

Department of Youth Services

**Functional Analysis
&
Records Disposition Authority**

**Revision
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State Records Commission
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Functional and Organizational Analysis of the Department of Youth Services

Sources of Information

Department of Youth Services, Records Disposition Authority Executive Committee:

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Jan Grant, Executive Assistant to the Executive Director
Tim Davis, Deputy Director for Programs
Pat Pendergast, Administrator of the Office of Screening and Placement
Bill Samford, Legal Counsel
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Code of Alabama 1975, Sections 44-1-1 through 44-1-56
Alabama Administrative Code, Chapters 445-X-1.01 to 445-X-1.10
Alabama Government Manual (2002), pg. 132
Department of Youth Services Annual Reports, 1974-1992
Department of Youth Services Juvenile Statistical Reports, 1974-1995
Department of Youth Services Strategic Plan (1996)
Government Records Division, Department of Youth Services records retention schedule
Government Records Division, State Agency Files (1985-ongoing)
Holdings of the Department of Archives and History

Historical Context

The first attempt of the state to provide for care of delinquent and criminal youth occurred in 1893 when the Legislature established a new convict system for the state. Among various sections of the law was one which specifically dealt with minors. It stipulated that “all convicts under sixteen years of age shall be separated and confined and worked apart from all other convicts.” (Acts 1892-1893, No 102 ½, Sec. 35).

In 1899, the Legislature authorized the establishment of a reformatory and industrial school, known as the Alabama Industrial School in Jefferson County, for the benefit of orphan, helpless, and wayward children. It was the duty of this school to receive, care, and provide for the welfare of white children between the ages of six and eighteen who were likely to become criminal or hurtful to the state. The Legislature in 1919 changed the name of the school to the Alabama Boys Industrial School. Similarly, the first effort by the state to assist female juvenile delinquents occurred in 1911

when the Legislature authorized the assumption of control of the Girls' Home for the Friendless, located near Eastlake in Birmingham. The institution was thereafter known as the Alabama Home of Refuge. In 1915, the Legislature changed the name to Alabama State Training School for Girls.

The state also started to deal with black juvenile delinquents in 1911 by organizing the Alabama Reform School for Juvenile Negro Law-Breakers at Mt. Meigs in Montgomery County. The school name was changed to Alabama Industrial School for Negro Children in 1947 and to Alabama Industrial School in 1970.

At the state government level, Governor Lurleen B. Wallace established in 1967 the Alabama Youth Committee to study and develop "techniques for the prevention and control of juvenile delinquency and youth offenses" (Executive Order No. 3). In response to recommendations of the committee, Governor Albert P. Brewer created the Division of Juvenile Delinquency Services within the Department of Pensions and Security (predecessor of the Department of Human Resources) to oversee programs related to juvenile delinquency. The Alabama Youth Committee continued to serve as the advisory committee on juvenile delinquency planning for the Department of Pensions and Security until the Legislature passed in 1973 the Youth Services Act which created the Department of Youth Services. All functions, responsibilities, and properties of the three youth delinquency schools, the Division of Juvenile Delinquency Services, and the Alabama Youth Committee were then transferred to the Department of Youth Services after 1973.

Agency Organization

Legislative Act No. 816 of 1973 created the Department of Youth Services (hereafter cited as "DYS") and it became operational in 1974. An 18-member Youth Services Board governs DYS. The Governor is the *ex officio* chairperson of the board. Other members include the Commissioner of the Department of Human Resources; the State Superintendent of Education; the Commissioner of the Department of Mental Health and Mental Retardation; the State Health Officer; the Director of the Alabama Law Enforcement Planning Agency; two House members appointed by the Speaker of the House of Representatives; two Senate members appointed by the Presiding Officer of the Senate; one member appointed by the President of the Alabama Council of Juvenile Court Judges; one member appointed by the Chairperson of the Alabama Chief Probation Officers Association; and seven members, selected from each of the state's seven congressional districts, appointed by the Governor. The membership elects a chairperson, vice-chairperson, and secretary. The board meets at least annually and the chairperson or any three members of the board may call special meetings. A quorum consists of any nine members of the board.

The board appoints the State Youth Services Director who exercises supervision over all employees of the department. Currently, DYS is organized into the following major divisions/offices: Community Services, Institutional Services, School District, Support Operations, Legal, and Screening and Placement. An organizational chart is attached.

Agency Function and Subfunctions

The mandated function of the department is, according to Code of Alabama 1975, Section 44-1-1, to promote and safeguard the social well-being of the troubled youth of the state through a comprehensive and coordinated program of public services for the prevention of juvenile delinquency and the rehabilitation of delinquent youth. It is one of the agencies primarily involved in carrying out the Law Enforcement and Emergency Powers function of Alabama government. In the performance of its mandated functions, DYS may engage in the following subfunctions:

- **Promulgating Rules and Regulations.** Code of Alabama, Section 44-1-24 (9), specifies that DYS is responsible for making all rules and regulations that are necessary and appropriate to the proper accomplishment of the duties and functions vested in the department by law with respect to youth services. This subfunction encompasses activities pertaining to the establishment and promulgation of rules, policies, orders, and regulations by the Youth Services Board and the Department of Youth Services for carrying out its duties and responsibilities.
- **Screening and Placing Committed Youth.** Prior to the placement of youth offenders in the custody of DYS, the agency's Screening and Placement Committee, made up of the Administrator and Assistant Administrator for Screening and Placement, the Coordinator of Special Education, and a Community Services Division representative, reviews and utilizes all related documents and reports provided by the local courts to make an initial classification of each youth to be transferred. Information such as the youth's risk/needs assessment, social evaluation, delinquency record, and academic records are used in the classification process. Once determined, the committing courts are notified about which DYS facility the youth offender will be placed into for treatment.
- **Providing Institutional Services.** DYS is obligated, under Code of Alabama 1975, Section 44-1-4, to provide services for youths who have run away from their own communities in this state or from their home communities in other states to this state. In addition, the department is also obligated to provide for the expansion of local detention care for youths alleged to be delinquent pending a court hearing. Currently, DYS operates the Chalkville Campus and Vacca Campus (in Birmingham); the Development and Education Center, the Intensive Treatment Unit, the Mt. Meigs Campus (in Montgomery); the Autauga Campus; and the Thomasville Campus to provide various program services for juvenile delinquents committed to the department. DYS also operates several group homes throughout the state that are non-secure residential care facilities. Youth committed to group homes live in a home-like atmosphere, but with strict rules, regulations, and chores. Most residents in group homes attend public schools or vocational schools and work in full or part-time jobs.

- **Providing Education Services.** In 1982, Act 485 of the Alabama Legislature created the Youth Services School District. As the 210th school system in the state, the school district is governed by the policies and procedures of both DYS and the State Department of Education. The Youth Services Board serves as the board for this school district. The DYS School District currently operates four major schools -- Wallace School at the Mt. Meigs Campus, McNeel School at the Vacca Campus, the Sequoyah School at the Chalkville Campus, and Eufaula School at the Eufaula Youth Facility. Regular academic and vocational education services are provided to the youth residing in those schools.

- **Licensing and Monitoring Local Youth Delinquency Care Facilities or Programs.** Code of Alabama 1975, Section 44-1-24 (7), mandates the department to license and subsidize foster care facilities or group homes for youths alleged to be or adjudged delinquent. The goal of this mandate is to support the rehabilitation of delinquent youth through the development and utilization of youth care facilities and programs operated at the community level. These community facilities, such as foster family homes, comprehensive youth services centers, and other detention centers/camps, may be operated either by local government entities or by private organizations. This subfunction encompasses the establishment of minimum operation standards and guidelines, the examination and inspection of facilities, training of facility staff members, issuing/renewing licenses for qualified facilities, and monitoring facilities' services. In addition, DYS provides financial subsidies to these licensed facilities.

- **Administering the Interstate Compact on Juveniles.** The Legislature in 1965 authorized the state to enter into a reciprocal agreement with officials of other states. The agreement is known as the Interstate Compact on Juveniles. The purpose of the compact is to provide for the return of juveniles who have run away or escaped to other states through cooperation between states. Code of Alabama 1975, Section 44-2-2, mandates that the executive director of DYS serve as the administrator of the compact and act jointly with other parties in promulgating rules and regulations for the execution of the terms of the compact.

- **Administering Internal Operations.** A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support the programmatic areas of the agency.

Managing the Agency: Activities include internal office management work common to most government agencies such as corresponding and communicating; scheduling; meeting; documenting policy and procedures; reporting; litigating; drafting, promoting, or tracking legislation; publicizing and providing information; managing records; and managing information systems and technology.

Providing Computer Services: The agency's Office of IT Systems provides data processing services to staff members of the agency's central office in Montgomery and other DYS

facilities across the state.

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 involved in managing human resources may include the following: recruiting and hiring eligible individuals to fill vacant positions within the agency; providing compensation and benefits to employees; supervising employees (evaluating performance, disciplining, granting leave, and monitoring the accumulation of leave); and providing training and continuing education for employees.

Managing Properties, Facilities, and Resources: Activities involved in managing properties, facilities, and resources may include the following: inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing for security and/or insurance for property; and assigning, inspecting, and maintaining agency property, including vehicles.

Analysis of Record Keeping System and Records Appraisal of the Department of Youth Services

Agency Record Keeping System

The Department of Youth Services currently operates a hybrid record keeping system composed of paper-based record keeping and a computer system.

Paper-based Systems: Most of the DYS records are created and maintained in paper form. The department does not have a paper records management procedural manual for guiding staff in records storage, transfer, and disposition activities. The department has utilized the State Records Center for storage of its youth case files since 1991.

Computer Systems: The department's Office of IT Systems supplies and maintains the processing infrastructure, i.e., communications, client/server systems, desktop systems, software, mainframe access, antivirus software, for the operation of the Department of Youth Services. The department's Wide Area Network (WAN) consists of 8 NT servers and approximately 150 workstations throughout the state. A Primary Domain Controller (PDC) server, a Backup Domain Controller (BDC) server, a member server for WINS, and a member server for Lotus Notes are located at Mt. Meigs in the agency's Support Operations Building and another member server for Lotus Notes is located downtown in the basement of the Folsom Building. The PDC provides authentication for user accounts, shared print services, and antivirus protection for the Mt. Meigs Campus and its network resources. All user accounts at Mt. Meigs Campus are administered and maintained on this server. The BDC maintains a backup of the user accounts and provides WINS service for the network at Mt. Meigs Campus. The member server is the server that has the department's Lotus Notes application and email service for Mt. Meigs Campus. The member server downtown has the department's Lotus Notes application and email service for private providers and other DYS facilities and campuses throughout the state. Lotus Notes replicates between the 2 member servers providing a backup in case one server should fail. There is also a PDC server at each of the campuses in Eufaula, Vacca, Chalkville, and Autauga that provides user authentication, shared print services, and antivirus protection for the workstations at that campus. User accounts at these campuses are administered remotely from Mt. Meigs. Email accounts and user accounts for the department's Client Tracking System (CTS) are also administered at Mt. Meigs. These accounts function independently from the NT user accounts. The member server at Mt. Meigs provides email and CTS access for users at Mt. Meigs Campus. User accounts for email and CTS access for private providers and other DYS facilities are administered remotely at Mt. Meigs and authenticated downtown on the member server. There are currently no tape backups at any facility or campus other than at Mt. Meigs and downtown. A backup is taken every Monday, Tuesday, Wednesday, Thursday, and Friday. The backup that is made at Mt. Meigs is kept in the agency's Support Operation Building and the backup that is made downtown in the Folsom Building is kept there. The department has no mainframe applications but does access the state's Local Government Financial System (LGFS) and the Government Human Resources System (GHRM).

Records Appraisal

The following is a discussion of the three major categories of records created and/or maintained by DYS: Temporary Records, Permanent Records, and Records No Longer Created.

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

- **Client Tracking System.** DYS implemented this system in 1995 in an effort to maintain, at all times, accurate population data for all DYS facilities and programs. This system, which utilizes Lotus Notes software, also documents each youth's current placement as well as adherence to capacity guidelines for each facility. Any movement of committed youth from one facility to another is tracked and reflected instantly on the system. There are two databases in the system: (a) active -- for youth currently in DYS custody; (b) inactive -- for youth released from DYS. Department staff utilizes the data to generate periodic program reports and youth offenders' face sheets. The system is accessible by the agency's 17 off-site facilities (institutional campuses, group homes, community services sites, etc.) across the state. Since the database is used for quick access to information regarding the movement of youth offenders within DYS facilities, information should be maintained until superseded.
- **Interstate Compact on Juvenile Administrative Files.** In discharging the responsibilities pertaining to the Interstate Compact on Juveniles, certain forms are utilized to document the staff's efforts in transferring or returning a youth runaway, escapee, or absconder either to this state or to another state. The value of these files diminishes after the youth is transferred or returned. The DYS annual reports document statistical data regarding administration of the compact.
- **Records listed under the Section of "Managing Finances" (Administering Internal Operations)**
All records listed under the section of "Managing Finances" are filed together in one place. Since some of these records have ties to federal grants, the agency maintains all records listed in this section for 7 years to meet federal grant guidelines as it is difficult to separate these financial records. A 7-year retention period would ensure that financial records governed by federal retention guidelines are not destroyed after 3 years.

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

Promulgating Rules and Regulations:

- **Meeting Agendas, Minutes, and Packets of the Youth Services Board.** The Youth Services Board meets on a quarterly basis along with special board meetings when needed.

Included in this series are meeting agendas, minutes, quarterly reports submitted by each DYS division/program, and other supporting or reference materials. These files should be preserved as the core documentation of the board. (RDA pg. 3-2) (**Bibliographic Title: Meeting Minutes**)

- **Strategic Plan Files.** In an effort to deal with the changes of the nature and effect of juvenile crime in the state and plan for the future, DYS implemented a strategic planning project in 1996 to reexamine the agency's fundamental philosophy and purpose. With assistance from a consulting institution, the agency developed a new mission statement and supporting goals. Each division within the agency then developed strategies to address the goals. The agency staff plans to review and update the strategic plan on a regular basis. The strategic plans serve as the tools to assist the staff in planning for the future and need to be retained as permanent documentation. (RDA pg. 3-2) (**Bibliographic Title: Strategic Plan Files**)
- **Policies and Procedures Manuals.** The policies and procedures manuals were designed by the department to aid DYS employees in day-to-day operations. The manual contains statements of departmental philosophy, rules and regulations governing personnel, work time, leave, travel, staff development and training, and detailed operating procedures for various programs and services. It may also include minimum standards developed by the staff for the rehabilitation of delinquent youth at DYS institutions and the community level. Additions/deletions and other changes are reviewed and approved by the Youth Services Board on a yearly basis. This series documents the department's role in prescribing standards and procedures for its programs. (RDA pg. 3-2) (**Bibliographic Title: State Publications**)

Screening and Placing Committed Youth:

- **Youth Case Files (samples).** Whenever the department takes a youth offender into custody, the staff creates a case file to bring together information about the young person and to hold orders, reports, and legal notices about him or her. A typical case file may contain copies of legal documents (court orders, court social history forms, petitions, and affidavits), face sheets, medical records, various evaluations, social service plans, progress reports, behavior summaries, disciplinary sheets, correspondence, and release summaries. The Office of Screening and Placement creates case files and then forwards them to the institution in which the youths are housed. After the release from custody, case files are returned to the Office of Screening and Placement for storage before final disposition.

DYS retains inactive case files for reference until the youths reach the age of majority. The department's policies and procedures manuals provide information on the creation and composition of a typical case file. If considered singly and solely with reference to the information they contain, those case files have very little research value. The demographic and social significance of these case files is useful only if all case files are examined and analyzed. The agency's annual reports contain sufficient statistical information and may be

used by researchers for studies relating to delinquent youth in Alabama. A small selection of samples of the case files from each DYS facility is useful in documenting the process of juvenile rehabilitation and treatment. (RDA pg. 3-2) (**Bibliographic Title: Youth Case Files**)

Providing Institutional Services:

- **DYS Youth Facility Advisory Board Meeting Agendas, Minutes, and Packets.** Each DYS operated facility has in place an advisory board to coordinate various activities of that facility. The facility staff selects members of the board from the local community. The board meets either on a monthly or quarterly basis. The board's duties may range from coordinating volunteer works, to fund raising, to organizing various parties. Meeting agendas, minutes, and packets should be preserved to document the activities of these advisory boards. (RDA pg. 3-3)

Providing Education Services:

- **Student Permanent Records.** These records document a student's performance in the DYS school district. The requirements for maintaining student records are professional practices that derive from guidelines of the American Association of Collegiate Registrars and Admission Officers and the Southern Association of Colleges and Schools. These guidelines ensure standardized record keeping and retention for student records documenting attendance, achievement, and graduation. (RDA pg. 3-4)

Licensing and Monitoring Local Youth Delinquency Care Facilities or Programs:

Permanent records documenting this subfunction are found in the Annual Reports as described in the Administering Internal Operations subfunction.

Administering the Interstate Compact on Juveniles:

Permanent records documenting this subfunction are found in the Annual Reports as described in the Administering Internal Operations subfunction.

Administering Internal Operations:

- **Informational and Promotional Publications.** DYS keeps the public informed of various programs and services through the preparation and distribution of its publications, such as brochures, pamphlets, and other materials issued in print. They usually describe the philosophy, programs, training schools, proposed programs, and volunteer opportunities for youth projects. (RDA pg. 3-5) (**Bibliographic Title: State Publications**)
- **Still Photographs.** The department creates and maintains a photographic collection for use

in its various publications. Images include DYS facilities/campuses, students' activities, and departmental events. These photographs provide a visual display of DYS programs and services. (RDA pg. 3-5) **(Bibliographic Title: Photographs)**

- **News Releases.** This series consists of statements or announcements concerning the department and its work issued for distribution to the news media and the public. They provide supplemental updates on the department's facilities and program operations. (RDA pg. 3-5) **(Bibliographic Title: News Releases)**
- **Annual Reports.** Code of Alabama, Section 44-1-55, requires the Youth Services Board to print and send to the Governor of Alabama an annual report which includes information on "the activities of the Board, the need for facilities under its jurisdiction, juvenile service conditions in the state, plans for the future, financial reports for the preceding year, and the names and addresses of the members of the Board." In addition, the annual report also contains the names of staff members who died during the year, employees of the year awards, major programmatic changes, and statistical data. The annual report provides an overall picture of the agency's activities and should be preserved as a permanent record. (RDA pg. 3-2) **(Bibliographic Title: State Publications)**
- **Website.** The department maintains a website at www.dys.state.al.us. Information on the website includes, but is not limited to, description of missions/programs, licensure procedures, DYS facilities and schools, annual reports, staff directory, frequently asked questions and website links. The agency needs to preserve a complete copy of its website annually or as often as significant changes are made. (RDA pg. 3-5) **(Bibliographic Title: Website)**
- **Grant Project Final Reports.** The federal government funds part of the Department of Youth Services' operations. Final narrative reports should be maintained permanently as documentation of the department's fulfillment of obligations to the federal government in receiving funding. (RDA pg. 3-7) **(Bibliographic Title: Federal Grant Final Reports)**
- **Original bid records maintained in the purchasing office of the Department of Youth Services for contracts over \$7500.** The Code of Alabama 1975, Section 41-16-24 requires that "all original bids together with all documents pertaining to the award of the contract shall be retained and made a part of the permanent file or records and shall be open to public inspection." These files should be maintained in the agency's office. (RDA pg. 3-8)
- **Inventory Lists.** The Code of Alabama 1975, Section 36-16-8[1] requires that "..... All [state agency] property managers shall keep at all times in their files a copy of all inventories submitted to the Property Inventory Control Division, and the copies shall be subject to examination by any and all state auditors or employees of the Department of Examiners of Public Accounts." These files need to be maintained in the agency's office. (RDA pg. 3-10)

III. Records No Longer Created. The following records were created by DYS over time, but are no longer created.

A. Permanent Records.

Administering Internal Operations:

- **DYS Newsletters.** Named either as “The Advocate” or “DYS Report,” the agency’s newsletter was published during the late 1970s and early 1990s for distribution to the general public or its employees. The newsletter contains excerpts from professional literature, news of training opportunities, conferences, special events, grants awarded, departmental changes, regional activities, occasional DYS student poems and cartoons, obituaries, profiles of personnel, new staff/board members, and retirees. Illustrated by photographs, the newsletter reflected the activities and interests of the department and some of the issues that affected it. (RDA pg. 3-5) **(Bibliographic Title: State Publications)**

- **Juvenile Statistical Reports.** The statistical information in this report is compiled through a joint effort of the Department of Youth Services (DYS), the Alabama Juvenile Courts, and the Department of Human Resources (DHR). The report provides a summary and an analysis of juvenile delinquency cases disposed of and reported to DYS by the juvenile courts during the year, as well as abuse, neglect, dependency and special proceedings cases reported to DHR. (RDA pg. 3-5) **(Bibliographic Title: State Publications)**

Accessibility of Records

All data concerning youth offenders is protected from disclosure to the general public in accordance with Code of Alabama, Section 44-1-39. Information may be accessible only for research purposes where anonymity is preserved and written clearance from DYS is obtained.

Permanent Records List

Department of Youth Services

Promulgating Rules and Regulations

1. Meeting Agendas, Minutes, and Packets of the Youth Services Board
2. Strategic Plan Files
3. Policies and Procedures Manuals

Screening and Placing Committed Youth

1. Youth Case Files (samples)

Providing Institutional Services

1. DYS Youth Facility Advisory Board Meeting Agendas, Minutes, and Packets*

Providing Education Services

1. Student Permanent Records*

Administering Internal Operations

1. Informational and Promotional Publications
2. Still Photographs
3. News Releases
4. Annual Reports
5. Website
6. Grant Project Final Reports
7. Original bid records maintained in the purchasing office of the Department of Youth Services for contracts over \$7500*
8. Inventory Lists*

Permanent Records no Longer Created

1. Juvenile Statistical Reports
2. DYS Newsletters

* 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.

Department of Youth Services Records Disposition Authority

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

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

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Department of Youth Services records. Copies of superseded schedules are no longer valid and should be discarded.
- This RDA establishes retention and disposition instructions for records listed below, regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Certain records and record-related materials need not be retained as records under the disposition requirements in 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; (2) catalogs, trade journals, and other publications received that required not action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term internal purposes 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.

Records Disposition Requirements

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

Promulgating Rules and Regulations

MEETING AGENDAS, MINUTES, AND PACKETS OF THE YOUTH SERVICES BOARD
Disposition: PERMANENT RECORD.

Recordings of Meetings

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

STRATEGIC PLAN FILES

Disposition: PERMANENT RECORD.

POLICIES AND PROCEDURES MANUALS

Disposition: PERMANENT RECORD.

Appointments to the Youth Services Board

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the member's term expires.

Executive Director's Orders

Disposition: Temporary Record. Retain for useful life.

Screening and Placing Committed Youth

YOUTH CASE FILES (SAMPLES)

Disposition: RETAIN UNTIL THE YOUTH REACHES TWENTY-THIRD BIRTHDAY, THEN SAMPLE CASE FILES FOR PERMANENT PRESERVATION. AFTER SAMPLING IS COMPLETED, PROCEED WITH DESTRUCTION OF REMAINING RECORDS.

Case Manager Working Notes

Disposition: Temporary Record. Retain 3 years after the release of the youth.

Youth Intake Logs

Disposition: Temporary Record. Retain 1 year after the last entry.

Youth Placement Logs

Disposition: Temporary Record. Retain 1 year after the last entry.

Weekly Institution Vacancy Reports
Disposition: Temporary Record. Retain 1 year.

Providing Institutional Services

Client Tracking System Database
Disposition: Temporary Record. Retain information until superseded.

American Correctional Association Accreditation Files
Disposition: Temporary Record. Retain 3 years or until reaccreditation is completed.

DYS YOUTH FACILITY ADVISORY BOARD MEETING, AGENDAS, MINUTES, AND
PACKETS
Disposition: PERMANENT RECORD.

DYS Youth Facility Employee Council and Staff Meeting Minutes
Disposition: Temporary Record. Retain for useful life.

Youth Complaint Files
Disposition: Temporary Record.
Substantiated Complaints: Retain until case is closed, then transfer to the employee personnel files
if applicable.
Unsubstantiated Complaints: Retain 1 year after case is closed.

Providing Education Services

STUDENT PERMANENT RECORDS
Disposition: PERMANENT RECORD.

School Teacher Applications (Not-hired)
Disposition: Temporary Record. Retain 1 year.

School Teacher Personnel Files
Disposition: Temporary Record. Retain 6 years after separation.

School Teacher Professional Development Files
Disposition: Temporary Record. Retain 3 years.

School Curriculum Files
Disposition: Temporary Record. Retain until superseded.

School Educational Plan Files
Disposition: Temporary Record. Retain 5 years.

Special Education Program Student Records

Disposition: Temporary Record. Retain 5 years after the termination of student from the program.

Monthly School Administrators' Reports

Disposition: Temporary Record. Retain 5 years.

Student Attendance Records

Disposition: Temporary Record. Retain 5 years.

Licensing and Monitoring Local Youth Delinquency Care Facilities or Programs

Youth Delinquency Care Facility/Program Licensure Files

Disposition: Temporary Record. Retain 5 years after the end of the year in which the license lapsed.

Group Home Monitoring Files

Disposition: Temporary Record. Retain 5 years after the end of the year in which the facility is closed.

Special Placement Files for Youths with Multiple Needs

Disposition: Temporary Record. Retain 5 years after the release of custody.

Administering the Interstate Compact on Juveniles

Interstate Compact on Juveniles and Interstate Compact for the Supervision of Parolees and Probationers Administrative Files

Disposition: Temporary Record. Retain 1 year after the end of the year in which the youth is transferred or returned.

Administering Internal Operations

Managing the Agency:

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

DYS NEWSLETTERS

Disposition: PERMANENT RECORD.

STILL PHOTOGRAPHS

Disposition: PERMANENT RECORD.

NEWS RELEASES

Disposition: PERMANENT RECORD.

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

WEBSITE

Disposition: PERMANENT RECORD.

JUVENILE STATISTICAL REPORTS (No Longer Created)

Disposition: PERMANENT RECORD.

DYS NEWSLETTERS (No Longer Created)

Disposition: PERMANENT RECORD.

Routine Correspondence/Memoranda

Disposition: Temporary Record. Retain 3 years.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Quarterly Program Performance Report Files

Disposition: Temporary Record. Retain 3 years.

Program Periodic Reports

Disposition: Temporary Record. Retain until DYS Annual Report and Juvenile Statistical Report are published.

Lobbyist Activity Records and Reports

Disposition: Temporary Record. Retain 3 years.

Legislation Tracking Files

Disposition: Temporary Record. Retain for useful life.

Telephone Logs

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

Mail or Parcel Service Pickup/Delivery Receipts

Disposition: Temporary Record. Retain 1 year.

Press Service Files

Disposition: Temporary Record. Retain for useful life.

Printing Service Request Files

Disposition: Temporary Record. Retain until receipt of printed material.

Printing Negatives and Plates

Disposition: Temporary Record. Retain until obsolete.

Monthly DYS Operated/Licensed Facility Population Reports

Disposition: Temporary Record. Retain for useful life.

Legal Case Files

Disposition: Temporary Record. Retain 7 years after the final disposition of the case.

Compliance Records

Records documenting DYS compliance with court orders

Disposition: Temporary Record. Retain 5 years after the final disposition of the case.

Board of Adjustment Case Files

Disposition: Temporary Record. Retain 5 years after the final disposition of the case.

Administrative Hearing Case Files

Disposition: Temporary Record. Retain 5 years after the final disposition of the case.

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

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

Copy of RDA

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

Providing Computer Services:

System Documentation (project/program files and specifications, computer planning/scheduling/configuration, design/requirement documentation, implementation plans, hardware 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 no longer exists in the agency and all permanent records have been migrated to a new system.

Software Documentation (software manuals and diskettes, application description and function, warranties, licenses, and configurations)

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

Client Tracking System Database

Disposition: Temporary Record. Retain for useful life.

Records document computer program change requests/solutions, problem reports/solutions, work sampling, and new program requests, etc.

Disposition: Temporary Record. Retain until issues are completed and resolved.

Computer and Internet User Access Agreements and Security Records.

Disposition: Temporary Record. Retain until superseded.

Area Network Connectivity Documentation.

Disposition: Temporary Record. Retain until superseded.

Managing Finances:

GRANT PROJECT FINAL REPORTS

Disposition: PERMANENT RECORD.

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

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

Records documenting the requisitioning and purchasing of supplies and equipment, receipting and invoicing for goods, and authorizing payment for products

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

Records of original entry or routine accounting transactions, such as journals, registers, ledgers, and funds deposited outside the state treasury.

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

Records documenting requests for authorization from supervisors to travel on official business either within or outside the state, and other related materials, such as travel reimbursement forms and itineraries

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

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 7 years after expiration of the contract.

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

- a. ORIGINAL BID RECORDS MAINTAINED IN THE PURCHASING OFFICE OF THE DEPARTMENT OF INDUSTRIAL RELATIONS FOR CONTRACTS OVER \$7500

Disposition: PERMANENT RECORD. Retain in Office. (Code of Alabama 1975, Section 41-16-24).

b. Duplicate copies of bid (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 records were created.

Audit Reports

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

Records documenting the application for, award of, receipt of, disbursement of and reporting of expenditure of federal funds received through grants

Disposition: Temporary Record. Retain 7 years after submission of the final expenditure report.

Records documenting the purchase of nonexpendable property/equipment with federal funds

Disposition: Temporary Record. Retain 7 years after final disposition of property.

Managing Human Resources:

Job Recruitment Materials

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

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Application Materials

Disposition: Temporary Record. Retain 1 year.

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

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

Records documenting payroll deduction authorizations

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

Records documenting payroll deductions for tax purposes (including Form 941)

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

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

a. Records documenting work history of employees

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

agency.

- b. Personnel records maintained within divisions/offices or local DYS facilities
Disposition: Temporary Record. Retain 1 year after separation of employee from the agency.

Records documenting employees' daily and weekly work schedules

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

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

Disposition: Temporary Record. Retain 3 years following decision.

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

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

Records documenting sick leave donations

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

Records documenting pre-service orientation and other in-service training for DYS employees

Disposition: Temporary Record. Retain 3 years.

State Employees Injury Compensation Trust Fund Files

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

Worker Compensation Injury and Settlement Reports

Disposition: Temporary Record. Retain 12 years after the end of the fiscal year in which the transaction occurred. (Code of Alabama 1975, Section 25-5-4).

Employee Flexible Benefits Plan Files

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

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

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain 3 years.

Employee Administrative Hearing Files

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

Managing Properties, Facilities, and Resources:

INVENTORY LISTS

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

Letters of Transmittal

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

Real Property Files

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

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.

Receipts of Responsibility for Property

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

Real Property Leasing/Renting Records

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

Facilities/Building Security Records (including visitor logs)

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

Vehicle and Equipment Maintenance Files

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

Insurance Policies/Risk Management Records

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

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

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 Department of Youth 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 January of each year. In addition, the agency should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The agency should designate a records liaison, who is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the agency, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the agency's approved RDA.
- Permanent records in the agency's custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur agency--wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the state Sunset Act, audit requirements, or any legal notice or subpoena.
- The agency should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the agency chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.

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

The State Records Commission adopted this records disposition authority on October 27, 2004.

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

By: _____ Date _____
Walter Wood, Executive Director
Department of Youth Services