. Retain 5 years after position is abolished.

■ **Administering the Rules and Regulations of the Board**

Certification Records (printouts of applications on registers, applications, and returned postcards/letters)

Disposition: Temporary Record. Retain 10 years.

Examination Booklets

Disposition: Temporary Record. Retain 10 years.

Examination Files (includes applications, rejects, register replacements, applicants deleted after 2

years, answer sheets, applicant lists {000s}, questionnaires and other exam records)

Disposition: Temporary Record. Retain 30 years.

EXAMINATION HISTORY FILES (includes job announcements)

Disposition: PERMANENT RECORD.

Examination Validation Study Files

Disposition: Temporary Record. Retain 30 years.

CONTINUOUS RECRUITMENT/EMPLOYMENT GUIDES

Disposition: PERMANENT RECORD.

Certification of Eligibility Files

Disposition: Temporary Record. Retain 30 years.

Quarterly Classification Incumbent Reports

Disposition: Temporary Record. Retain 3 months.

Employee Master Files

Disposition: Temporary Record. Retain 25 years after employee's separation from state service.

Employee Master History Cards/Files

Disposition: Temporary Record. Retain 60 years after employee's separation from state service.

Register Removals

Disposition: Temporary Record. Retain 10 years.

Special Leave Requests

Disposition: Temporary Record. Retain 35 years after closure of file.

Leave Donation Requests and Correspondence

Disposition: Temporary Record. Retain 5 years.

Leave Donation Database

Disposition: Temporary Record. Retain until superseded.

Correspondence Regarding Denial of Hiring Above Minimum Pay Rate (records of approvals found in employee master file)

Disposition: Temporary Record. Retain 3 years.

Family Medical Leave Act Correspondence and Logs (requests and questions)

Disposition: Temporary Record. Retain 50 years.

Annual Raise Letters and Lists

Disposition: Temporary Record. Retain 10 years.

Employee Records of Cancellation

Disposition: Temporary Record. Retain 6 months.

Hold For Action Records

Disposition: Temporary Record. Retain 6 months.

Inactive Receiving Pay (Working Payroll Printout)

Disposition: Temporary Record. Retain 1 year.

Leave Balance for Separated Employees

Disposition: Temporary Record. Retain 1 year.

Working Payroll Documents of Pending Actions (Limbo Form 11)

Disposition: Temporary Record. Retain 3 months.

New Employee Screen Reports

Disposition: Temporary Record. Retain 1 year.

Overtime Reports

Disposition: Temporary Record. Retain 1 year.

Pending Personnel Printouts

Disposition: Temporary Record. Retain 6 months.

Probationary Reports

Disposition: Temporary Record. Retain 6 months.

Quarterly Incumbent Reports

Disposition: Temporary Record. Retain 3 months.

Sex and Race Possible Error Reports

Disposition: Temporary Record. Retain 6 months.

State Docks Payroll and Change Lists

Disposition: Temporary Record. Retain one year after audited by State Personnel Department.

Suspension Cards

Disposition: Temporary Record. Retain 1 year after last suspension.

Workers Compensation Form 2

Disposition: Temporary Record. Retain 4 years after separation of employee.

MONTHLY/QUARTERLY REPORTS, SEMI-ANNUAL REPORTS OF PROMOTIONS AND
NEW HIRES, AND ANNUAL TABLES

Disposition: PERMANENT RECORD.

Records of Equal Employment Opportunity Commission (EEOC) Reports
Disposition: Temporary Record. Retain 3 years after settlement of U. S. vs. Director of the Alabama State Personnel Department et. al.

GHRIS Work Reports
Disposition: Temporary Record. Retain 6 months.

Training Files (includes list of attendees)
Disposition: Temporary Record. Retain 10 years.

Evaluations of Training and Lists of Training Locations
Disposition: Temporary Record. Retain for useful life.

Video Creation Records (Includes scripts)
Disposition: Temporary Record. Retain for useful life.

TRAINING MANUALS/HANDOUTS AND FILMS/VIDEOS (record copy)
Disposition: PERMANENT RECORD.

■ **Regulating**

Personnel Hearing/Appeal Files (includes demotion hearings, hardship rules hearings, dismissal appeals, discrimination appeals, layoff appeals, and citizen complaints)
Disposition: Temporary Record. Retain 6 years after final decision.

Records of Equal Employment Opportunity Commission (EEOC) Charges
Disposition: Temporary Record. Retain records of no action 3 years. If action is taken, place in Legal Case Files.

■ **Administering Internal Operations**

Managing the Agency:
CORRESPONDENCE OF THE DIRECTOR
Disposition: PERMANENT RECORD.

AGENCY POLICY AND PROCEDURAL RECORDS
Disposition: PERMANENT RECORD.

RECORDS OF PRESENTATIONS BY REPRESENTATIVES OF THE DEPARTMENT TO THE PERSONNEL MANAGERS COUNCIL
Disposition: PERMANENT RECORD.

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

Board Meeting Notices

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

Board Appointment Letters

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

Listings of Board Members

Disposition: Temporary Record. Retain until superseded.

Calendars (containing job related information)

Disposition: Temporary Record. Retain 1 year.

NEWS RELEASES

Disposition: PERMANENT RECORD.

SPEECHES/PHOTOGRAPHS

Disposition: PERMANENT RECORD.

Legislative Files

Disposition: Temporary Record. Retain for useful life.

Legal Case Files

Disposition: Temporary Record. Retain 6 years after final decision (prior to destruction, contact ADA to review case files that may be of historical significance).

Employee Administrative Hearing Files

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

Copies of Documents Produced Under Discovery Rules

Disposition: Temporary Record. Retain 3 years after closure of case.

Board of Adjustment Files

Disposition: Temporary Record. Retain 5 years.

Requests for Information

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

Routine Correspondence

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

Mailing Lists

Disposition: Temporary Record. Retain until superseded.

Administrative Reference Files (does not include records documenting actions taken)

Disposition: Temporary Record. Retain for useful life.

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

WEBSITE

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

Records documenting the implementation of the agency's approved RDA, including copies of transmittals for records transmitted to the Records Retention Services, records transferred to the Department of Archives History, and evidence of obsolete records destroyed

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 was superseded.

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

Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists in the agency and all permanent records have been migrated to a new system.

Managing Finances:

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

Disposition: Temporary Record. Retain 3 years after 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 such as journals, registers, and ledgers; and records of funds deposited outside the state treasury

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.

Contract Reports (includes copies of contracts)
Disposition: Temporary Record. Retain 1 year.

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

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.

Managing Human Resources:

Requests for Mandatory Leave
Disposition: Temporary Record. Retain 1 year.

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

Employee Training Database (of Alabama State Personnel Department employees)
Disposition: Temporary Record. Retain for useful life.

Position Files (HRS and Position Database)
Disposition: Temporary Record. Retain 7 years.

Equal Employment Opportunity Records and Affirmative Action Plans (of State Personnel Department)
Disposition: Temporary Record. Retain 5 years.

Records documenting employee hours worked, leave earned, and leave taken
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

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

Records of final leave status

Disposition: Temporary Record. Retain record of individual employees' cumulative leave 6 years after separation of employee from the agency.

Litigation and Records of Equal Employment Opportunity Commission (EEC)

Complaint/Grievance Files

Disposition: Temporary Record. Retain 10 years.

Records documenting salary and wages (includes payroll register)

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

Records documenting payroll deductions for tax purposes

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

Payroll Deduction Authorizations

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

Records documenting an employee's work history - generally maintained as a case file

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

Unemployment Compensation Files

Disposition: Temporary Record. Retain 5 years.

Records documenting the worker's compensation program

Disposition: Temporary Record. Retain 12 years after creation.

Records documenting the State Employee Injury Compensation Trust Fund claims

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

Training Records of Alabama State Personnel Department employees

Disposition: Temporary Record. Retain 3 years.

Managing Properties, Facilities, and Resources:

INVENTORY LISTS

Disposition: PERMANENT RECORD. 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 Computer Files

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the items were removed from inventory.

Property Inventory Affidavits

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

Records of Responsibility for Property

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

Records documenting the use, maintenance, ownership, and disposition of vehicles owned by the agency

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the vehicle was removed from the property inventory.

Requirement and Recommendations for Implementing the Records Disposition Authority

Under the Code of Alabama 1975, Section 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without first obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the Alabama State Personnel Department (hereafter referred to as the agency) as stipulated in this document.

One condition of this authorization is that the agency submit an annual Records Disposition Authority (RDA) Implementation Report on agency records management activities, including documentation of records destruction, to the State Records Commission in April 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 April 26, 2006.

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

Date

Receipt acknowledged.

Jackie Graham, Director
Alabama State Personnel Department

Date
