

Alabama Public Service Commission

Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
July 27, 2000**

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Functional and Organizational Analysis of the Public Service Commission

Sources of Information

Representatives of the Public Service Commission

Walter L. Thomas, Jr., Secretary of the Commission
Ellen Irvine, Commissioner Cooks's Office
Sandy Haynes, Administrative Division
Rolland Casey, Advisory Division
Billy Knight, Energy Division
Judge Stan Foy, Legal Division
Gene Holsenbeck, Telecommunications Division
Suellen Young, Transportation Division
Ron Hicks, Transportation Division

Code of Alabama 1975, Sections 37-1-1 through 37-1-157, and 37-2-3

United State Code, Title 49, 14504

Title IV of the Federal Aviation Administration Authorization Act of 1994

Federal Telecommunications Act of 1996

Federal Transportation Equity Act of 1998

Federal Interstate Commerce Commission Termination Act of 1995

Alabama Government Manual (1994)

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

Government Records Division, Agency History

“Functional Analysis of Alabama Government” (1998)

Holdings of the Department of Archives and History for the Public Service Commission

Public Service Commission Records Schedules

Public Service Commission Audit Report for October 1, 1993 through September 30, 1995 and
October 1, 1995 through September 30, 1997

Agency Organization

The Public Service Commission consists of three elected commissioners - a president and two associates - with four-year, staggered terms. The commissioners meet monthly in Montgomery. The commissioners act jointly as chief executive officers, but also employ a secretary as chief administrative officer and appoint merit system employees as necessary. The commission's organization includes six divisions: Administrative, Advisory, Energy, Legal, Telecommunications, and Transportation. An organizational chart is attached.

Historical Context

The Public Service Commission is successor to the Railroad Commission, which an act of the legislature originally created on February 26, 1881. The legislature gave the Railroad Commission very limited powers to regulate railroads that operated as common carriers for hire. Eventually, the legislature enacted laws broadening the jurisdiction of the commission to include regulation of express companies, sleeping car companies, and depot and terminal stations. The legislature also granted the commission jurisdiction over telephone and telegraph companies and other common carriers for hire. In 1915, the legislature changed the name of the Railroad Commission to the Public Service Commission and broadened its powers to include the regulation of public utilities. The legislature added jurisdiction over motor transportation companies in 1927, and broadened the commission's authority over transportation companies in 1931 and 1932 by including motor carriers not operating over regular routes. In 1945, the legislature gave the commission jurisdiction over air carriers.

The legislature placed all natural gas transmission and distribution systems under the commission's jurisdiction for safety purposes in 1968. In 1971, the legislature empowered transportation enforcement officers to enforce the rules and regulations of the commission, and placed radio common carriers under the commission's authority. In 1976, railroad tracks and equipment were included under the commission's jurisdiction with the passage of the State Participation Program in the Federal Railroad Safety Act of 1970. In 1977, the legislature empowered the Office of the Attorney General to represent consumers and the state in all commission hearings.

In recent years, the United States Congress has passed several important laws that greatly influenced state regulatory agencies. The Intermodal Surface Transportation Efficiency Act of 1991 (ISTEA) established the Single State Registration System (SSRS) and directed the Interstate Commerce Commission to implement regulations converting the bingo stamp program to a base state insurance registration program. Title IV of the Federal Aviation Administration Authorization Act of 1994 provides for federal preemption of state regulation of prices, routes, and services of motor carriers of all freight except household goods. This law eliminates tariffs and hearings on applications for authority to operate. The commission still regulates carriers of household goods and passengers, and still ensures that all carriers maintain proper bodily injury and property damage liability insurance and, when necessary, cargo insurance, and that they meet appropriate safety standards.

The Telecommunications Act of 1996 provides a framework for opening the nation to competition for local telephone service. The Transportation Equity Act of 1998 provides preemption on charter buses, and the ICC Termination Act of 1995 provides preemption on railroad rates. These federal actions take precedence over rules of state regulatory agencies. In accord with the new federal acts, the commission must now provide an orderly transition from overseeing regulated monopolies to regulating open competition.

Agency Function and Subfunctions

The mandated function of the Public Service Commission is to regulate public utilities and the intrastate rates and services of transportation companies conducting business in the state. The commission is one of the agencies responsible for performing the Regulatory function of Alabama government as described in “Functional Analysis of Alabama Government.” In the performance of its mandated function, the commission may engage in the following subfunctions.

- **Regulating.** The commission exercises general supervision of all persons, firms, and corporations operating utilities; regulates the issuance of Certificates of Public Convenience and Necessity for the construction of new plants or facilities; and regulates the sale or lease of the property of a utility to another utility, the abandonment of service of a utility to the public, and rates and charges for services rendered. The Attorney General assigns an assistant attorney general to represent the public in matters and proceedings before the commission. The commission is authorized to intervene in federal agency proceedings affecting interstate rates or regulations in Alabama. Regulatory activities of the commission are divided into general, advisory, telecommunications, transportation, railway safety, and energy.

The commission is exempt from the Administrative Procedures Act (Code of Alabama 1975, Section 41-22-3). The commission creates rules and regulations through a notice and comment procedure that begins when the commission gives notice of a possible rule or regulation change and asks for comments from all affected parties. All changes are voted upon by the commissioners at a public commission meeting.

In the course of its regulatory activities, the commission receives numerous filings such as rules, regulations, rates, and operating procedures of each company, and any proposed changes to these. Appropriate staff members of the commission review these required filings for compliance with regulations and give each filing a docket number based upon the type of docket (formal, informal, or deregulation under the Telecommunications Act of 1996). Formal dockets require a hearing by an administrative law judge of the commission. The secretary of the commission assigns a formal docket number to cases requiring public hearings (informal and deregulation cases do not require a hearing, but the commission can request that an informal case become a formal case requiring a hearing), and places the hearing on the commission’s calendar. Staff members mail notices of hearings, and the chief administrative law judge assigns one of the three judges (including himself) to preside over the hearing. Usually a representative from the Attorney General’s Office is present at the hearings. The assigned judge reviews the docket file provided by staff members of the commission, hears testimony, and receives evidence. The judge makes a recommendation that is presented to the commissioners at their monthly meeting. The commissioners then vote on the decision and issue an order.

The commission is charged with supervising, regulating, and controlling all transportation companies doing business in the state including common and contract carriers by motor vehicles, railroads, telephone and telegraph lines, pipelines, and waterways. The commission maintains insurance filings and vehicle registrations on interstate carriers. Federal law requires motor carriers to register with the Federal Highway Administration and provide proof of insurance. The Public Service Commission requires the motor carriers with their base of operations in Alabama to file copies of their insurance filings, process agent, and authority with the commission. Alabama participates in the Single State Registration System (SSRS), which is an insurance and safety registration system allowing motor carriers to operate in several states without having to register in each one. The motor carrier pays applicable fees based upon the matrix of fees charged by all the states where the motor carrier intends to travel and receives a receipt from the commission. Monthly, the commission provides the necessary information and fees to other states where the motor carrier intends to operate. Hearings are required on intrastate applications for passenger carriers (except charter buses) and for household goods.

The commission also controls, supervises, and regulates persons engaged in intrastate air commerce and in radio utilities within Alabama. In accordance with the National Gas Pipeline Safety Act of 1968, the commission is authorized to exercise regulatory jurisdiction over the safety of pipeline systems and the transportation of gas, and to enforce federal safety standards in the state, in lieu of enforcement by the Department of Transportation.

- **Investigating.** Staff members of the commission handle informal complaints of customers or patrons against services or practices of public utilities. Activities include testing service meters of customers and, where possible, obtaining a fair and proper adjustment without litigation. The commission's inspectors travel all over the state making inspections of facilities and services of common carriers and visit local public officials to ascertain if there are any local complaints. The investigators assist in the collection of delinquent fees and make written reports of their inspections. Staff members of the commission investigate cases involving operations regulated by the commission. Investigations may involve the collection of operating and statistical reports of public utilities and the examination of books and records.

Staff members of the commission conduct safety compliance inspections on all railroad common carriers' tracks and equipment in Alabama. Inspectors also monitor compliance with applicable regulations for railroad workplace safety; investigate railroad accidents and derailments to determine causes and to recommend action to prevent recurrence; investigate complaints in all matters pertaining to railway safety; and investigate railroad rehabilitative projects, which are administered by the Alabama Department of Transportation.

The commission designates certain employees as enforcement officers having the powers of peace officers and deputy sheriffs in the state. These employees exercise such powers anywhere in the state as to the provisions of the rules and regulations of the commission.

Activities include issuing arrest citations, tickets and warning tickets; filling out safety inspection forms, accident reports, and investigation records; and conducting investigations as necessary relating to enforcement activities.

- **Administering Internal Operations.** A significant portion of the agency's activities include general administrative, financial, and personnel activities geared toward the internal functioning of the agency. These administrative duties are grouped together under the subfunction Administering Internal Operations. Administering Internal Operations includes the following groups of activities:

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, legislating (drafting, lobbying, tracking), publicizing and providing information, managing records, and managing information systems and technology.

Managing Finances: Activities include budgeting (preparing and reviewing a budget package, submitting the budget package to the state Finance Department; 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; assisting in the audit process; investing; and issuing bonds.

Managing Human Resources: Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees, such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, promoting, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining.

Managing Properties, Facilities, and Resources: Activities include: 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 security for property owned by the agency; insuring property; and assigning, inspecting and maintaining agency property, including vehicles.

Revision Completed: May 2000
Attachment: Organizational Chart

Analysis of Record Keeping System and Records Appraisal of the Public Service Commission

Agency Record Keeping System

The Public Service Commission operates a hybrid system composed of computer systems and paper record-keeping.

Computer Systems: The current information systems environment is a combination of a local area network (LAN) and laptop computers. The LAN consists of over 120 personal computers, a Unisys SNP-5000 file server, a Gateway proxy server, and a Gateway web server. The file server is the central repository for information generated and stored by the commission. There is no standard office suite of software and several are used. Several database applications are written in-house in Access. Information in the databases is also found in paper. Staff members perform a complete backup of the file server daily and store the tapes offsite at an employee's house. The agency uses four gigabyte data cartridges to store the backup. The commission uses ACT World Net as its Internet and e-mail provider. All employees have Internet and e-mail access, but not all of the staff members utilize these applications. The commission has an Internet usage policy.

The commission maintains a website at <http://www.psc.state.al.us>. Information on the website includes copies of news releases and orders, as well as downloadable informational files and presentations on year 2000 compliance. The information, with the exception of the year 2000 presentations, are found in paper as well.

Microfilm: The commission currently films several series of transportation records on a Kodak Starfile RV-3 camera that simultaneously creates two silver masters with computer assisted retrieval (CAR) encoding. The Department of Industrial Relations processes the film. The commission stores one silver master in the Department of Archives and History's microfilm storage vault and stores the other at the offices of the commission. Commission staff members use a diazo duplicate for reference on an IMT-350 reader printer. None of the microfilmed records are of permanent value.

Paper-based System: The commission continues to maintain most of its records in paper form. The commission does not currently include paper records management instructions in its procedures manuals.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Public Service Commission: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered their active life and be disposed of once all fiscal, legal, and administrative requirements have been met. Some of

the temporary records created by the Public Service Commission are discussed below.

- **Tariff Books/Pages.** Utilities operating in Alabama provide tariff books to the Public Service Commission. The commission must review and approve any tariff before it is implemented. Tariffs contain the rules, regulations, rates, and operating procedures of each company. The commission maintains tariffs for local telephone exchanges, long distance resellers, radio common carriers, water companies, gas companies, and one power company. Each division of the commission utilizes the tariffs in monitoring activities. Tariffs are constantly being updated, usually on an incremental basis. Whenever the commission approves a tariff filing, new pages are placed in the tariff book and the replaced pages are placed in a canceled tariff file.
- **Canceled Tariff Books/Pages.** After the commission approves a new tariff filing, the pages that the new filing supersedes are placed in a separate file. The canceled tariff filings assist the analysis staff in making decisions on new filings.
- **Railway Violation Reports.** When defects are found in railroad tracks and equipment, the railroad has a specified amount of time to comply with the commission's request to correct the problem. If the railroad does not comply, a violation report is sent by commission to the Federal Railroad Administration (FRA). The FRA, in turn, levies a penalty against the railroad. A copy of the penalty letter sent by FRA is sent to the commission and put in with the report.
- **Railroad Track Files.** These files concern railroad track inspected and tested by the commission. Included in these files are six month financial statements, newsletters, maps, a three-month report on track walked by inspectors, lists of track violations and defects, inspection reports, expense accounts, work schedules, planned inspection activities, correspondence, and accident reports.
- **Monthly Railway Accident Reports.** Each railroad company submits a monthly report to the federal government that explains where each accident occurred and how much damage was incurred. A copy of this form is sent to the commission.
- **Gas Pipeline Safety System Files.** These files contain all the information collected by the commission concerning natural gas systems operating in Alabama. Items that can be found in each company file include inspection/field reports, accident reports, leak reports, gas system histories, evaluations of gas systems, photographs, newspaper clippings, and correspondence.
- **Master Meter Files.** These files contain all the information collected by the commission concerning Master Meter systems in Alabama. Master Meter systems are systems operated by investor-owned companies, partnerships, or public housing authorities that use a master meter for one or more units on a premise. Items that can be included in each file are

inspection/field reports, accident reports, leak reports, photographs, newspaper clippings, and correspondence.

- **Gas Pipeline Safety Training Records.** The commission conducts training sessions around the state for individuals working on pipeline systems, conducts slide presentations, and disseminates information on pipeline safety. Included in these records are monthly training reports listing trainers' activities, certificates, a roster of individuals who have received a certificate, state evaluation monitoring forms, and some correspondence.
- **Gas Systems Annual Operating Reports.** Gas systems are required to file annual operating reports every year with the Public Service Commission and with the federal government pursuant to the standards of the U.S. Department of Transportation. These reports include such information as total miles of pipeline; new additions during the year; all incidents, accidents, and non-reportable leaks repaired or eliminated for the year; and amount of gas lost (usage that cannot be accounted for).
- **Alabama Power Company Jurisdictional Cost Study.** The Public Service Commission requires Alabama Power to prepare an annual cost study that breaks down electric and non-electric revenues, expenditures, and investments. The study is necessary because the commission only regulates the utility portion of Alabama Power and therefore needs only energy related information. The study is necessary monthly during the year for reference use to regulate rates, and for several years to enable commission staff members to perform trend analysis.
- **Water System Books.** The energy section of the commission collects filings and information from water systems. This information is grouped by system and is used by the section as reference files.
- **Utility Annual Reports.** The Public Service Commission requires annual reports to be filed by all utilities operating in the state. This series consists of "form M" filed by telephone companies, "form 1" filed by power companies, "form 2" filed by gas companies, audited financial statements filed by long distance resellers, and reports filed by water companies and radio common carriers. Each report lists the company's business activities for the year, company holdings and investments, money collected, and other pertinent financial data.
- **Consumer Complaint Files.** When a complaint is received by phone, visit, or letter, a complaint report is completed. The report details the complaint, complainant's name and address, date complaint was received, and the name of the company involved. The complaint is assigned to an investigator, and any action taken is noted on the form. When complaints are received involving motor carriers, the enforcement inspectors investigate. For each investigation they complete an investigation report listing the case title, type of complaint, name of investigator, date of report, and a narrative of their actions.

- **Railway Policemen Files.** Railroad companies can apply to have the governor commission individuals to act as policemen for the company. Railway policemen are empowered to protect company property. Items that can be included in each file are copies of commissions, bonds, and oaths of office. When a railroad no longer requires the services of a policeman, a written notice to that effect is also included in the file.

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

Regulating

- **Blue Books.** The blue books are the detailed agendas, working papers, analyses, reports, recommendations, charts and graphs, historical background, and other relevant information that staff members generate and give to the commissioners for the monthly scheduled meeting of the commission. These books are necessary to help document the decision making process of the commission members. The blue books provide the detail of actions and decisions made by the commission and retain continuing administrative value to the commission. **(Bibliographic Title: Meeting Background Books)**
- **Publications.** The Public Service Commission produces publications to inform the public about the operations and regulations of the commission. These publications are necessary to document the commission's attempts to publicize its regulations and activities. **(Bibliographic Title: State Publications)**
- **Rules and Regulations.** These records are necessary to understand the operations of the Public Service Commission in a given time. Because the commission is exempt from the Administrative Procedures Act, the rules and regulations of the commission are not found in Legislative Reference Service. **(Bibliographic Title: Rules and Regulations)**
- **Docket Books.** These records are registers of docket numbers of cases filed with the Public Service Commission. Each working day, various utilities may request tariff charges or rate changes. Each request is given a docket number that is entered into the docket register. Cases to be heard by the Commission are assigned formal docket numbers, while cases decided by the Public Service Commission staff are given informal docket numbers and are not listed in the docket register.
- **Docket File Index Cards.** These card files serve as an index of all formal and informal dockets handled by the Public Service Commission and are organized by company. One set is for telephone companies and lists formal and informal docket numbers that apply to each company; one set lists all formal docket numbers applying to all companies except telephone companies; and one set lists informal dockets for all companies except telephone companies. The cards list the docket numbers (case file numbers), commission actions taken on each docket, and dates of action. These cards are necessary to locate orders and case files. If a

staff member or researcher only knows a company name, the name can be looked up in the cards. The cards give the docket numbers for that company. The docket number can then be looked up in the minute book indices, which gives the volume and page number of the minute book containing the order for that docket. The researcher can then look in the minute book for a copy of the filing and the order. Also, by using the index cards, a researcher can obtain a formal docket number, and find the docket file in the formal docket files, which are filed numerically. **(Bibliographic Title: Docket File Index Cards)**

- **Formal Docket Files.** These files are for cases that went to hearing either because of the nature of the filing or because the commission felt the filing was noteworthy enough to be brought before a judge. The dockets provide the background information to support the issuance of an order by the commission. Included in the files are filings, briefs, correspondence, case exhibits, financial information on the company, copies of commission orders, hearing transcripts, and commission reports. Because these records contain the background information that led to the approval of filings such as authorization of major utilities to operate in the state, they are necessary to document the decision making process of the commission and also to document the development of particular utilities in the state, which impact most everyone in the state, as well as to document the development of utilities as a whole. **(Bibliographic Title: Hearing Case Files)**
- **Transportation Tariffs/Contracts.** These tariffs and contracts are filed separately from the other tariffs of the commission. These records are the original documents whereby the commission authorized the levels of service, rates, and other criteria charged and used by motor carriers in dealing with the citizens of the state. It is quite common for the commission to investigate complaints and inquiries several years after a tariff is superseded. The rate supervisor needs the information in the tariffs for analysis.
- **Motor Carrier Ledgers.** The ledger contains a list of certificate numbers and the name of the company to which it was issued. The commission uses the ledger to track what number was issued to what company and to prevent duplication of numbers.
- **Railway Investigator's Accident Reports.** Investigators of the commission investigate some of the railroad accidents occurring in the state and then generate reports. These reports provide useful information on major accidents in the state. Because they document significant occurrences in the transportation system of the state, they retain historical value. **(Bibliographic Title: Accident Reports Filed by Railway Investigators)**
- **Directory of Railroad Companies and Officials.** Staff members of the commission compile a directory of railroad companies and officials based upon information submitted by the companies. This directory provides quick access to basic information on the railroad companies. It retains little administrative value to the commission after it is superseded, but it retains historical value because it serves as a reference tool documenting basic information on the railroad companies operating in the state at a given time. **(Bibliographic Title:**

Directory of Railroad Companies and Officials)

- **Rosters of Safety Training Certificate Holders.** According to Code of Federal Regulations 49 Part 192.285, no person may make a plastic pipe joint unless that person has been qualified under the applicable joining procedure by appropriate training or experience in the use of the procedure and has made joints that pass inspection and tests. The roster is a list of certificate holders and is necessary to document whether a person is or was qualified to make a plastic pipe joint. **(Bibliographic Title: Rosters of Safety Training Certificate Holders)**

Administering Internal Operations

- **Commissioners' Correspondence and Subject Files.** This correspondence consists of letters to and from the commissioners. The subject files contain information on such subjects as state agencies, projects, meetings, and non-state agencies. The commissioners set policy and procedures for the agency. The correspondence and subject files document the activities and decisions of the commissioners and/or the commission. **(Bibliographic Title: Correspondence Files; Subject Files)**
- **Commission Meeting Minute Books, Minutes Indices, and Agendas.** These records document the actions of the commission during its meetings. Because policy may be set and orders are issued at the meetings, records of the meetings are necessary to document policy and actions of the commission. The minutes indices list docket numbers in order, give a brief synopsis of the filing, and give the volume and page number of the minute book in which the order is recorded. **(Bibliographic Title: Meeting Minutes and Agendas, Meeting Minutes Indices)**
- **Press Releases.** These records document activities of the commission and how the commission sees its mission and obligations. **(Bibliographic Title: News Releases).**
- **Public Service Commission Annual Reports.** Annual reports provide the best summary documentation of the agency. Many times, information is found only in the annual reports. **(Bibliographic Title: Annual Reports)**

Revision Completed: June 2000

Permanent Records List
Function: Regulatory
Public Service Commission

Regulating

1. Blue Books
2. Publications
3. Rules and Regulations
- *4. Docket Books
5. Docket File Index Cards
6. Formal Docket Files
- *7. Transportation Tariffs/Contracts
- *8. Motor Carrier Ledgers
9. Railway Investigator's Accident Reports
10. Directory of Railroad Companies and Officials
11. Rosters of Safety Training Certificate Holders

Administering Internal Operations

1. Commissioners' Correspondence and Subject Files
2. Commission Meeting Minute Books, Minute Book Indices, and Agendas
3. Press Releases
4. Public Service Commission Annual Reports

*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.

Public Service Commission 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 Public Service Commission. The RDA lists records created and maintained by the Public Service Commission 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 Public Service Commission to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Under the Code of Alabama 1975, Section 36-12-40, "every citizen has a right to inspect and take a copy of any public writing in this state, except as otherwise expressly provided by statute." Records must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA, or for advice on records disposition or other records management concerns, contact the ADAH Government Records Division at (334) 242-4452.

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Public Service Commission records. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records, regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the 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 record-related materials need not be retained as records under the disposition requirements in this RDA. They may be disposed of in whatever way the agency determines best. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationary, blank forms, or other surplus

materials that are not subject to audit and have become obsolete; (4) transitory records which are temporary records created for short-term internal purposes 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 department social activities, such as a note to a group going to lunch.

- Any record created by the commission prior to 1900 shall be regarded as permanent unless there is a specific action by the State Records Commission to authorize its destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the Public Service Commission and lists the groups of records created and/or maintained by the commission as a result of activities and transactions performed in carrying out these subfunctions. The commission may submit requests to revise specific records disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

■ Regulating

General:

Reciprocity Agreements

Disposition: Temporary Record. Retain for useful life.

BLUE BOOKS

Disposition: PERMANENT RECORD.

PUBLICATIONS

Disposition: PERMANENT RECORD.

RULES AND REGULATIONS

Disposition: PERMANENT RECORD.

Hearing Calendars

Disposition: Temporary Record. Retain 3 years.

DOCKET BOOKS

Disposition: PERMANENT RECORD.

DOCKET FILE INDEX CARDS

Disposition: PERMANENT RECORD.

FORMAL DOCKET FILES

Disposition: PERMANENT RECORD.

Deregulation (D) Docket Files

Disposition: Temporary Record. Retain 5 years.

Informal (U) and Tariff Docket Files

Disposition: Temporary Record. Retain 10 years.

Tariff Books/Pages

Disposition: Temporary Record. Retain until superseded/canceled and then place in canceled tariff file.

Canceled Tariff Books/Pages

Disposition: Temporary Record. Retain until for useful life.

Judges' Correspondence

Disposition: Temporary Record. Retain 10 years.

Certifications

Disposition: Temporary Record. Retain 1 year after end of year of creation.

Alabama Power Company Filings

Disposition: Temporary Record. Retain 3 years after end of year of filing.

Monitoring Reports

Disposition: Temporary Record. Retain for useful life.

Advisory:

Accounting and Auditing Files

Disposition: Temporary Record. Retain for useful life.

Project Files

Disposition: Temporary Record. Retain for useful life.

Advisory Division Docket Workpapers

Disposition: Temporary Record. Retain for useful life.

Telecommunications:

Records of interconnection and resale agreements, telecommunications correspondence, canceled tariffs, telecommunications audit workpapers and reporting information (includes form M)

Disposition: Temporary Record. Retain for useful life.

Records of telecommunications engineering correspondence, quality of service workpapers, and company loan information.

Disposition: Temporary Record. Retain for useful life.

Rate Stabilization and Equalization Files (BellSouth)
Disposition: Temporary Record. Retain for useful life.

BellSouth Filings
Disposition: Temporary Record. Retain for useful life.

Telephone Company Price Regulation Index Data
Disposition: Temporary Record. Retain for useful life.

Forms Submitted to Engineering
Disposition: Temporary Record. Retain for useful life.

Records of payphone service providers, shared tenant service, commercial radio service providers,
local exchange carriers, and hotel/motel inspections
Disposition: Temporary Record. Retain for useful life.

Transportation

TRANSPORTATION TARIFFS/CONTRACTS
Disposition: PERMANENT RECORD.

Transportation Certifications (Formal and Informal)
Disposition: Temporary Record. Retain for life of company.

Transportation Reports and Recommendations
Disposition: Temporary Record. Retain for useful life.

Records of Work Groups and Task Forces
Disposition: Temporary Record. Retain for useful life.

Insurance Filings from Motor Carriers
Disposition: Temporary Record. Retain 7 years after cancellation.

Applications for Authority for For-hire Transportation Businesses
Disposition: Temporary Record. Retain until completion of one audit and the release of the audit
report.

Submitted Transportation Annual Reports
Disposition: Temporary Record. Retain 3 years.

Motor Carrier Vehicle Identification Records
Disposition: Temporary Record. Retain until vehicle is decommissioned.

Annual Reports for Inspection and Supervision Fees
Disposition: Temporary Record. Retain 5 years.

MOTOR CARRIER LEDGERS

Disposition: PERMANENT RECORD.

Bus Schedules

Disposition: Temporary Record. Retain 10 years.

Railway Inspection Reports

Disposition: Temporary Record. Retain 5 years.

Railway Violation Reports

Disposition: Temporary Record. Retain 7 years.

Railroad Track Files

Disposition: Temporary Record. Retain 5 years.

Railway Accident Notifications

Disposition: Temporary Record. Retain 7 years.

Monthly Railway Accident Reports

Disposition: Temporary Record. Retain 7 years.

RAILWAY INVESTIGATOR'S ACCIDENT REPORTS

Disposition: PERMANENT RECORD.

Railway Monthly Activity Records

Disposition: Temporary Record. Retain 5 years.

Railway Monthly Inspection Summaries

Disposition: Temporary Record. Retain 5 years.

DIRECTORY OF RAILROAD COMPANIES AND OFFICIALS

Disposition: PERMANENT RECORD.

State/Federal Administration Annual Plans and Training Agreements

Disposition: Temporary Record. Retain 3 years.

Operation Lifesaver Reports

Disposition: Temporary Record. Retain 2 years.

Railway Annual Plans

Disposition: Temporary Record. Retain 5 years.

Federal Administration Training Reports

Disposition: Temporary Record. Retain 2 years.

Rehabilitation Project Agreements

Disposition: Temporary Record. Retain 10 years.

Federal Administration Activity Reports

Disposition: Temporary Record. Retain 5 years.

Energy

Gas Pipeline Safety System Files

Disposition: Temporary Record. Retain 25 years.

Master Meter Files

Disposition: Temporary Record. Retain 25 years.

Safety Grant Applications With U.S. Department of Transportation and Safety Certification from U.S. Department of Transportation for Gas and Hazardous Liquids Safety Program Records

Disposition: Temporary Record. Retain 25 years.

Gas Pipeline Safety Training Records (not roster of safety training certificate holders)

Disposition: Temporary Record. Retain for useful life.

ROSTERS OF SAFETY TRAINING CERTIFICATE HOLDERS

Disposition: PERMANENT RECORD.

Gas Pipeline Safety Operations, Maintenance, and Emergencies Plans

Disposition: Temporary Record. Retain until superseded.

Gas Systems Annual Operating Reports

Disposition: Temporary Record. Retain 5 years.

Alabama Power Company Jurisdictional Cost Study

Disposition: Temporary Record. Retain 10 years.

Energy Company Files

Disposition: Temporary Record. Retain 5 years.

Water System Books

Disposition: Temporary Record. Retain for 25 years after termination of system.

Energy Audit Files

Disposition: Temporary Record. Retain 2 years after completion of internal audit.

Energy Section Files

Disposition: Temporary Record. Retain 5 years.

Utilities Annual Reports and Monthly Report Summaries
Disposition: Temporary Record. Retain 10 years.

Utility Monthly Detail Reports
Disposition: Temporary Record. Retain for useful life.

Energy Division Docket Workpapers
Disposition: Temporary Record. Retain 5 years after termination of system or contract.

■ **Investigating**

Consumer Complaint Files
Disposition: Temporary Record. Retain 4 years after resolution of complaint.

Court Pleadings
Disposition: Temporary Record. Retain 5 years from close of docket.

Legal Research Results
Disposition: Temporary Record. Retain 5 years from close of docket.

Attorney's Legal Work Papers
Disposition: Temporary Record. Retain 5 years from close of docket.

Uniform Traffic Ticket and Complaint (UTTC) Records (arrest citations, tickets, warning tickets, safety inspection forms, accident reports, and investigation records)
Disposition: Temporary Record. Retain 5 years.

Uniform Traffic Ticket and Complaint (UTTC) Accountability Records (includes ticket book)
Disposition: Temporary Record. Retain until audited by Administrative Office of Courts or 2 years, whichever is longer.

Railway Policemen Files
Disposition: Temporary Record. Retain 5 years after termination of appointment.

Motor Carrier Hearing Notices
Disposition: Temporary Record. Retain 3 years.

■ **Administering Internal Operations**

Managing the Agency:

COMMISSIONERS' CORRESPONDENCE AND SUBJECT FILES
Disposition: PERMANENT RECORD.

COMMISSION MEETING MINUTE BOOKS, MINUTE BOOK INDICES, AND AGENDAS
Disposition: PERMANENT RECORD.

Recordings of Meeting Minutes

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

Commission Meeting Notices

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

PRESS RELEASES

Disposition: PERMANENT RECORD.

Sunset Committee Review Records

Disposition: Temporary Record. Retain until completion of subsequent sunset review.

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 for useful life.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

State Calling Card List

Disposition: Temporary Record. Retain until superceded.

Telephone Logs

Disposition: Temporary Record. Retain 3 years.

Litigation Files

Disposition: Temporary Record. Retain 20 years.

Records documenting the employee appeal to the Personnel Board of formal reprimands, demotions, transfers, or terminations.

Disposition: Temporary Record. Retain 3 years following decision of Personnel Board.

PUBLIC SERVICE COMMISSION ANNUAL REPORTS

Disposition: PERMANENT RECORD.

Monthly Sectional Reports

Disposition: Temporary Record. Retain 3 years.

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

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

Copies of RDA

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

Index to Files

Disposition: Temporary Record. Retain until superseded.

File Sign Out Book

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

Microfilm Transmittal Forms

Disposition: Temporary Record. Retain for life of film.

Film Processing Job Order Forms

Disposition: Temporary Record. Retain for life of film.

System Documentation (hardware/software manuals and diskettes, warranties, records of access/authorities, file naming conventions, Y2K records)

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

Records of Internet Usage

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

Internet Usage Policy

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

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

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

Agency Audit Report

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

Records documenting contracts for supplies, equipment, and services

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

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

Disposition: Retain in office (Code of Alabama 1975, Sections 41-16-14 to 41-16-20).

Managing Human Resources:

Job Recruitment Materials

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

Application Materials

Disposition: Temporary Record. Retain 1 year.

Position Classification Questionnaire

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

Position Files

Disposition: Temporary Record. Retain 7 years.

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

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

Records documenting payroll deductions for tax purposes

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

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 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 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.

Annual and Probationary Raise Reports

Disposition: Temporary Record. Retain 5 years.

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.

Employee Flexible Benefits Plan Files (applications and correspondence)

Disposition: Temporary Record. Retain 6 years.

Records documenting the State Employee Injury Compensation Trust Fund (SEICTF) Claims

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

Employee Administrative Hearing Files

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

Section/Division Personnel Files

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

RSA Status Reports

Disposition: Temporary Record. Retain until superseded.

Managing Properties, Facilities, and Resources:

Semiannual inventory lists

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

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

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

Inventory Cards

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year following the removal of an item from inventory.

Property Inventory Affidavits

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

Receipts of Responsibility for Property

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

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

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

Parking Deck Card Records

Disposition: Temporary Record. Retain until superceded.

Records of Accidents

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

Building Access Records

Disposition: Temporary Record. Retain 3 years.

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

Disposition: Temporary Record. Retain 3 years after vehicle is removed from the property inventory.

Approval of Records Disposition Authority

By signing this agreement the Public Service Commission acknowledges its responsibilities for the proper management of its records and agrees to abide by the implementation guidelines listed below:

- The Public Service Commission will designate a managerial position as the agency records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the commission, for coordinating the transfer and destruction of records, for 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, for submitting an annual report on records management activities to the State Records Commission in July of each year, and for

ensuring the regular implementation of the commission's approved RDA.

- Permanent records in the Public Service Commission's custody will be maintained under proper intellectual control, and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. In certain circumstances, the commission may determine that a valid need exists to keep a record beyond its prescribed retention period. 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 commission 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 commission 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 Public Service Commission agrees to allow the State Records Commission, its staff, and the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the commission and to inspect records destruction documentation. Government Records Division archivists are available to train the commission staff in RDA implementation and otherwise assist the commission in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Jim Sullivan, President
Public Service Commission

By: _____ Date: _____
Jan Cook, Commissioner
Public Service Commission

By: _____ Date: _____
George C. Wallace Jr., Commissioner
Public Service Commission

By: _____ Date: _____
Walter L. Thomas, Jr., Secretary
Public Service Commission

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