

# **Alabama Department of Rehabilitation Services**

## **Functional Analysis & Records Disposition Authority**

**Revision  
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# **Functional and Organizational Analysis of the Department of Rehabilitation Services**

## **Sources of Information**

Representatives of the Department of Rehabilitation Services

Code of Alabama 1975, Sections 21-3-1 through 21-3-8; 21-3A-1 through 21-3A-11; 21-5-1 through 21-5-9; 21-6-1 through 21-6-5; 21-8-1 through 21-8-4; 21-9-1 through 21-9-13; 16-38-1 through 16-38-9; and 16-38A-2

Alabama Administrative Code (AAC), Chapters 795-1-1 through 795-1-11; 470-1-1 through 470-1-3

Alabama Government Manual (2006), page 223

Code of Federal Regulations Chapter 34 (CFR)

Single Audit Act of 1984 (P.L. 98-502)

Department of Rehabilitation Services Annual Reports

## **Agency Organization**

The Alabama Department of Rehabilitation Services, hereinafter referred to as ADRS, was formerly the Division of Rehabilitation Services in the State Department of Education. Effective January 1995, the Alabama Legislature created ADRS as a separate entity from the State Department of Education and transferred all division personnel to the new department. The Legislature at the same time created the Board of Rehabilitation Services, hereinafter referred to as the Board, to determine policies for the provision of rehabilitative services to eligible children and adults with disabilities in Alabama. The Board consists of seven members, one from each Congressional district, appointed by the governor and confirmed by the Senate. Three members must be individuals with a disability; one must be the parent of a child with a disability; and three are selected from business and industry organizations. Board members serve seven-year terms and may serve no more than two full terms. The Board meets at least once quarterly. It appoints a Commissioner for ADRS, who serves as secretary to the Board and manages and administers ADRS “in conformity with the policies adopted by the Board” (Code of Alabama 1975, Sections 21-9-1 through 21-9-11).

ADRS has adopted a programmatic organizational structure with the goal of involving staff in agency decision making (Alabama Department of Rehabilitation Services Annual Report, 1996). The basic organization comprises administrative support services and divisions that oversee services to each of the ADRS client groups. These service divisions supervise programs which supply direct client services at the local level. The agency encourages client input into its policies and programs through a variety of advisory councils.

## Agency Function and Subfunctions

The mandated function of ADRS is to provide rehabilitation services to eligible children and adults with disabilities throughout the state, to provide them with meaningful educational and employment opportunities and to assist them in living as independently as possible, with the goal of “increasing their social and economic well-being and that of their families, and the productive capacity of this state and nation, also thereby reducing the burden of dependency on families and taxpayers” (Code of Alabama 1975, Section 21-9-1). It is the designated administrator on the state level of federal programs for the disabled, including those mandated under the Rehabilitation Act of 1973 as amended; the Social Security Act, Title V; the Randolph-Sheppard Vending Stand Act (P.L. 74-732), as amended by P.L. 83-565 and P.L. 93-515, 20 U.S.C., Chapter 6A, Section 107; and the Individuals with Disabilities Education Act (P.L. 99-457), Part H, 20 U.S.C., Sections 1471 through 1485). It is one of the state agencies primarily responsible for carrying out the subfunctions in the Health and Social Services subcategory of the Client Services function of Alabama government. It also performs activities in the Public Advocacy function and in the Financial Management subcategory of the Administrative Support Operations function. In performance of its mandated functions, ADRS may engage in the following subfunctions.

- **Making Policy.** The Board of Rehabilitation Services makes rules and regulations for the provision of rehabilitation services in the state and directs and supervises the expenditure of legislative appropriations for the Department (Code of Alabama 1975, Section 21-9-9). The Commissioner plans, establishes and operates programs, facilities, and services relating to disability and rehabilitation (Code of Alabama 1975, Section 21-9-11). The “Executive Leadership Team,” consisting of upper level agency staff members, assists the Commissioner in these processes. Some ADRS programs, such as the Early Intervention program, discussed below under the subfunction “Providing Services,” and the State Committee of Blind Vendors have federally mandated state and district councils or committees that contribute to the formation of program policy.
  
- **Serving on and Administering Boards and Commissions.** ADRS has administrative and record keeping responsibilities for two separate state government entities that augment the services provided by the agency. The Alabama Legislature created the Impaired Drivers Trust Fund (IDTF) in 1992 to provide assistance to individuals who have sustained head and spinal cord injuries caused by an external force. The funds come from fines paid by individuals who have been convicted of driving under the influence. The trust fund’s policy is governed by an Advisory Board that consists of seventeen members who represent health and medical agencies and organizations as well as the Governor, the State Senate, the State House of Representatives, the Department of Insurance, Alabama Medicaid, the Department of Human Resources, the Department of Mental Health, and ADRS. ADRS maintains the records of this board and disburses money from the trust fund in accordance with the directives of the Board (Code of Alabama 1975, Section 16-38A-2). Funds from the IDTF implement service components that have been identified as gaps in services to brain- and spinal cord-injured individuals. Such components include service coordination and case

management, respite care, housing assistance, recreation, supported employment, transportation, personal assistance, and a help line.

The Governor's Committee on Employment of People with Disabilities (GCEPD) was created by executive order in 1947 and established by statute in 1965 to promote awareness and sensitivity of disability issues among the general public and to encourage employment opportunities (Code of Alabama 1975, Sections 21-5-1 through 21-5-9). ADRS provides the leadership and administration of this program. It reaches local communities through its nineteen affiliated committees. Approximately 500 members representing various groups and organizations in the communities comprise the membership of these committees. GCEPD and its local committees plan and organize events in conjunction with National Disability Employment Month and sponsor an annual poster/journalism contest. GCEPD also cooperates in providing training for state agencies and businesses to ensure compliance with the Americans with Disabilities Act.

- **Providing Services.** ADRS' mission statement declares its intent to provide a continuum of services from birth to old age for Alabamians with disabilities (Alabama Administrative Code, Chapter 795.1-1-.01). Service programs generally target a particular age group. ADRS provides services directly to its clients through its district offices, or it may contract with other agencies and organizations, both public and private, to deliver services. In some cases, in addition to the services listed below, services to clients may include limited financial assistance for a specific purpose, such as the purchase of medications or clothing for a job interview, or emergency financial assistance. The major components of ADRS services continuum are:

Early Intervention (EI) Program. ADRS acts as the lead agency in a statewide system that provides early intervention services mandated under Part H of Public Law 99-457, 20 U.S.C. Sections 1471 through 1485 as amended, titled Early Intervention Program for Infants and Toddlers with Disabilities and codified as Part 303 of Title 34 of the Code of Federal Regulations. As the lead agency ADRS is responsible for the general administration, supervision, and monitoring of programs and activities within the system, including coordination of all available financial resources within the state from federal, state, local, and private sources, and other responsibilities as detailed in federal law (Code of Alabama 1975, Section 21-31-7). The EI program serves children from birth to three years of age who are experiencing developmental delay(s) in one or more of the five developmental areas (cognitive, physical, communication, social or emotional, adaptive) or who have a diagnosed physical or mental condition that has a high probability of resulting in developmental delay(s) (AAC, Chapter 795-3-1-.01). The EI program offers evaluation and assessment and the formulation of an Individualized Family Service Plan. This plan is developed by a multi-disciplinary team that includes the child's parents as fully participating members. The Individualized Family Service Plan includes, at a minimum, service coordination (Code of Alabama 1975, Section 21-3A-8). Other services may include nursing services, nutrition services, occupational and physical therapy, counseling, special instruction, speech-language

therapy, transportation, and vision services. ADRS coordinates the provision of these services, which may involve a variety of agencies, clinics, day care centers, and special programs.

Children's Rehabilitation Services (CRS). This program provides educational, medical, and rehabilitative services for children with special health care needs up to age twenty-one, including coordination and support for their families through community-based programs (AAC, Chapter 795-4-1-.01). Services include information and referral, clinical evaluation, specialty clinics, patient/family education, and care coordination. A CRS Medical Advisory Committee provides physician input into this program.

Hemophilia Program. This program was created by the Legislature to serve individuals who require continuing treatment with blood, blood derivatives, or manufactured pharmaceutical products to avoid disabling conditions, hospitalization, or other effects associated with hemophilia (Code of Alabama 1975, Section 21-8-3).

Adult Vocational Rehabilitation Services (VRS). This program provides training and employment-related services for persons who have disabilities that present a substantial barrier to employment and who, as a result of services, have a reasonable expectation of becoming employed. It offers special services for the sensory impaired and provides employment opportunities for those with hearing or visual impairments or both (AAC, Chapter 795-6-1-.01). Rehabilitation counselors work with employers to train clients for specific jobs and to provide on-the-job training and support. VRS has recently developed a statewide Intranet/Internet job applicant system, the Alabama Employment Management System, that connects rehabilitation counselors across the state and maintains current information on job leads and job-ready applicants. Transition services assist senior high school students with disabilities to prepare for employment and community living. For individuals with severe disabilities, Project Rise, a federal grant project, develops supported employment programs that provides intensive job-site training and support services, including a job coach. Another federal project, Alabama's Assistive Technology Resource (STAR), helps VRS consumers in locating, acquiring and learning how to use various types of technology to improve job performance, daily living activities and achieve greater independence. Through the STAR job reutilization programs, individuals with disabilities can borrow medical equipment and other assistive technology on short or long-term basis at no cost. Additionally, consumers and their family members can purchase needed assistive technology devices and services utilizing STAR's Alternative Finance Program. Alabama's Ability Loan Program provides low-interest and extended terms loans for the purchase of assistive technology. On a case-by-case basis, VRS and the Ability Loan Program work together to purchase needed assistive technology for consumers who are preparing to enter the workplace.

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STAR, through comprehensive statewide programs and services, is dedicated to increasing access to and acquisition of assistive technology for Alabamians of all ages and all

disabilities. In addition to VRS, STAR works with other ADRS divisional programs, and has established subcontracts and interagency agreements with other state, local and private organizations across the state.

VRS also works with employers with the goal of securing appropriate employment for its clients and ensuring that the individual is successful in the job. VRS provides a variety of consultant services to businesses, including advising employers on job task analysis and identification, rehabilitation technology, disability sensitivity awareness, accessibility and accommodation, and other specific issues related to the Americans with Disabilities Act.

State of Alabama Independent Living Service (SAIL). The State of Alabama Independent Living-Homebound Program provides guidance and counseling, nursing management, home modifications, prescribes medical equipment, disability-related prescriptions and supplies, patient and family education, and attendant care services. The SAIL Waiver Program is a home and community-based waiver service. Services include case management, personal care, medical equipment, medical supplies, personal emergency response system, environmental modifications, assistive technology, and personal assistant services (if consumer is working). This program helps people with severe disabilities to participate fully in their community and achieve an independent life-style. Services include peer counseling, information and referral assistance, independent living skills, training, and advocacy (AAC, Chapter 795-9-1-.01). All of these programs provide services for persons with severe disabilities to enable them to achieve maximum independence in their home and environment (AAC, Chapter 795-8-1-.01).

- **Acquiring and Administering State and Federal Funds.** ADRS receives funds from federal, state, and private sources. More than half of the agency's overall funding comes from the federal government. The Vocational Rehabilitation Service (VRS) , for example, receives more than 85 percent of its funding from federal grants. Most federal funding comes from the U.S. Department of Education and the Rehabilitation Services Administration. These agencies dispense allotments to develop and administer federal rehabilitation programs on the state level. Examples of these programs are VRS, the Independent Living Service, the Early Intervention (EI) Program, the Client Assistance Program, the Business Enterprise Program (BEP), and the STAR Program (Alabama's Assistive Technology Resource). ADRS carries out the provisions of these federal programs by distributing the funds, monitoring compliance with grant requirements, maintaining records, and reporting to the grantor agency.

ADRS provides many of its services through contracts with local entities that are paid from state funds. It works closely with Community Rehabilitation programs, both inpatient and outpatient, in twenty-three facilities around the state. ADRS monitors these programs by regular site visits.

- **Promoting Public Awareness.** Each of the programs offered by ADRS attempts to

create public awareness about the programs and services it offers and about the needs of the client population each program serves. Programs target both potential clients and the general public in their publicity efforts. They also create information to inform clients of their rights under the program and of program guidelines and procedures. Methods of dispensing information include brochures and pamphlets, newsletters, billboards, public service announcements, videos, contests, events, awards, speeches, job and technology fairs, seminars, and the agency's web site.

- **Acting as an Advocate for Clients.** Under the federal Rehabilitation Act of 1973 as amended, Section 112, ADRS must provide an advocacy program for its clients and potential clients to assure that any questions about the Vocational Rehabilitation Services (VRS) program are answered and that any problems related to individual rehabilitation plans and services are resolved. ADRS' State of Alabama Client Assistance Program (SACAP) provides assistance in explaining requirements for eligibility for services and availability of services. If clients disagree with a staff decision regarding their rehabilitation program, SACAP may offer mediation between the client and the rehabilitation counselor. SACAP may in some instances provide legal assistance for clients who are dissatisfied with the services offered by ADRS.
  
- **Promoting Client Participation.** ADRS actively seeks the participation of clients with disabilities, or in the case of minors, the participation of its clients' families, in the development and delivery of its services to ensure that the interests of the clients are safeguarded in the process. One way that the goal of client participation is accomplished is through the participation of disabled individuals on the Alabama Board of Rehabilitation Services (Code of Alabama 1975, Section 21-9-4). There are also many advisory committees on which ADRS clients and/or their families participate. One of these is the State Parent Advisory Committee to the Children's Rehabilitation Services program. CRS has also employed a parent as the State Parent Coordinator for consumer involvement, established a Parent Resource Center, and designed a model counseling program for parents. The Legislature created the Hemophilia Advisory Committee to consult with ADRS in the administration of the Hemophilia program (Code of Alabama 1975, Section 21-8-4). This committee includes medical specialists, hemophiliacs, and parents of hemophiliacs. Early Intervention Program's Governor's Interagency Coordinating Council requires family and provider participation to advise and assist ADRS. The STAR Statewide Advisory Council is a consumer-responsive, consumer-driven group that is a majority (51%) of individuals with disabilities who use assistive technology and/or the family members or guardians of the individuals. (Public Law 108-364-October 25, 2004 – "Assistive Technology Act of 2004").
  
- **Coordinating/Developing Partnerships.** The concept of partnership is strongly emphasized throughout the continuum of programs offered by ADRS. In the delivery of its services ADRS may act as the lead agency and coordinator of programs. It may also seek to develop partnerships with other agencies, such as the Social Security Administration (SSA) and the Alabama Medicaid Agency, and private entities such as Easter Seals, United

Cerebral Palsy, and Shriner's Hospitals, in order to develop and improve services to its clients. Such partnerships may occur in the implementation of grants, in the sponsorship of events and other public awareness initiatives, and in programs to create employment opportunities for ADRS clients. ADRS maintains a continuing partnership with SSA in working to assist disabled individuals in achieving self sufficiency. When ADRS is successful in returning clients currently receiving SSA disability payments to work, the agency receives reimbursements from the SSA that can be used to provide additional services to the other individuals with disabilities.

An Interagency Coordinating Council (ICC) of not less than 15 members is responsible for implementing the provisions of the federal legislation that mandates the Early Intervention (EI) program discussed under the subfunction "Providing Services." The Governor appoints an executive committee to make broad policy for this council. It includes the directors of the seven state agencies that are represented on the Council - ADRS, the Department of Education, the Department of Human Resources, the Department of Insurance, the Department of Mental Health, the Department of Public Health, the Institute for the Deaf and Blind, and the Alabama Medicaid Agency (Code of Alabama 1975, Section 21-3A-4).

- **Licensing Vendors.** ADRS' Business Enterprise Program (BEP) provides merchandise and food service vending employment opportunities for legally blind individuals. ADRS is the designated state licensing agency for purposes of administering the state's vending facility program for blind vendors, whom the agency designates as managers (AAC, Chapter 795-7-1-.01). The licensure process includes a mandatory training course for the vendors provided by ADRS. ADRS develops food and merchandise vending sites on federal, state, county, municipal, and private property. It performs surveys of sites and issues facility permits. It then assigns managers to specific facilities or routes and furnishes equipment, initial business license, initial stock, and petty cash to assist vendors in starting up their businesses. Maintenance and replacement of equipment, purchases of new equipment, management services and vacation pay are paid by ADRS. The agency also offers training on an ongoing basis to the managers. It may revoke managers' licenses for unsatisfactory performance.
- **Reporting.** ARDS publishes an annual report describing the activities of its various rehabilitation programs, as mandated by the Legislature (Code of Alabama 1975, Section 21-9-10). The Impaired Drivers Trust Fund (IDTF) must also provide an annual report that gives its recommendations for meeting the needs of individuals with head and spinal cord injuries (AAC, Chapter 470-1-3-.03). The State of Alabama Client Assistance Program (SACAP) provides an annual report to the federal Rehabilitation Services Administration. Other programs such as Early Intervention (EI) and STAR also produce annual data reports.
- **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.

# **Analysis of Record Keeping System and Records Appraisal of the Department of Rehabilitation Services**

## **Agency Record Keeping System**

The Alabama Department of Rehabilitation Services (ADRS) creates paper and electronic records. Currently no records are maintained solely in electronic format.

**Computer System:** The agency's Computer Services Division has developed systems for each of its major programs. The component systems receive their funding from different sources. All systems that support the ADRS programs run on the department's servers located at 602 South Lawrence Street in Montgomery, Alabama. ADRS utilizes the State's Human Resources System (GHRS) and the State's Accounting System (AFNS), which run on the mainframe at the Finance Department, Information Services Division (ISD), located at 64 North Union Street, Montgomery, Alabama. ADRS servers generally run in a Windows-Intel environment with a small number running a Linux-Intel environment. ADRS also utilizes an HP Storage Area Network. An HP Tape drive and an Overland Tape drive are utilized for data backup. The department is in the process of converting to backups utilizing Hard Drive technology.

The State of Alabama Independent Living (SAIL) Program utilizes the SMILE system. The third party billing process (Medicaid and Medicare insurance) is maintained on the ISD mainframe. The Early Intervention Program uses a web based application known as GIFTS. This software was developed using the .Net framework. In addition, local providers are able to access GIFTS via a procedure known as remoting. This enables a secure connection to the database and provides real-time information to the local providers.

In the ADRS State Office, all of the employees utilize PCs that are connected to a Local Area Network (LAN) and a Wide Area Network (WAN). The LAN runs off a Microsoft-Intel platform and is linked to the State mainframe and the department's WAN. The agency's accounting division is connected to the State mainframe for AFNS access. ADRS' Human Resource Division is connected to the State mainframe for GHRS access. The Human Resource Development, Staff Development and Training Section maintains the Registrar Training Administration System (RTAS). RTAS is a flexible database system as it is designed to help administer the daily activities of training administration and keeping track of training histories. It provides control over routine tasks and makes new levels of reporting and analysis possible.

Data is backed up to tape on a daily basis for the most important servers and applications. There are also weekly tape backups of these servers which are stored in the safe of the Computer Services Division. The monthly backup tapes are sent to an offsite location where it resides for a full year. A daily data backup for the most critical servers also occurs utilizing ADRS' WAN to backup data to a server in the ADRS Homewood (Birmingham) office.

It is the responsibility of the employees of ADRS to backup data on their desktop and laptop PCs. The Computer Services Division does not backup data on the department's PCs. However, the Computer Services Division does allow employees to backup their data to a network storage location which is backed up. Performing this type of backup from an office other than in Montgomery can be time consuming so not all employees take advantage of this capability. The Computer Services Division maintains written procedures that document the backup of ADRS electronic data.

ADRS maintains a large number of databases, and the Computer Services Division maintains centralized control over them. ADRS database administrator and software development staff advise staff and help to set up necessary databases. Computer Services has developed naming standards.

ADRS utilizes the State's ACE email system, and all staff members are connected to the Internet through the State's ISD Internet connection. The email system is utilized by district office staff as well as State Office staff. The Computer Services Division has a policy regarding the proper use of ADRS' computers and email. A decision has been made by ADRS to print out email records and maintain them in paper format. ADRS has created an agency website to facilitate access to information about its programs. The website address is [www.rehab.alabama.gov](http://www.rehab.alabama.gov). ADRS' Computer Services Division also maintains an internal website at ADRSWEB for ADRS employees.

**Paper-Based System:** ADRS routinely destroys paper records that have met their fiscal and legal requirements according to the department's RDA. Many of ADRS' records are subject to federal as well as state retention requirements. One records management issue is ADRS' tendency to maintain multiple copies of the same record in different divisions, as well as in district offices. This seems particularly true in the area of contracts and leases. ADRS should establish where the record copy resides and make known to staff that duplicate copies should be disposed of when they are no longer needed.

**Electronic Imaging System:** ADRS is currently moving to a document imaging system. Some accounting applications and some computer services applications utilize the imaging system. A pilot is currently underway for the VRS program in ADRS' offices in Huntsville, Talladega, and Lakeshore. At the pilot locations, paper records are still maintained in addition to the electronic images. This pilot will be expanded in FY2010 to additional ADRS offices. The electronic images are stored on a server in the agency's Montgomery office. The ultimate goal for ADRS is that all paper case files are imaged.

**Auditing:** Because of the large amount of federal funding ADRS receives, it is subject to auditing beyond that performed on a regular cycle by the Examiners of Public Accounts. ADRS programs that receive federal Maternal and Child Health funds through the Alabama Department of Public Health may be audited by the Examiners when the Department of Public Health is audited. The Examiners also perform an annual single audit. Federal agencies that fund various ADRS program perform program audits on an irregular basis. ADRS' Internal Audit Services is responsible for the review and appraisal of all departmental operations. These reviews or audits are performed in accordance with the Single Audit Act provisions. However, if the Single Audit Act provisions do not provide

guidance for a specific audit or activity, then audits are conducted in accordance with the standards published by the Institute of Internal Auditors.

## Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the Department of Rehabilitation Services: 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 their fiscal, legal, and administrative requirements have been met. Some of the temporary records of ADRS are discussed below:

- **Client Case Files.** Almost all of ADRS programs listed under the “Providing Services” subfunction create case files that are long-term records. Their retention are tied to the closure of the case, but they vary according to the specific requirements of the program. The Children’s Rehabilitation Services (CRS) case files, for example, are maintained 27 years after closure in order for the child to reach age twenty-one with an additional six-year period in which litigation may be initiated. Vocational Rehabilitation Services (VRS), on the other hand, satisfies all its requirements for the maintenance of case files in a much shorter time. Case files are normally restricted because of individual privacy requirements, and their volume is often quite large, as they contain detailed information about the services the agency provides to a client. In general, case files do not supply the best and most accessible documentation of service programs. There may be exceptional instances when individuals’ case files are designated as archival records if they become the basis of significant litigation or policy changes for the agency and are the subject of widespread publicity. In these instances, the decision to designate the case file as archival would be made by the Archives in consultation with the agency.
- **Company Contact Files.** Employment development coordinators work to place VRS clients in private employment positions. These records document contacts the coordinators make with various businesses in their regions about employment of VRS clients. The coordinators make frequent reference to the files, which document the activities of the coordinators and provide information about a company’s needs and its past cooperation with the VRS program.
- **Community Rehabilitation Programs Site Reports.** The Community Rehabilitation Programs division handles contracts with service providers that furnish rehabilitation services to ADRS clients. Division staff members make regular visits to these providers to ensure that they are in compliance with state and federal requirements. These reports document their on-site visits.
- **Business Enterprise Program (BEP) Manager Licensure Files.** These records document the licensure process for blind vendors, known as managers, to provide food vending services in ADRS-approved facilities. The files may contain medical records, applications, training

documentation, licenses, facility assignments for the managers, and sometimes records of complaints against the managers and actions taken. They need to be maintained long-term to provide evidence of the client's participation and performance in the BEP program.

- **Business Enterprise Program Facility Files.** These records contain information about the facilities approved by ADRS for its vending services program and about the licensees assigned to them. Some of the records, especially those of well-established facilities such as state government buildings, will be maintained very long-term in the office and updated on a regular basis.

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

**Making Policy:**

- **Meeting Agendas, Minutes, and Packet of the Alabama Board of Rehabilitation Services.** The Board of Rehabilitation Services is the primary policy making body for providing services to people with disabilities in Alabama. The minutes of its meetings, along with attached reports provided to the board members, provide the highest level documentation of the Board's mandated activities.
- **Administrative Correspondence of the Commissioner of the Alabama Department of Rehabilitation Services.** The Commissioner of the Alabama Department of Rehabilitation Services carries out the policies approved by the Board, administers the agency, and is also given authority to develop programs, facilities, and services relating to disability and rehabilitation. These responsibilities are reflected in the Commissioner's administrative correspondence.
- **Meeting Agenda, Minutes, and Bylaws of the Early Intervention State Council.** Federal requirements govern the establishment and duties of these councils, whose minutes provide evidence of policy making and coordination of services.
- **Meeting Agendas, Minutes, and Packets of the State Committee of Blind Vendors.** This committee serves in an advisory capacity to the Business Enterprise Program (BEP). It also provides input into the policies and procedures of the program. The minutes provide important evidence of the functioning of BEP, one of the state's oldest rehabilitation initiatives.
- **Programmatic Policy and Procedures Manuals.** Many of ADRS' programs are highly regulated by both federal and state government. The programmatic manuals translate government guidelines into prescribed employee activities and also include departmental directives for acceptable behavior toward clients. They provide an overview of how the various programs are actually carried out.

- **Meeting Agendas, Minutes, and Packets of the STAR State Advisory Council.** STAR is a federally-funded program whose mission is to enable Alabama's children and adults with disabilities to achieve their maximum potential through improved access to and acquisition of assistive technology. The grant mandates that the project must establish an Advisory Council to provide consumer-responsive, consumer-driven advice to the State for planning, implementation, and evaluation of the activities carried out through the STAR, including setting measurable goals and timelines for addressing the assistive technology needs of individuals with disabilities in employment involving the state vocational rehabilitation program. This series provides important evidence of the functioning of the Advisory Council.

#### **Serving on and Administering Boards and Commissions:**

- **Meeting Agendas, Minutes, and Packets of the Impaired Drivers Trust Fund (IDTF) Advisory Board.** This trust fund collects money from the fines of drivers convicted of driving under the influence and applies it to services for individuals with brain and spinal cord injuries. The meeting minutes document how Advisory Board establishes criteria and priorities and makes decisions about how the money from the trust fund will be disbursed.
- **Meeting Agendas, Minutes, and Packets of the Governor's Committee on Employment of People with Disabilities (GCEPD) and Its Local Committees.** The GCEPD is the state's principal vehicle to promote public awareness about employing people with disabilities. The meeting minutes provide the best documentation of the policies and activities of the GCEPD. Local minutes document how state policies are executed on the local level.

#### **Providing Services:**

- **Meeting Agendas, Minutes, and Packets of the Children's Rehabilitation Service (CRS) Medical Advisory Committee.** This committee provides the advice and input of selected medical personnel into the services offered the Children's Rehabilitation Service (CRS). The meeting minutes document this committee and its advisory function.

Additional documentation of this subfunction is provided by the agency annual report and programmatic annual reports and by publicity and informational materials that are directed toward potential clients and describe services offered in the programs.

#### **Acquiring and Administering State and Federal Funds:**

Archival documentation of this subfunction may be found in the annual agency and programmatic reports of ADRS and also in the single audit performed annually by the Examiners of Public Accounts and included in the State Comprehensive Annual Report (CAFR).

### **Promoting Public Awareness:**

- **Programmatic Informational/Educational/Publicity Materials.** ADRS publishes a very large number of materials to publicize and explain its programs. The materials are created in a wide variety of formats, including brochures, posters, audiotapes, videotapes, and billboard designs. They provide valuable documentation of ADRS programs in a concise, easy-to-understand format.
- **Newsletters.** ADRS creates a newsletter, as do some of its programs. The agency uses its newsletter as a communication method among its large staff and network of service providers as well as for public awareness of disability issues. It is a valuable source of summary documentation of how the agency functions. Programmatic newsletters provide summary documentation of activities and changes in the program.
- **Public Awareness Activities/Events Files.** In addition to published materials, various ADRS programs sponsor public awareness events and activities, such as contests, information fairs, and awards. The Governor's Committee on Employment of People with Disabilities (GCEPD) is especially active in creating and implementing events and contests, including the Miss Wheelchair Alabama contest and a poster/journalism contest. These records document these events and may contain photographs, publicity materials, newspaper articles, and winning contest entries.

### **Acting as an Advocate for Clients:**

Archival documentation of this subfunction is found in records listed under the Promoting Public Awareness and Reporting subfunctions.

### **Promoting Client Participation:**

- **Meeting Agendas, Minutes, and Packets of Client/Family Member Advisory Committees, Councils, and Task Forces.** Many of ADRS service programs solicit the advice and opinions of clients and family members in formulating their policies and procedures. In some cases federally-funded programs are mandated to set up formal structures to obtain input from those served by the program. Such advisory committees are currently active in the Hemophilia program, the Children's Rehabilitation Service (CRS), the Early Intervention (EI) program, STAR Statewide Advisory Council, and others may be created in the future. These committees may exist on both the state and local level. In addition to documenting the decisions of the committee, the minutes provide evidence of the state's attempt to involve clients in the program's decision-making process and of state compliance with federal mandates. Not all of the local committees create minutes; some local committees are quite active, however, and may assist in designing and implementing model programs. Their minutes are therefore a valuable record of some of the services provided by ADRS.

## **Developing Partnerships:**

- **Meeting Minutes, Agenda, Proxies, and Bylaws of the Early Intervention Interagency Coordinating Council.** The Interagency Coordinating Council serves as the coordinating body for the Early Intervention (EI) program. It includes parents, service providers, and representatives of ADRS and eight other state agencies that share responsibility for Early Intervention. The minutes and supporting documentation provide evidence of state agency cooperation as well as of decision-making for this program.
- **Early Intervention Interagency Coordinating Council Executive Committee Files.** The Executive Committee of the Interagency Coordinating Council consists of the directors of the nine state agencies and two of the family members represented on the Coordinating Council. The Executive Committee has responsibility for overall policy making for the Early Intervention program. These records include minutes and notices of meeting and the joint budget agreement, which is renewed annually. They document cooperation among state agencies at the highest level and also deal with the most sensitive policy issues brought up before the Council.
- **Meeting Agendas, Minutes, Packets, and Annual Financial Plan of the Early Intervention Interagency Coordinating Council Financial Planning Subcommittee.** The Interagency Coordinating Council has a number of subcommittees and task forces that create minutes. Of these only the minutes of the Financial Planning Committee have been designated as archival, along with the annual financial plan that the committee submits for approval to the Coordinating Council. In addition to providing evidence of decision-making in an important area, these records are an example of how the various subcommittees operate.
- **Interagency Agreements.** These records consist of formal agreements between ADRS and other agencies, both public and private, to cooperate in providing services to Alabamians with disabilities. One example is the formal agreement among the agencies involved in the Early Intervention Interagency Coordinating Council, but these records include similar agreements with other agencies. Other examples of formal agreements include STAR and its subcontracts with Community Rehabilitation Programs such as United Cerebral Palsy, Goodwill Easter Seals, and the Birmingham Baptist Association. In some cases they may be the only documentation of the “Developing Partnerships” subfunction. The agreements document the responsibilities of each agency or private organization in carrying out the intended service or public awareness initiative and provide evidence of the interconnected, cooperative nature of the provision of services to the disabled in Alabama.

## **Licensing Vendors:**

Archival documentation of this subfunction is found in records listed under the Making Policy, Promoting Public Awareness, and Reporting subfunctions.

## Reporting:

- **Annual Reports.** In addition to the agency's annual report, several programs in ADRS that have federal reporting requirements and the Impaired Drivers Trust Fund (IDTF) Advisory Board create annual reports. The agency report provides an overview of the agency's programs and activities during the year. The program reports provide summary statistical information about clients served by ADRS and the types of services provided.

## Administering Internal Operations:

- **Special Litigation Case Files.** The majority of the legal records created by the legal counsel for ADRS involve routine procedures and litigation, including administrative proceedings hearings, Board of Adjustment hearings, and Equal Employment Opportunity Commission complaints. Occasionally, however, there may be cases that have significant impact on the policies or service-delivery procedures of the ADRS. These cases may involve high-profile litigation and may set precedent for the agency or bring about important changes in the way the agency functions. The selection of these case files as archival records should be carried out through consultation between the ADRS legal counsel and the Archives.
- **Website.** ADRS maintains a website at: [www.rehab.alabama.gov](http://www.rehab.alabama.gov). Information on the web includes services, board composition, news, office locations, and contact data. The website should be preserved as it serves as an important medium for communication with the public.
- **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.

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**III. Permanent Records No Longer Created.** The following permanent records were created by the agency over time, but are no longer created as the program has been ceased to exist.

- **Meeting Minutes of the Project RISE State and District Advisory Councils.** Project RISE is a federally-funded program providing supported employment to individuals with severe disabilities. Part of the project's mandate is to create state and district advisory councils. These councils provide guidance on program initiatives within federal guidelines. The minutes of the councils document policy for program and also provide evidence of the DRS's efforts to try innovative approaches to provide training and support for all groups of Alabamians with disabilities.

## **Permanent Records List**

### **Department of Rehabilitation Services**

#### **Making Policy:**

1. Meeting Agendas, Minutes and Packets of the Alabama Board of Rehabilitation Services
2. Administrative Correspondence of the Commissioner of the Department of Rehabilitation Services
3. Meeting Minutes, Agenda, and Bylaws of the Early Intervention State Council
4. Meeting Agendas, Minutes, and Packets of the State Committee of Blind Vendors
5. Programmatic Policy and Procedures Manuals

#### **Serving on and Administering Boards and Commissions:**

1. Meeting Agendas, Minutes, and Packets of the Impaired Drivers Trust Fund Advisory Board
2. Meeting Agendas, Minutes, and Packets of the Governor's Committee on Employment of People with Disabilities (GCEPD) and Its Local Committees

#### **Promoting Public Awareness:**

1. Programmatic Informational/Educational/Publicity Materials
2. Newsletters
3. Public Awareness Activities/Events Files

#### **Promoting Client Participation:**

1. Meeting Agendas, Minutes, and Packets of Client/Family Member Advisory Committees and Task Forces
2. Meeting Agendas, Minutes, and Packets of the STAR State Advisory Council

#### **Coordinating/Developing Partnerships:**

1. Meeting Minutes, Agenda, Proxies, and Bylaws of the Early Intervention Interagency Coordinating Council
2. Early Intervention Interagency Coordinating Council Executive Committee Files
3. Meeting Agendas, Minutes, Packets, and Annual Financial Plan of the Early Intervention Interagency Coordinating Council Financial Planning Subcommittee
4. Interagency Agreements

**Reporting:**

1. Annual Reports

**Administering Internal Operations:**

1. Special Litigation Case Files
2. Website
- \*3. Inventory Lists

**Permanent Records No Longer Created:**

1. Meeting Minutes\_of the Project RISE State and District Advisory Councils.

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

# Department of Rehabilitation Services Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Records Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the Alabama Department of Rehabilitation Services (ADRS). The RDA lists records created and maintained by ADRS in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for ADRS 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 or RDA governing the retention of ADRS' 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.

## Records Disposition Requirements

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

### 1.0 Making Policy

- 1.01** MEETING AGENDAS, MINUTES AND PACKETS OF THE ALABAMA BOARD OF REHABILITATION SERVICES  
Disposition: PERMANENT RECORD.
- 1.02** ADMINISTRATIVE CORRESPONDENCE OF THE COMMISSIONER OF THE DEPARTMENT OF REHABILITATION SERVICES  
Disposition: PERMANENT RECORD.
- 1.03** MEETING AGENDAS, MINUTES, AND PACKETS OF THE STATE COMMITTEE OF BLIND VENDORS  
Disposition: PERMANENT RECORD
- 1.04** Recordings of All Meetings  
Disposition: Temporary Record. Retain until the official minutes are adopted and signed.
- 1.05** MEETING MINUTES OF THE PROJECT RISE STATE AND DISTRICT ADVISORY COUNCILS (**No Longer Created**)  
Disposition: PERMANENT RECORD.
- 1.06** MEETING MINUTES, AGENDA, AND BYLAWS OF THE EARLY INTERVENTION STATE COUNCIL  
Disposition: PERMANENT RECORD.
- 1.07** Meeting Minutes of the Early Intervention District Councils  
Disposition: Temporary Record. Retain 7 years.
- 1.08** PROGRAMMATIC POLICY AND PROCEDURES MANUALS  
Disposition: PERMANENT RECORD.

## **2.0 Serving On Boards and Commissions**

- 2.01** MEETING AGENDAS, MINUTES, AND PACKETS OF THE IMPAIRED DRIVERS TRUST FUND (IDTF) ADVISORY BOARD  
Disposition: PERMANENT RECORD.
- 2.02** MEETING AGENDAS, MINUTES, AND PACKETS OF THE GOVERNOR'S COMMITTEE ON EMPLOYMENT OF PEOPLE WITH DISABILITIES (GCEPD) AND ITS LOCAL COMMITTEES  
Disposition: PERMANENT RECORD.

## **3.0 Providing Services**

- 3.01** Programmatic Training Materials  
Disposition: Temporary Record. Retain 5 years after materials are obsolete or superseded.
- 3.02** Early Intervention Program Records  
Disposition: Temporary Record. Retain 5 years.
- 3.03** Early Intervention Case Files\*  
Disposition: Temporary Record. Retain 10 years after closure.
- 3.04** Early Intervention Child Find Referral Forms  
Disposition: Temporary Record. Retain for 10 years.
- 3.05** Children's Rehabilitation Services Case Files\*  
Disposition: Temporary Record. Retain 6 years after the individual's 21<sup>st</sup> birthday.
- 3.06** MEETING MINUTES OF THE CHILDREN'S REHABILITATION SERVICES MEDICAL ADVISORY COMMITTEE  
Disposition: PERMANENT RECORD.
- 3.07** Hemophilia Program Case Files\*  
Disposition: Temporary Record. Retain 10 years after case is closed.
- 3.08** Vocational Rehabilitation Service (VRS) Case Files\*  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the case is closed.
- 3.09** Releases of Information and Client's Consents (any document signed by the client or the parent of a minor client that directs the department to disclose information to someone else)  
Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

- 3.10** Sheltered Employment Case Files\*  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the case is closed.
- 3.11** Supported Employment Case Files\*  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the case is closed.
- 3.12** Vocational Rehabilitation Services In-Eligibility Files  
Disposition: Temporary Record. Retain 3 years.
- 3.13** Alabama's Assistive Technology Resource (STAR) program and service records  
Disposition: Temporary Record. Retain 5 years after programs and services are discontinued or terminated.
- 3.14** SAIL Homebound Case Service Records  
Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the case is closed.
- 3.15** SAIL Waiver Case Service Records  
Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the case is closed.
- 3.16** Independent Living Case Service Records  
Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the case is closed.
- 3.17** Company Contact Files  
Disposition: Temporary Record. Retain 10 years.
- 3.18** Annual Company Needs and Satisfaction Surveys  
Disposition: Temporary Record. Retain 2 years.
- 3.19** Clinic Appointment Logs  
Disposition: Temporary Record. Retain 1 year after the year in which the record was created.
- 3.20** Clinic Sign-in Sheets  
Disposition: Temporary Record. Retain current year plus 3 fiscal years.
- 3.21** Clinic Recommendation Sheets  
Disposition: Temporary Record. Retain 3 months after the record was created.
- 3.22** Clinic Administrative Reports  
Disposition: Temporary Record. Retain current year plus 3 fiscal years.

**\* Consult with the Archives staff prior to the disposition of any significant case files which may need to be preserved permanently.**

#### **4.0 Acquiring and Administering State and Federal Funds**

- 4.01** Grant Project Programmatic, Financial, Progress, and Statistical Reports  
Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.
- 4.02** Vendor Fee Schedules  
Disposition: Temporary Record. Retain until obsolete or superseded.
- 4.03** Vendor Application Files Maintained in the State Office  
Disposition: Temporary Record. Retain for 6 years after the end of the fiscal year in which the records were created.
- 4.04** Office of Special Programs (OSEP) Files  
Disposition: Temporary Record. Retain 7 years.

#### **5.0 Promoting Public Awareness**

- 5.01** PROGRAMMATIC INFORMATIONAL/EDUCATIONAL MATERIALS  
Disposition: PERMANENT RECORD.
- 5.02** NEWSLETTERS  
Disposition: PERMANENT RECORD.
- 5.03** PUBLIC AWARENESS ACTIVITIES/EVENTS FILES  
Disposition: PERMANENT RECORD.
- 5.04** Early Intervention Public Awareness Plan  
Disposition: Temporary Record. Retain 5 years.

#### **6.0 Acting as an Advocate for Clients**

- 6.01** State of Alabama Client Assistance Program Case Files  
Disposition: Temporary Record. Retain 7 years after case is closed.

## **7.0 Promoting Client Participation**

- 7.01** MEETING AGENDAS, MINUTES, AND PACKETS OF CLIENT/FAMILY MEMBER ADVISORY COMMITTEES, COUNCILS, AND TASK FORCES  
Disposition: PERMANENT RECORD.

## **8.0 Coordinating/Developing Partnerships**

- 8.01** MEETING MINUTES, AGENDA, PROXIES, PACKETS AND BYLAWS OF THE EARLY INTERVENTION INTERAGENCY COORDINATING COUNCIL  
Disposition: PERMANENT RECORD.
- 8.02** Early Intervention Interagency Coordinating Council Files  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- 8.03** EARLY INTERVENTION INTERAGENCY COORDINATING COUNCIL EXECUTIVE COMMITTEE FILES  
Disposition: PERMANENT RECORD.
- 8.04** MEETING AGENDAS, MINUTES, PACKETS, AND ANNUAL FINANCIAL PLAN OF THE EARLY INTERVENTION INTERAGENCY COORDINATING COUNCIL FINANCIAL PLANNING SUBCOMMITTEE  
Disposition: PERMANENT RECORD.
- 8.05** Early Intervention Interagency Coordinating Council Subcommittee Files  
Disposition: Temporary Record. Retain 7 years.
- 8.06** INTERAGENCY AGREEMENTS  
Disposition: PERMANENT RECORD.

## **9.0 Licensing Vendors**

- 9.01** Business Enterprise Program Manager Licensure Files  
Disposition: Temporary Record. Retain 10 years after the vendor leaves the program.
- 9.02** Business Enterprise Program Unapproved Site Surveys  
Disposition: Temporary Record. Retain 1 year after the end of the fiscal year in which the records were created.
- 9.03** Business Enterprise Program Facility Files  
Disposition: Temporary Record. Retain 3 years after the facility is terminated from the program.

## **10.0 Reporting**

- 10.01** Early Intervention Program Monthly/Quarterly Data Reports  
Disposition: Temporary Record. Retain for 3 years after the end of the fiscal year in which the records were created.
- 10.02** ANNUAL REPORTS  
Disposition: PERMANENT RECORD.

## **11.0 Administering Internal Operations - Managing the Agency**

- 11.01** Board Appointment Files (for all legally mandated boards, committees, and advisory groups)  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 11.02** Correspondence  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- 11.03** Telephone Contact Logs  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- 11.04** Administrative Reference Files  
Disposition: Temporary Record. Retain for useful life.
- 11.05** Staff Meeting Minutes  
Disposition: Temporary Record. Retain for useful life.
- 11.06** SPECIAL CIVIL LITIGATION CASE FILES  
Disposition: PERMANENT RECORD.
- 11.07** Client Complaint Files  
Disposition: Temporary Record. Retain 5 years after last action.
- 11.08** Hearing Officer Files  
Disposition: Temporary Record. Retain until obsolete or superseded.
- 11.09** Legislative Tracking Files  
Disposition: Temporary Record. Retain 5 years.
- 11.10** Administrative Procedures Rules Filings  
Disposition: Temporary Record. Retain 5 years after rule becomes obsolete.

- 11.11** Records documenting routine civil litigation, including administrative proceedings hearings, Equal Employment Opportunity Commission complaints and lawsuits, and other non-precedent setting litigation  
Disposition: Temporary Record. Retain 10 years after closure.
- 11.12** Records documenting employee disciplinary actions, such as: an appeal to the Personnel Board of formal reprimands, demotions, transfers, or terminations  
Disposition: Temporary Record. Retain 3 years following disposition.
- 11.13** Board of Adjustment Case Files  
Disposition: Retain for 7 years after the final disposition of the case.
- 11.14** Records documenting the implementation of the agency's RDA (copies of transmittals 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.
- 11.15** Copy of RDA  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the RDA is superseded.
- 11.16** System Documentation (hardware/software manuals and diskettes, warranties )  
Disposition: Temporary Record. Retain documentation of former system 3 years after the end of the fiscal year in which the former hardware and software no longer exists anywhere in the agency and all permanent records have been migrated to a new system.
- 11.17** Network Address Database  
Disposition: Retain in office.
- 11.18** System Maintenance Contracts  
Temporary Record. Retain 6 years after the end of the expiration of the contract.
- 11.19** Work Order Requests  
Disposition: Temporary Record. Retain 3 years after the fiscal year in which the records were created.
- 11.20** Purchase and Repair Order Documents  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the property is sold or replaced.

- 11.21** Records documenting departmental information systems planning  
Disposition: Temporary Record. Retain for useful life.
- 11.22** WEBSITE  
Disposition: PERMANENT RECORD. PRESERVE A COMPLETE COPY OF WEBSITE ANNUALLY OR AS OFTEN AS SIGNIFICANT CHANGES ARE MADE.
- 11.23** Printouts of Acknowledgment from the Secretary of State Relating to Notices of Meetings Posted by State Agencies  
Disposition: Temporary Record. Retain 3 years.

## **12.0 Administering Internal Operations - Managing Finances**

- 12.01** 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.
- 12.02** Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received  
Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.
- 12.03** Records documenting revolving funds held in local offices  
Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.
- 12.04** Records documenting the Blind Employees Program (BEP) program asset funds and vending sharing funds  
Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.
- 12.05** Records documenting the award of, receipt of, disbursement of and reporting of expenditure of federal funds received through grants  
Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.
- 12.06** Records documenting the purchase of nonexpendable property/equipment with federal funds  
Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

- 12.07** Agency Audit Reports (audit conducted by the Examiners of Public Accounts)  
Disposition: Temporary Record. Retain 6 years after end of the fiscal year in which the records were created.
- 12.08** Records documenting desk reviews of sub-recipients and other internal audits and reviews  
Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.
- 12.09** Contractual records established for the purpose of services or personal property  
Disposition: Temporary Record. Retain 6 years after expiration of the contract.
- 12.10** 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.

### **13.0 Administering Internal Operations - Managing Human Resources**

- 13.01** Job Recruitment Materials  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 13.02** Position Classification Records (e.g. Form 40)  
Disposition: Temporary Record. Retain 4 years after reclassification of the position.
- 13.03** 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.
- 13.04** Records documenting payroll deductions for tax purposes (including Form 941)  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

- 13.05** Records documenting employee hours worked, leave earned, and leave taken  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 13.06** Educational Leave Records (e.g., applications for educational leave, educational leave agreements, contracts for educational leave, and leave cards)  
Disposition: Temporary Record. Retain 6 years after separation of an employee from the agency.
- 13.07** 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.
- 13.08** Records documenting daily and weekly work schedules for SAIL program employees  
Disposition: Temporary Record. Retain 5 years after the end of the fiscal year in which the records were created
- 13.09** Records documenting leave donations  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- 13.10** Records of final leave status  
Disposition: Temporary Record. Retain record of individual employees' cumulative leave 6 years after separation of employee from the agency.
- 13.11** 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.
- 13.12** Records documenting paid and non-paid clerical aide positions used for internships – generally maintained as a case file  
Disposition: Temporary Record. Retain 6 years after separation from the agency.
- 13.13** Section/Division Personnel Files (e.g., supervisory files)  
Disposition: Temporary Record. Retain 1 year after separation of an employee from the agency.
- 13.14** 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.
- 13.15** Records Documenting the administration of the unemployment compensation program.  
Disposition: Temporary Record. Retain 5 years after creation.

- 13.16** Immigration Reform and Control Act Records  
Disposition: Temporary Record. Retain 3 years from date employee is hired or 1 year after termination of employment, whichever is later.
- 13.17** Records documenting workshops and training sessions for employees, including distributed materials  
Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.
- 13.18** Continuing Education Program Review and Approval Files  
Disposition: Temporary Record. Retain 6 years.

## **14.0 Administering Internal Operations - Managing Properties, Facilities and Resources**

- 14.01** INVENTORY LISTS  
Disposition: PERMANENT RECORD. Retain in office. (Code of Alabama 1975, Section 36-16-8[1])
- 14.02** Transfer of State Property Forms (SD-1 Agency Copy)  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 14.03** Property Inventory Affidavits  
Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.
- 14.04** Receipts of Responsibility for Property  
Disposition: Temporary Record. Retain until return of item to property manager.
- 14.05** Records documenting the lease or rental of office, warehouse or storage space for the department  
Disposition: Retain 6 years after expiration of the lease.
- 14.06** Housekeeping Records  
Disposition: Temporary Record. Retain 3 years
- 14.07** Records documenting telephone systems  
Disposition: Temporary Record. Retain 3 years.
- 14.08** Emergency Contact Listings  
Disposition: Temporary Record. Retain current listing.

- 14.09** Records documenting the use, maintenance, ownership, insurance, 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 Department of Rehabilitation Services (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 July 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 maintains records solely in electronic format, it should employ an electronic records management system that is capable of tying retention and disposition instructions to records in the system and of purging temporary records when their retention periods expire. The agency is committed to funding any system

upgrades and migration strategies necessary to ensure its records' preservation and accessibility for the periods legally required.

- Electronic mail contain permanent, temporary, or transitory record information. Although e-mail records can be printed out, filed, and retained according to the RDA's requirements, the division should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.
- The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of the permanent records maintained in the custody of the agency and inspect records destruction documentation. Government 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 January 27, 2010.

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

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Date

Receipt acknowledged

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Cary F. Boswell, Commissioner  
Alabama Department of Rehabilitation Services

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Date