

Alabama Crime Victims' Compensation Commission

Functional Analysis

&

Records Disposition Authority

Revision Approved by the
Local Government Records Commission
October 29, 2014

Functional and Organizational Analysis of the Alabama Crime Victims' Compensation Commission

Sources of Information

Representatives of the Alabama Crime Victims' Compensation Commission
Alabama Crime Victims' Compensation Commission Records Disposition Authority (2001)
Code of Alabama 1995, Sections 15-23-1 through 15-23-23
Alabama Administrative Code, Chapters 262-X-1 to 262-X-13
Alabama Crime Victims' Compensation Commission Annual Report (2012)
Alabama Crime Victims' Compensation Commission Policies and Procedures Manual

Historical Context

The Alabama Crime Victims' Compensation Commission was created by the Alabama Legislature in 1984, becoming the 40th state to pass a law to compensate victims of violent crime. The year 2009 marked 25 years of assistance being available to Alabama's innocent victims of violent crimes. The ACVCC provides the only substantial financial compensation to victims for expenses due to personal injuries. This includes medical expenses, funeral expenses, counseling expenses, lost wages, moving expenses, prescription expenses, and emergency funds. All applicants must meet eligibility criteria before compensation may be awarded. Alabama has a unique program that incorporates the best of many other states' programs, as well as some original ideas of its own.

In the 1990 regular session of the legislature, amendments passed increasing the limits for funeral expenses from \$2,000 to \$3,000. This amendment also provides additional funding for district attorneys to employ at least one victim service officer in each circuit.

In the 1995 regular session of the Alabama Legislature, amendments passed authorizing payments for sexual assault examinations; further defining reasons for diminishing or denying compensation awards; and clarifying that additional costs and assessments shall be assessed in certain juvenile and youthful offender cases. 1995 was a historic year for crime victims in Alabama because the Alabama Constitution was amended to include certain rights for victims of crime. This constitutional amendment provides that within 72 hours of the criminal event, the law enforcement agency investigating the crime will provide the victim with a form to invoke his/her rights pursuant to the constitution. Furthermore, the form given by the law enforcement officer will inform the victim of the existence and availability of financial assistance from the commission. This constitutional amendment makes it possible for more victims to be notified of the commission and the benefits it has to offer.

During the 1997/1998 regular session, the Alabama Legislature amended the ACVCC law, making the following changes:

- Criminally Injurious Conduct shall include the act of terrorism as defined in §2331 of Title 18, United States Code, committed outside of the United States, against a resident of this state.
- The maximum compensation allowance increased from \$10,000 to \$15,000.

- The allowable amount for expenses relating to funeral, cremation, or burial was increased from \$3,000 to \$5,000.
- Increased compensation was allowed for work loss, replacement services loss, and dependents' replacement service loss from \$200 to \$400 per week.
- The maximum compensation for future economic loss increased to \$5,000.
- Clarifying language added to §15-23-4 to keep the names and addresses of the victim or claimant confidential.
- Language was added to §15-23-12 to clarify the circumstances for filing with the commission later than one year after the injury or death upon which the claim is based, unless the commission finds good cause.
- Language was added to §15-23-12 to clarify reporting to a law enforcement officer later than 72 hours after the crime's occurrence, unless the commission finds there was good cause for the failure to report within that time.

Agency Organization

One of the features of Alabama's law which makes it unique is the existence of a three-member commission. The commission is composed of three citizens of Alabama, appointed by the governor for four years each. Any two members constitutes a quorum, and two votes in favor are necessary for the commission to reach a decision. The membership must be inclusive and reflect the racial, gender, geographic, urban/rural, and economic diversity of the State of Alabama. Additionally, there is a requirement to include on the commission, either a victim of a crime of violence who suffered serious personal injury or an immediate family member of a homicide victim. This provision ensures that each claim is viewed through the eyes of a victim. The law also provides that one member must be a law enforcement officer with a minimum of 10 years of experience in or with a law enforcement agency that investigates violent crimes. This provision lends a great deal of expertise to the decision-making process.

The commission holds regular monthly meetings in Montgomery on the second Thursday of each month. It appoints an executive director who serves as the administrative head of the agency. The commission is currently organized into seven divisions (Administration, Personnel/Legal, Information Technology, Finance, General/Homicide Claims [Claims Team A], Domestic Violence/Sexual Assault Claims [Claims Team B], and Restitution/Recovery) consisting of 27 employees.

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. 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 and manage grants from federal Victims of Crime Act (VOCA) funds that 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 to qualified victims of violent crime. All funds collected are deposited in the Alabama Crime Victims Compensation Fund, which is under the management and administration of the commission. The commission has authority to invest these funds in any legal investments under the laws of the state. This subfunction also involves disbursing checks to victims, claimants, and service providers and awarding loans or grants of money, equipment, or personnel to various public or private entities (non-profit corporations or associations; state agencies; county or municipal governments; and law enforcement, prosecutorial or judicial agencies) for the purpose of developing, enhancing, or establishing model crime victims service programs that emphasize the collection of restitution from criminals as an integral part of the criminal justice process.

Processing and Managing Claims. The primary responsibility of the commission is to determine claimants' eligibility for compensation benefits and to pay claimants all compensation for which they are eligible. Eligible expenses include medical, funeral, travel, moving, and counseling costs. 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, not approve, or reduce the claim. If the request is not approved and the claimant is dissatisfied with the commission's decision, he/she may request an appeal within 30 days of the notification of the denial. The commission will then re-hear the case with an impartial governmental hearing officer present. The commission handles three primary categories of claims or requests for restitution:

General/Homicide Claims (Claims Team A). Activities involved in processing these claims may include: receiving and entering claims information into the commission database; performing an eligibility investigation; assigning claims to specialists based on geographic location and type of crime; making claim recommendations to the commission and executive director based on law, administrative code and policies and procedures; and preparing expedited emergency award requests for review and decision by the executive director.

Domestic Violence/Sexual Assault Claims (Claims Team B). In addition to those listed above, activities involved with these claims may include processing payment requests for all sexual assault examinations performed in the state.

Restitution Recovery. Activities involved in managing restitution/recovery include: working with district attorneys and circuit clerks to ensure that Alabama courts order restitution for victims; working with district attorneys and circuit clerks to amend existing restitution orders; providing information to victim service officers and restitution officers to assist them in collecting outstanding restitution; providing training to court officials, other agencies, and the general public; notifying the Alabama Board of Pardons and Paroles of outstanding restitution owed by inmates scheduled for a parole hearing; and notifying

victims and civil attorneys of the commission's subrogation rights when civil suits arise as the result of a violent crime.

Promoting Public Awareness. The commission is authorized by the Code of Alabama, Section 15-23-5(6), to publicize the availability of compensation funds. In furtherance of this objective, the commission provides training throughout the state to various groups of allied professionals and to any entity that requests training regarding compensation benefits. The commission is also empowered to identify laws, rules, or regulations proposed or adopted by any agency or institution that 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. The Code of Alabama, Section 15-23-6, mandates that the commission publish an annual report showing its fiscal transactions for the preceding year, the amount of any accumulated cash and securities, and a balance sheet showing the commission's financial condition by means of an actuarial evaluation of its assets and liabilities. Code 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, legal, personnel, and claims processing activities performed to support the various agency divisions.

Managing the Agency. Activities involved in managing the agency may include internal office management activities such as corresponding and communicating; scheduling; meeting; creating policies 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 utilizes a Client-Server Local Area Network (LAN) in processing compensation claims. The LAN is Windows Server-based and is composed of multiple domain controllers, PC-based workstations, various printers, imaging devices, and other peripherals. The LAN is a domain on the State of Alabama forest, controlled and maintained by the Information Services Division (ISD) of the Alabama Department of Finance. As a domain of the ISD forest, all the standards covered in the Consolidated IT Policy Manual are followed. The policies, procedures, standards, and guidelines in the Consolidated IT Policy Manual apply to all Executive Branch agencies, boards, and commissions except those exempt under Title 41, Chapter 4, Article 11 of the Code of Alabama.

The commission maintains electronic records of compensation claims in a Microsoft SQL Database. Access to the database is provided via a custom front end designed in Microsoft Visual Studio. Electronic records of payments of eligible compensation are maintained in Peachtree Accounting on the commission's LAN. Other electronic records covering accounting and personnel are maintained on a centralized mainframe system provided by the State of Alabama, under the authority and control of ISD and Finance. Various productivity software is used to produce reports, correspondence, promotional materials, educational materials, etc., maintained and used by the commission in executing its duties and daily operations. The commission's e-mail services are provided by the Department of Finance, Information Services Division (ISD). ISD maintains the Alabama Consolidated Email (ACE). The platform used for ACE is Microsoft Exchange. The Commission uses Microsoft Office Outlook 2010 as its e-mail client. Actual mailboxes and data are maintained by ISD on their servers. Each account has an active and an archival data store.

The commission subscribes to ACE's Enterprise Vault service. This service provides automatic journaling of all e-mails to and from the commission's accounts. Each account also has an unlimited archive in the Enterprise Vault. Active e-mails are automatically archived after 90 days. Users have full privileges on the archives for their e-mail accounts. Only the commission's e-mail administrator has privileges on the journal account. As the provider of e-mail services, ISD has full access to the e-mail accounts.

Both archives (user account and journal) default to five-year item retention. Once an item reaches this age, it is automatically deleted.

Records Appraisal

The following is a discussion of the two categories of records created and/or maintained by the Alabama Crime Victims' Compensation Commission: Temporary Records and Permanent Records.

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 commission are discussed below:

- **Alabama Crime Victims' 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.
- **Federal Grant Finance Files.** The commission is eligible to apply for federal grants from Victims of Crime Act (VOCA) funds which are collected from federal court costs and fines. These files, retained six years after submission of the final financial report, consist of various financial records documenting the receipt and expenditure of federal grant funds.
- **Alabama Crime Victims Compensation Fund Disbursement Files.** The commission is obligated by law (Code of Alabama 1995, Section 15-23-16[g]) to keep detailed permanent records of all expenditures and disbursements from the Alabama Crime Victims 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. These records are appraised as "Retain in Office."
- **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 eligibility and award compensation. A typical file may contain a completed application form, various reports from law enforcement agencies, court records, contact notes, correspondence, bills, and case summary. Because some victims are children and a victim can file supplemental claims until he/she reaches the maximum amount of compensation, these records should be maintained for 100 years. The commission may decline to disclose information on claimants (Code of Alabama 1995, section 15-23-4[j] as amended 1998).

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

Administering Funds/Processing Claims

- **Meeting Agendas, Minutes, and Packets.** These records document proposed and executed proceedings at the commission's monthly meetings. They are the core documentation of its mandated functions and activities. The series usually includes an agenda that details business to be considered at the formal meeting and formal minutes approved by the commission. (RDA page 11) (**Bibliographic Title: Meeting Agendas, Minutes, and Packets**)

Promoting Public Awareness

- **Informational and Promotional Publications.** The commission publishes and distributes various informational/promotional brochures, pamphlets, press releases, and other publications to promote public awareness and advertise the services it performs to the public. (RDA page 11) (**Bibliographic Title: Informational Publications**)

Reporting and Record Keeping

- **Annual Reports.** These published reports provide a summary of the commission's financial condition and its activities over the year. Also included in the report is an organizational chart showing the commission's divisional classifications and staffing, as well as information on crime victims' compensation-related laws and current administrative code requirements. These reports provide ongoing documentation of the commission's important activities and achievements on an annual basis. (RDA page 12) (**Bibliographic Title: Annual Reports**)

Administering Internal Operations—Managing the Agency

- **Administrative Correspondence.** These records include policy-related correspondence by commission members and the executive director, as well as any correspondence related to commission appointments (other than copies of board appointment letters received from the governor's office). (RDA page 12) (**Bibliographic Title: Administrative Correspondence**)
- **Website and Social Media Site(s).** The commission maintains a website at <http://www.acvcc.state.al.us/> and may also participate in social media sites, ADAH staff captures and preserves agency websites, and other social media sites, via a service offered by the Internet Archive (Archive It). This series documents the commission's functions and its interaction with the public. (RDA page 13) (**Bibliographic Title: Website**)

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 Services 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. 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) 42-4452.

Explanation of Records Requirements

- This RDA shall govern the disposition of all records, regardless of format, created by the agency from its creation to dissolution. Please contact the staff of the Department of Archives and History before destroying any records created prior to 1940.
- 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 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 other record-like materials are not actually regarded as official records and 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 maintain 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 social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the office staff. They may be disposed of without documentation of destruction.

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.

*Denotes agency vital records, defined as records required to carry on its essential operations, to protect its legal and financial interests, and to assist in its recovery during a period of emergency or natural disaster.

Administering Funds

Alabama Crime Victims' 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 Victims' Compensation Fund Investment Files

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

Alabama Crime Victims' Compensation Fund Disbursement Files*

Disposition: Retain in Office (Code of Alabama 1995, Section 15-23-16[g]).

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 100 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

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

Administering Internal Operations—Managing the Agency

ADMINISTRATIVE CORRESPONDENCE*

Disposition: PERMANENT RECORD

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.

Telephone Logs, Mailing Lists, Appointment Calendars

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 approved 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.)

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.

WEBSITE AND SOCIAL MEDIA SITE(S)

Disposition: PERMANENT RECORD.

(ADAH staff captures and preserves the agency's website and other social media sites via a service offered by the Internet Archive [Archive It]. Check with ADAH website at www.archive-it.org/organizations/62 to ensure your agency website and social media site(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Government Services Division at 334-242-4452 to get them included.)

Administering Internal Operations—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

1. Original bid records maintained in the agency's purchasing office for contracts over \$15,000

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

2. 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.

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.

Administering Internal Operations—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.

Administering Internal Operations—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.

Requirement and Recommendations for Implementing the Records Disposition Authority

Requirement

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 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 Crime Victims’ Compensation Commission (hereafter referred to as the commission) as stipulated in the document.

One condition of this authorization is that the office submits an annual Records Disposition Authority (RDA) Implementation Report on office records management activities, including documentation of records destruction, to the State Record Commission in April of each year.

Recommendations

In addition, the commission should make every effort to establish and maintain a quality record-keeping program through the following activities:

- The Alabama Crime Victims’ Compensation Commission should designate a managerial position as its records liaison. This position is responsible for: ensuring the development of quality record-keeping systems that meet the commission’s business and legal needs, 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.
- 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 Open Meetings 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.
- 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 permanent records in the commission's custody and inspect records destruction documentation. Government Services Division archivists are available to instruct commission staff in RDA implementation and otherwise assist the commission in implementing its records management program.

This records disposition authority is hereby adopted.

By: _____ Date: _____
Dr. Cassie T. Jones, Executive Director
Alabama Crime Victims' Compensation Commission

By: _____ Date: _____
Steve Murray, Chairman
State Records Commission