

Alabama Crime Victims Compensation Commission

Functional Analysis & Records Disposition Authority

**Revision
Presented to the
State Records Commission
April 26, 2001**

Table of Contents

Functional and Organizational Analysis of Alabama Crime Victims Compensation Commission	1-1
Sources of Information	1-1
Agency Organization	1-1
Agency Function and Subfunctions	1-1
Administering Funds	1-1
Processing Claims	1-2
Assisting Victims	1-2
Promoting Public Awareness	1-2
Reporting and Record Keeping	1-3
Administering Internal Operations	1-3
Organizational Chart	1-4
Analysis of Record Keeping System and Records Appraisal of Alabama Crime Victims	
Compensation Commission	2-1
Agency Record Keeping System	2-1
Records Appraisal	2-1
Subfunctions Resulting in the Creation of No Records	2-1
Temporary Records	2-1
Permanent Records	2-2
Alabama Crime Victims Compensation Commission Records Disposition Authority	3-1
Explanation of Records Requirements	3-1
Records Disposition Requirements	3-2
Administering Funds	3-2
Processing Claims	3-2
Promoting Public Awareness	3-3
Reporting and Record Keeping	3-3
Administering Internal Operations	3-3
Approval of Records Disposition Authority	3-7

Functional and Organizational Analysis of the Alabama Crime Victims Compensation Commission

Sources of Information

Representatives of the Alabama Crime Victims Compensation Commission

Martin A. Ramsay, Executive Director

Doris Dease, Chief of Advocacy/Accounting Division

Jason Segars, Chief of Management of Information System Division

Kim Ziglar, General Counsel

The Alabama Crime Victims Compensation Commission Annual Report (1998-1999)

The Alabama Crime Victims Compensation Commission Audit Report (1996-1999)

Code of Alabama 1975, Sections 15-23-1 through 15-23-23 as amended 1998

Alabama Administrative Code, Chapters 262-X-1 to 262-X-10

Alabama Government Manual (1994)

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

Agency Organization

The Alabama Crime Victim Compensation Commission was created by the Alabama Legislature in 1984. The Commission is composed of three citizens of Alabama appointed by the Governor for four years each. The commission elects a chairman from its membership each year. Any two members shall constitute a quorum, and two votes in favor shall be necessary for a decision by the commission at any meeting of the commission. The commission holds regular monthly meetings in Montgomery on the second Thursday of each month. The commission appoints an executive director who serves as the administrative head of the agency. The commission is currently organized into four divisions (Advocacy/Accounting, Investigative North, Investigative South, and Management of Information System) with a total workforce of twenty-nine employees. An organizational chart is attached.

Agency Function and Subfunctions

The commission administers the Alabama Crime Victims Compensation Fund and awards financial compensation to victims for economic loss arising from criminally injurious conduct. This commission is one of agencies responsible for performing the Public Advocacy function of Alabama government. In the performance of its mandated function, the commission may engage in the following subfunctions.

- **Administering Funds.** The commission is authorized to collect money from court costs,

victim assessment fees, restitution, and civil suit reimbursement to fund its program. In addition, the commission is eligible to apply for federal grants from the Victims of Crime Act (VOCA) funds which are collected from federal court costs and fines. The agency can also accept loans, grants, and donations from all other sources for the purpose of providing compensation or other benefits to crime victims. All funds collected are deposited in the Alabama Crime Victims Compensation Fund, which is placed under the management and administration of the Commission. The commission has authority to invest the funds in any legal investments under the laws of the state.

This subfunction also involves the awarding of loans or grants of money, equipment, or personnel to public or private nonprofit corporations or associations, state agencies, or county, municipal law enforcement, prosecutorial or judicial agencies for the purpose of developing, enhancing, or establishing model crime victims service programs which emphasize the collection of restitution from criminals as an integral part of the criminal justice process.

- **Processing Claims.** One of the primary responsibilities of the commission is to determine the eligibility of claimants for compensation and pay all compensation or other benefits to claimants for expenses such as for medical, funeral, and counseling bills. Persons eligible to make a claim to the commission include the victim, a dependent of a victim who died as a result of criminally injurious conduct, or a person authorized to act on behalf of a victim. After the staff investigates and processes the claim, a summary is presented to the commission at its monthly meetings. The commission may approve, deny, or reduce the claim. If the request is denied and the claimant is dissatisfied with the commission's ruling, he/she may request an appeal within thirty days of the notification of the denial. The commission will then re-hear the case with an impartial hearing officer present.
- **Assisting Victims.** In addition to providing financial assistance to victims of violent crime, the commission staff pursues various approaches toward improving the plight of victims statewide. This subfunction involves the commission staff's efforts in making home/hospital visits for special hardship cases, mailing specially designed "thinking of you" cards, Christmas cards, and other victim handbooks/literature to victims needing special remembrance or assistance; protesting at parole hearings; writing letters on behalf of victims' concerns; attending court proceedings to offer support to victims; and providing assistance at the scene of the crime.
- **Promoting Public Awareness.** The commission is mandated, under Code of Alabama 1975, Section 15-23-5 (6), to publicize the availability of compensation funds and to provide information regarding other services through public service announcements for broadcast, news conferences, and education/training activities. As the state agency charged with the duty to promote the interest of victims of violence, the commission is also empowered to identify laws, rules, or regulations proposed or adopted by any agency or institution which have a significant adverse or beneficial impact upon crime victims; and to advocate the

adoption, repeal, or modification of those laws.

- **Reporting and Record Keeping.** Code of Alabama 1975, Section 15-23-6, mandates the commission to publish an annual report showing the fiscal transactions of the commission for the preceding year, the amount of the accumulated cash and securities of the commission, and a balance sheet showing the financial condition of the commission by means of an actuarial evaluation of the assets and liabilities of the commission.

Code of Alabama 1975, Section 15-23-16 (g), requires the commission to “keep detailed permanent records of all expenditures and disbursements” from the Alabama Crime Victim Compensation Fund.

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

Managing the Agency: Activities involved in managing the agency may include internal office management activities such as corresponding and communicating; scheduling; meeting; creating policy and procedures; reporting; litigating; legislating (drafting, lobbying, tracking); publicizing and providing information; managing records; and managing information systems and technology.

Managing Finances: Activities involved in managing finances may include the following: budgeting (preparing and reviewing the budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency’s budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

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

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

Analysis of Record Keeping System and Records Appraisal of the Alabama Crime Victims Compensation Commission

Agency Record Keeping System

The commission's record keeping system consists of both paper and electronic records. At this time, the commission creates a paper copy of all electronic records.

The commission makes use of a Local Area Network (LAN) with access to the Internet provided by the Information Services Division of the Finance Department. The LAN consists of one Primary Domain Controller, one Backup Domain Controller, one Database Server, 30+ user workstations, on scanner, one digital camera, and multiple printers. The LAN is based on Microsoft Windows NT 4.0, Microsoft SQL Server, and Microsoft Visual Studio. Integrated into the system developed by the commission is Acuity Financials by SOTA. The Acuity software serves as the commission's accounting system for issuance of payments on approved compensation claims.

Records Appraisal

The following is a discussion of the three major categories of records created and/or maintained by the Alabama Crime Victims Compensation Commission: Subfunction Resulting in the Creation of No Records, Temporary Records and Permanent Records.

I. Subfunction Resulting in the Creation of No Records.

- **Assisting Victims:** There are currently no records being created which document this subfunction separately. The commission's annual reports would be the source of information about those activities.

II. 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 division are discussed below:

- **Crime Victims Compensation Claim Case Files.** These files are created when a claim is made to the commission by a victim or dependent. The files are used by the commission's staff to determine its validity and award compensation. A typical file may contain a completed application form, various reports from law enforcement agencies, court records, notes, correspondence, bills, and case summary. Since a victim can file supplemental claims until he/she reaches the maximum amount of compensation, these records should be maintained for long-term for their administrative and legal needs. The commission may decline to disclose information on claimants (Code of Alabama 1975, section 15-23-4[j]) as

amended 1998).

- **Alabama Crime Victim Compensation Fund Remittance Files.** These files document the receipt of court costs, victim assessment fees, and fines remitted by county and municipal courts. The funds are deposited by the commission staff into a bank account not controlled by the State Treasurer. There is an audit requirement for these remittance files to be retained for as long as the Office of State Treasurer keeps its records pertaining to deposits.
- **Alabama Crime Victims Compensation Fund Disbursement Files.** The commission is obligated by law (Code of Alabama 1975, Section 15-23-16[g]) to keep detailed permanent records of all expenditures and disbursements from the Alabama Crime Victim Compensation Fund. These files include, but are not limited to, canceled checks, check stubs, and bank statements. The commission started in 1989 to store the key disbursement data in an electronic record keeping system, and copies of the printout are retained as well.
- **Federal Grant Finance Files.** The commission is eligible to apply for federal grants from the Victims of Crime Act (VOCA) funds which are collected from federal court costs and fines. These files consist of various financial records that document the receipt and expenditure of federal grant funds.

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

Administering Funds and Processing Claims:

- **Meeting Minutes of the Commission.** These records document proposed and executed proceedings of the monthly commission meetings. They are the core documentation of the commission's major functions and activities.

Promoting Public Awareness:

- **Informational and Promotional Publications.** The commission publishes and distributes various brochures, pamphlets, and quarterly newsletters to promote public awareness and advertise services performed by the agency for the public.

Reporting and Record Keeping:

- **Annual Reports.** These published reports provide a summary of the commission's financial condition and its activities over the year. The commission's staff and classifications, organizational chart, crime victims compensation related laws, and a copy of the claim application form are also included in the annual report.

Alabama Crime Victims Compensation Commission Records Disposition Authority

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

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

Explanation of Records Requirements

- This RDA supersedes any previous records disposition schedules governing the retention of the Alabama Crime Victims Compensation Commission. Copies of superseded schedules are no longer valid and should be discarded.
- The RDA establishes retention and disposition instructions for records regardless of the medium on which those records may be kept.
- Electronic mail is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.
- Some temporary records listed under the Administering Internal Operations subfunction of this RDA represent duplicate copies of records listed for long-term or permanent retention in the RDAs of other agencies.
- Certain other record-related materials need not be retained as records under the disposition requirements in this RDA. They may be disposed of, without notice of destruction, in whatever way the commission determines best. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original

record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank 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 commission social activities, such as a note to a group going to lunch.

Records Disposition Requirements

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

■ Administering Funds

Alabama Crime Victim Compensation Fund Remittance Files

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

Federal Grant Finance Files

Disposition: Temporary Record. Retain 6 years after the submission of the final financial report.

Alabama Crime Victim Compensation Fund Investment Files

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

■ Processing Claims

MEETING MINUTES OF THE COMMISSION

Disposition: PERMANENT RECORD.

Recordings of Meetings

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

Crime Victims Compensation Claim Case Files

Disposition: Temporary Record. Retain 25 years after the end of the year in which the records were created.

■ **Promoting Public Awareness**

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

■ **Reporting and Record Keeping**

ACVCC ANNUAL REPORTS

Disposition: PERMANENT RECORD.

Alabama Crime Victim Compensation Fund Disbursement Files

Disposition: Retain in Office (Code of Alabama 1975, Section 15-23-16[g]).

■ **Administering Internal Operations**

Managing the Agency:

Administrative Procedures Rule Filings

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

Register of Administrative Procedures Rule Filings

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

Routine Correspondence/Memoranda

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

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Printing Service Records

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

Camera-Readies, Negatives, and Plates: Temporary Record. Retain for useful life.

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

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

Copies of RDA

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

Computer systems documentation (hardware/ software manuals and diskettes, warranties, records of access/authorities, file naming conventions, Y2K records)

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

Managing Finances:

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

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

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

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

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

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

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

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

Records documenting contracts for services or personal property

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

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

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

Audit Reports

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

Attorney Billing Files

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

transaction occurred.

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

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

Records documenting employees' daily and weekly work schedules

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

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

Disposition: Temporary Record. Retain 3 years following decision.

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

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

Records documenting sick leave donations

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

Employee Flexible Benefits Plan Files

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

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

State Employee Injury Compensation Trust Fund Files

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

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain 3 years.

Managing Properties, Facilities, and Resources:

Semiannual Inventory Lists

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

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

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

Property Inventory Cards and/or Computer Files

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

Receipts of Responsibility for Property

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

Real Property Leasing/Renting Records

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

Facilities/Building Security Records (including visitor logs)

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

Insurance Policies/Risk Management Records

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

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

Vehicle and Equipment Maintenance Files

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

Approval of Records Disposition Authority

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

- The Alabama Crime Victims Compensation Commission will designate a managerial position as the commission's records officer. This position is responsible for: ensuring the development of quality record keeping systems that meet the business and legal needs of the commission, 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, submitting an annual report on records management activities to the State Records Commission in April of each year, and ensuring the regular implementation of the commission's approved RDA.
- Permanent records in the Alabama Crime Victims Compensation Commission's custody will be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.
- Destruction of temporary records, as authorized in this RDA, should occur commission-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 commission should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the commission chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.
- The Alabama Crime Victims Compensation Commission agrees to allow the staff of the State Records Commission or the Examiners of Public Accounts to examine the condition of the permanent records maintained in the custody of the commission and to inspect records destruction documentation. Government Records Division archivists are available to train the staff in RDA implementation and otherwise assist the commission in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Martin A. Ramsay, Executive Director
Alabama Crime Victims Compensation Commission

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

